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OTHER ARTICLE

SUSHI, not just a tasty lunch anymore

The development of the NISO Committee SU's SUSHI standard

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Abstract

Purpose – This paper aims to describe the development of the Standardized Usage Statistics Harvesting Initiative (SUSHI) standard, and its applications and impact on libraries.

Design/methodology/approach – The information is based on a questionnaire survey conducted by the author. Inquiries were sent to members of the National Information Standards Organization (NISO) Committee SU responsible for producing the SUSHI standard.

Findings – Four out of six members responded to the survey including Ted Fons from Innovative, Oliver Pesch from Ebsco, and Ted Koppel from Ex Libris. One member responded but did not want to be quoted.

Originality/value – Provides information on the development of a library aid.

Keywords Libraries, Statistics, Software tools

Paper type Research paper

Introduction

The Standardized Usage Statistics Harvesting Initiative (SUSHI), is a yet unapproved National Information Standards Organization (NISO) standard geared toward library electronic journal use statistics. It is used to automate the transport of Counting Online User NeTworked Electronic Resources (COUNTER) formatted usage statistics. COUNTER is a not-for-profit organization formed in 2002 to develop standardized methods and reports for measuring the use of electronic resources.

NISO is a non-profit association accredited by the American National Standards Institute (ANSI), which identifies, develops, maintains, and publishes technical standards to manage. NISO standards apply both traditional and new technologies to the full range of information-related needs, including retrieval, repurposing, storage, metadata, and preservation. It was founded in 1939 and incorporated as a not-for-profit education association in 1983 (NISO, 2007).

This paper describes the development of the SUSHI standard and assesses its impact on libraries. The information presented here is based on responses to a questionnaire conducted by the author. Inquiries were sent to members of the NISO Committee SU responsible for producing the SUSHI standard. Four out of six members responded to the survey including Ted Fons from Innovative, Oliver Pesch from Ebsco, and Ted Koppel from Ex Libris. One member, Ivy Anderson from California Digital

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Library, responded but did not want to be quoted. See Appendix 1 for the list of questions submitted to the committee members and Appendix 2 for complete biographical information on the respondents.

History

In July 2005, Oliver Pesch (Ebsco) was approached by Adam Chandler (Cornell), Ted Fons (Innovative Interfaces International) and Tim Jewell (University of Washington) at the ALA conference in Chicago. This meeting led to the SUSHI initiative. Ted Koppel, of Ex Libris, was contacted by Oliver Pesch in early Autumn 2005. He invited Mr Koppel to participate in a conference call to discuss some ideas that had been brought up with others in the Electronic Resource Management (ERM) industry, having to do with statistics collection and manipulation. According to Mr Koppel, this was an area that Verde (Ex Libris's ERM) was already examining, but it was immediately clear that an industry-based solution was far preferable to the ERM-based approach that they were discussing. Mr Koppel sat in on the first "open" SUSHI call. Ex Libris was able to make contributions in programming and created a proof of concept program.

COUNTER was started in 2002 and the group produced the COUNTER Code of Practice (COP), which is a standard describing how to process usage data for electronic journals (Pesch, 2007). COUNTER reports were embraced by publishers and libraries. However, the reports are either comma-delimited files or Microsoft Excel spreadsheets and vary in format from vendor to vendor (Chandler, 2006). This makes automating the process of collecting statistics difficult. Also, library staff must navigate a web page and manually download electronic journal usage statistics, which wastes valuable staff time.

Scope of the SUSHI standard

The goal of SUSHI is to standardize practice and enhance efficiency. According to Mr Fons, the essence of the problem that this protocol solves is the inherent inefficiency of staff downloading statistics separately from each vendor in spreadsheet format. The spreadsheets are ultimately difficult to manage since they do not lend themselves to database storage and the task of downloading spreadsheets from dozens or even hundreds of different vendors is time-consuming, tedious and error-prone. SUSHI automates the download process and the client does it at a convenient time and the data are deposited in the appropriate database. The ideal implementation of a SUSHI client puts the client in an ERM system – thereby integrating the usage statistics with related ERM license, resource and bibliographic data.

Mr Koppel indicated that the primary benefit of the standard is that, through a single protocol, it allows the retrieval of statistical usage data from any number of publishers:

> This means that the ERM doesn't need to build a dozen mechanisms to deal with each publisher's idiosyncratic computer system – we can use one single protocol and cover a large portion of the publishing community.

He also stated that SUSHI is not the answer to all usage statistics problems – it is a retrieval protocol. The idea was to keep focus on a direct, simple, and achievable task. "We didn't want to build a protocol that would do everything but wash dishes – we wanted a protocol that would do one thing – retrieval of statistics in COUNTER format – well." What each individual ERM vendor does with the statistics is the

individual company's issue – that is what allows them to differentiate themselves as vendors in the marketplace. A shared mechanism for retrieval of these statistics is in the interest of all of us – ERM vendors, publishers, libraries, and other players.

The protocol is essentially a Simple Object Access protocol (SOAP) request/response web services "wrapper" for the XML version of COUNTER reports (Chandler, 2006). Mr Fons wrote the abstract for the protocol. It states, in part:

> Components of the standard include the data elements that are passed in a SOAP request and response pattern. It consists of the ReportRequest, Response, and Exceptions & Errors. The standard includes a versioned Web Services Description Language (WSDL) to describe the web service namespace and operations and an XML schema constraining the syntax of the SUSHI transaction. Rules for report naming are outlined and complemented by a reports registry. Three report types are defined (COUNTER Reports, SUSHIS Registered, Non-COUNTER reports and Other Reports) and parameterized.

Applications of SUSHI

When respondents were asked for what applications they envisioned utilizing SUSHI and whether that has changed as this project has evolved, Mr Fons indicated that he felt the SUSHI client is an excellent tool in the ERM toolkit. According to him, the availability of usage statistics and bibliographic data allows the ERM system to analyze statistics by subject and other bibliographic characteristics. When acquisitions data is available, cost and cost-per-use calculations can be performed. SUSHI provides the potential for a dramatic increase in the scope of usage statistics gathering and these new applications are making themselves apparent as implementation widens.

Mr Koppel echoed the same sentiment:

> We saw SUSHI as feeding data into our Verde Decision Support/Data Mining module all along. That hasn't changed. What has changed is the complexity and breadth of our approach to statistical analysis.

By simplifying retrieval, they can develop analytical, cost-per-use, and other reporting tools.

Also, Mr Pesch indicated that the focus did not change and the scope of the standard:

> ... has remained fairly constant, though the one area of evolution was where outsourcing services, like ScholarlyStats are planning to use SUSHI both to harvest data and to have the collected data harvested by other applications – in short, they will be acting as both a client and server.

SUSHI (Z39.93-200x) versus other Z standards

NISO standards that deal with Library Science begin with the letter Z. For instance, the OpenURL standard is ANSI/NISO Z39.88-2004. ANSI/NISO Z39.84-2005 specifies the syntax for the digital object identifier.

Respondents were asked if the SUSHI standard is different from other library standards, such as NISO Z39.7-1995. Mr Koppel explained that NISO standards can be grouped into three different families. One is the "identifier group" which deals with ISSN, ISBN, SAN, and similar types of unique identifiers. Another is the "interoperability group" which includes functional protocols and standards such as NCIP, Interlibrary Loan (ISO-10160), Z39.50, OpenURL, and so on. The final group is the "Best Practices"

area where general information is standardized. "I see Z39.7 (Circ statistics) as a Best Practice type of standard, while SUSHI is much more of an interoperability standard or protocol."

According to Mr Fons, the SUSHI standard does not suggest specific useful statistics like other standards do, bur rather it is designed to provide a model for data harvesting. It is a communications model rather than a list of statistics to gather:

> Other library practices could benefit from a model like this. Acquisitions systems could use web services for the exchange of data like purchase orders, responses and invoices. Wherever the system takes over the data request and retrieval transaction, libraries benefit.

Mr Pesch replied, "SUSHI is a data exchange standard, where as Z39.7 is focused on standardizing usage terminology." SUSHI relies on other standards to dictate how the payload (the usage reports) is formatted; in the case of SUSHI, it is the COUNTER COP, which describes the formatting of the usage data:

> Hopefully, SUSHI will pave the way for similar harvesting standards that will simplify and allow for automation in the transfer of other types of data, formatted to other standard, such as holdings (ONIX SOH), license terms (ONIX PL), etc.

Impact on libraries

The interviewees were asked if there would be levels of integration. Mr Koppel likened SUSHI to duck hunting:

> The retriever dog (SUSHI protocol) sniffs out and brings back the duck (the COUNTER file), but the dog itself doesn't know how to de-feather and cook the duck. SUSHI brings back the statistical data in a COUNTER format, but the ERM (or other software) has to make sense of the data.

Mr Fons stated that the level of integration depends on the capabilities of the client developer. If the client is developed as a separate application, the burden of integration with another database will be on the library. If the client is developed within the ERM or ERM/ILS context then there is great potential for integration with existing data and report writing applications.

Respondents were then asked what support they anticipate other vendors will provide for SUSHI in the near future. Mr Pesch indicated that the uptake on SUSHI is strong:

> Libraries want and need usage data – and this need becomes more important as more of the collection is online. SUSHI is the only standard that offers relief from the complex task of gathering this usage data.

Mr Fons replied that he expects most if not all ERM systems to include some SUSHI client capability in the next few years. He thinks that what is more important at this stage is the implementation of SUSHI servers by content providers:

> Publishers, aggregators and other usage statistics providers must make their data available on a SUSHI server or to a third party that can host such a server for this standard to succeed on a wide scale.

Mr Koppel expressed the same idea. The ILS/ERM world is convinced of SUSHI's potential. However, to be useful to libraries, SUSHI needs to be supported by all the major publishers and as many of the smaller ones as possible. He also wrote:

> Our view is that everybody wins when a protocol like SUSHI is put into practice. Publishers serve their customers, and ultimately save money by providing statistics services in a

> single way. ERMs (and agents, and other middleware) can write our software for a single protocol and thereby get to market and use more quickly. And the end-users – the libraries – will have the numbers that they need in order to make decisions about the resources they subscribe to.

Who will benefit most from the adoption of the SUSHI standard? All three interviewees thought libraries would benefit most. According to Mr Fons, as libraries can efficiently gather usage statistics and perform sophisticated analysis on those statistics, libraries have the potential to understand a dimension of the value for money spent on a resource and to track actual usage among similar resources.

Mr Koppel saw the standard as having a short-term and long-range impact. Once libraries have high-quality SUSHI-retrieved usage data, they will begin to make demands on publishers for "truth-in-pricing" policies for electronic resources:

> Currently, vendors deliver aggregated packages with thousands of journals (Example: Ebscohost Academic Search Premier has 4356 titles as of December 1, 2006) but there is no way to find out what a library is *actually* paying for any individual title in that aggregation).

According to him, libraries often pay for titles as many as six or seven times since the titles appear in different packages. Libraries will begin to demand real pricing and real costs on which to calculate cost-per-use and to make decisions on retention. He added:

> In the long run, armed with usage statistics data and with real pricing data, the "aggregated package" as we know it will fall apart. Libraries will buy the journals they need once and only once, and they will end up spending their institutional allocations far more intelligently.

Mr Pesch stated that publishers and libraries will both benefit. Libraries will benefit, not only by the great reduction in labor to collect and process usage data but also by the ability to monitor usage much more frequently – currently many libraries can only afford to look at usage on an annual or semi-annual basis because of the cost of gathering the data. Publishers will benefit as well. By offering delivering of usage data via SUSHI they can ensure that the usage of their content is accurately represented and thus that content is fairly judged when libraries are making collection development decisions.

In an article appearing in *Advanced Technologies Libraries* (2005), Adam Chandler, the NISO SU co-chair, is quoted as saying:

> Librarians want to make use of their COUNTER reports, but the process of collecting the reports from all the different Web sites is very very time-consuming. The protocol we are developing will allow ERMS and other vendors to retrieve and import reports from compliant content providers into local systems automatically. That will free us to spend our energy analyzing the data.

Ease of implementation

Respondents were asked how hard it is to implement the standard. All stated that for the library, it should not be hard at all. Mr Fons stated that the burden of implementation should be on the library's ILS or ERM system vendor. It is then the library's task to develop a workflow that analyzes the results.

Mr Koppel wrote that his company's product, Ex Libris Verde, is very simple for the user:

> The user will need to complete a few important administrative elements: the statistics login and password, the report(s) that SUSHI will retrieve, and the time/day that SUSHI should be activated to retrieve the previous month's statistics (why? Some publishers don't make their previous month's statistics available until the 15th day of the following month, and the ERM only wants to request the statistical payload once the publisher has made it available).

On the other hand, implementation of this standard for Ex Libris was not a challenge:

> We are very used to using web services as a way of enabling interoperability, so mechanics of the actual retrieval are easy. The challenging part is "unwrapping" the COUNTER payload and populating the statistical warehouse in a way that allows for flexibility in reporting.

Respondents were asked what aspects of the SUSHI endeavor should librarians and information technologists be aware of. Mr Pesch stated that for librarians, for the wide adoption of any standard, the voices of those needing the standard need to be heard. It is important that librarians continue to talk about SUSHI with their content providers and even require SUSHI compliance as part of their agreements. For technologists, the simplicity of SUSHI is one of the most important things to understand and that it will not take as long as they might think to implement.

Mr Fons wrote, "In the short term, the most important aspect of this endeavor is adoption by content providers." Subscribers to content should encourage their content providers to implement a SUSHI server as soon as possible. It will take some time for all ERM systems to develop the client software necessary to use SUSHI, but the content providers should be ready to make their data available through SUSHI as soon as they do. He also wanted to point out that a small group of motivated individuals were able to devise a workable model in a relatively short amount of time and that this can be a model for future innovations.

Resources recommended by the committee

Finally, the respondents were asked for their top three resources for information about SUSHI. All indicated that since SUSHI is so new, very little has been written about it and that the best resources were the various official websites. Mr Koppel wrote:

> I would suggest www.niso.org (the NISO site) for background and decision about how we arrived at the stage we are now. A somewhat less focused (but otherwise fascinating) resource is the DLF-ERM specification, which provides a functional outline of what ERMs do.

Mr Fons also indicated that readers should see the NISO SU web site (www.niso.org/committees/SUSHI/SUSHI_comm.html). Mr Pesch echoed the same response but also indicated that there are web seminars, webinars, on the NISO page aimed at technologists, not just users (www.niso.org/committees/SUSHI/SUSHI_press.html).

Conclusion

SUSHI is an interoperability standard that may be approved by the time this paper goes to press. It has the support of vendors, publishers and academics. If approved in 2007, it will be known as ANSI/NISO Z39.93-2007. SUSHI automates the download process of COUNTER data, and is a tool but not a solution in itself. The ideal implementation of SUSHI is in an ERM system, thereby integrating the usage statistics with related ERM license, resource and bibliographic data.

Usage statistics are useful to libraries, and from the responses of the NISO SU committee, it is clear that libraries will benefit from detailed electronic journal usage. Libraries should be able to make better information collection development and licensing decisions with usage data more readily available to them. It is not clear whether aggregators will be helped or hurt from this. If, as Mr Koppel asserts, libraries discover that they are paying for duplicate access, then the "aggregated package" will fall apart. According to Mr Pesch, publishers will be helped by better usage statistics, but he does not mention whether aggregators, such as Ebsco, will benefit. However, as Mr Koppel wrote, SUSHI is "a good example of the way that things *should* work in the future in the area of publisher-library interaction. It enables other things to work better."

References

Advanced Technologies Libraries (2005), "SUSHI protocol successfully tested", *Advanced Technologies Libraries*, Vol. 35 No. 12, pp. 2-3.

Chandler, A. (2006), "Standards – libraries, data providers, and SUSHI: the standardized statistics harvesting initiative", *Against the Grain*, Vol. 18 No. 2, pp. 82-3.

NISO (2007), National Information Standards Organization, available at: www.niso.org/about/index.html (accessed April 1).

Pesch, O. (2007), "SUSHI: simplifying the delivery of usage statistics", *Learned Publishing*, Vol. 20 No. 1, pp. 23-9.

Appendix 1. Survey questions

- When and how did you become involved in the SUSHI project?
- Please describe the scope and application of the SUSHI standard. What problems does the SUSHI standard address?
- Initially, what applications did you envision utilizing SUSHI? Has that changed as this project evolves?
- How different is the SUSHI standard from other library standards, such as NISO Z39.7-1995? Would the SUSHI standard affect/enhance other existing standards and practices? How?
- Will there be levels of integration – can a library get reports via the web and/or through their ILS?
- Innovative Interfaces has already implemented the SUSHI protocol in their ERM system, and Ex Libris is in the process of building SUSHI into their ERM product. What support do you anticipate other vendors will provide for SUSHI in the near future?
- How do you see the SUSHI project impacting libraries? Who will benefit most from the adoption of the SUSHI standard?
- How easy is it to implement the SUSHI standard for libraries?
- What is important for librarians and information technologists to be aware of concerning SUSHI?
- What are the top three resources you recommend for readers to learn more about the SUSHI projects, (e.g. resources, websites, etc.?)
- What biographical information should I add to this paper?

Appendix 2. Biographical information

Ted Fons is the Senior Product Manager at Innovative Interfaces. He is responsible for the management of Innovative's ERM, Acquisitions, Serials, WebBridge LR and Pathfinder Pro products. His most recent development project was to bring to general release the first SUSHI client in an ERM system. Ted has been with Innovative since 1996. He has a Masters in Library Science degree from Syracuse University and has worked in Acquisitions, Cataloging and Reference in academic libraries.

Ted Koppel has been Verde product manager at Ex Libris for about 18 months; he has been in the library automation industry since around 1984. Previous to coming to Ex Libris, he was Senior Product Manager for Standards Implementation at TLC/CARL (The Library Corporation). He has been involved with following standards and standards development groups: SUSHI, License Expression Working Group, VIEWS, NCIP, IPIG (Interlibrary Loan), SRN, SICI, and the Metasearch Initiative.

Oliver Pesch serves on the NISO board of directors and was co-chair of the working group that developed SUSHI. He is also Chief Strategist of EBSCO Information Services' Electronic Resource Access and Management Services in Birmingham, AL. Pesch is a strong supporter of standards serving on a number of committees as well as frequently speaking and writing on topics such as usage statistics, OpenURL and e-resource management.

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Upcoming Events Featuring SUSHI Presentations

- ALCTS Serials Standards Update Forum
  ALA Annual Conference, Washington DC
  Sunday, June 24, 2007, 10:30 am - 12:00 pm
  JW Marriott, Salon II
  Speaker: Oliver Pesch
- NISO Update
  ALA Annual Conference, Washington DC
  Sunday, June 24, 2007, 4:00 p.m. - 5:30 p.m
  Renaissance Mayflower Hotel, New York Room

SUSHI Presentations from Past Events

- 2006-September-28, SUSHI at Work, Part 2: The Technology, presented by Oliver Pesch at NISO workshop on Managing Electronic Collections, Denver, CO
- 2006-October-27, Project COUNTER and SUSHI: An Overview, presented at NFAIS Forum: Online Usage Statistics, Philadelphia, PA
- 2005-June-24: SUSHI: Standards Usage Statistics Harvesting Initiative. Presented at ALA conference, New Orleans.

SUSHI Webinars

A series of three webinars were held in 2006 on NISO's Standardized Usage Statistics Harvesting Initiative (SUSHI).

Thanks to the generous support of EBSCO Information Services, Ex Libris, Serials Solution, Swets Information Services, and Thomson Scientific, NISO was able to offer these webinars free of charge and make recorded versions available to those who could not attend.

NOTE: In order to view the recorded versions of the SUSHI webinars, you must first download and install the free Webex Player software.
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- Introduction to SUSHI (May 17, 2006)
  Presenters: Adam Chandler of Cornell University (and co-chair of SUSHI); Phil Davis, also of Cornell; and Tim Jewell of University of Washington.
  Download Slides Download Recording
- SUSHI: The Technology Unveiled (May 24, 2006)
  Presenters: Oliver Pesch of EBSCO Information Services (and co-chair of SUSHI), and Ted Fons of Innovative Interfaces.
  Download Slides Download Recording

- SUSHI for Developers (November 15, 2006)
  Presenter: Petar Vucetin of EBSCO Information Services
  Download Slides Download Recording

Press Coverage, Articles, Presentations

- 2007-June, "SUSHI, Not Just a Tasty Lunch Anymore: The Development of the NISO Committee SU's SUSHI Standard," by Arthur Hendricks, *Library Hi Tech* 25.3: 422-429.
- 2007-April, "SUSHI: What It Is and Why You Should Care," by Oliver Pesch, *Computers in Libraries* 27.4: 6-10.
- 2007-April 16, Wayne State University Libraries (MI) Implement SUSHI Standard with Innovative ERM and SwetsWise Online Content
- 2006 December, Systems Must Change To Help Knowledge Management: SUSHI Protocol Simplifies Things for Librarians, Research Information, December 2006/January 2007.
- 2006-November-02, Washington State University Libraries Implement SUSHI Standard with Innovative ERM and ScholarlyStats
- 2006-September-22, EBSCO Releases SUSHI 1.0 Server
- 2006-Septmeber, "The NISO Standardized Usage Statistics Harvesting Initiative (SUSHI)," by Mark H. Needleman, *Serials Review* (September 2006) 32.3: 216-217.
- 2006-September, ScholarlyStats and Thomson Scientific announce successful SUSHI test
- 2006-October-4, ICOLC's Revised Guidelines for Statistical Measures of Usage of Web-Based Information Resources
- 2006-September-19, NISO Issues SUSHI Draft Standard in Record Time
- 2006-July-13, MPS and ExLibris perform SUSHI usage data transfer for Yale library
- 2006-June-12, ScholarlyStats and Thomson Scientific announce successful SUSHI Test for University of Melbourne
- 2006 April. "Standards--Libraries, Data Providers and SUSHI". Against the Grain feature article.
- 2005-11-23: "Ex Libris Verde ERM system Successfully tests SUSHI to deliver raw usage statistics." Press Release.
- 2005-11-22: "Upcoming Release of Electronic Resource Management speeds transfer of usage statistics." Press Release.
- 2005-11-22: "EBSCO Information Services successfully tests Web service for harvesting usage statistics." Press Release.
- 2005-11-22: "Swets and SUSHI take first ground-breaking steps." Press Release.
- 2005-11-15: "NISO Initiative to Standardize Online Usage Statistics Harvesting." Press Release.

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Synthèse documentaire référencée

Les ERM – Electronic Resource Management : enjeux, technologies, offres, usages

20 mai 2008

Nicole Corsyn
Stéphane Héroult
Groupe 1a

A l'attention de Ghislaine Chartron et Françoise Profit

adoptée par l' ANSI - American National Standards Institute le 29 octobre 2007, approuvée par la NISO - National Information Standards Organization sous la norme Z39.93 <http://www.niso.org/kst/reports/standards?step=2&gid=&project_key=2de0e3e04f3a7e32d45db8ee87574c3c8206ddcb>.). Il repose sur le protocole SOAP (Simple Object Access Protocol) pour le transfert de demande et de réponse des messages. [LITA, 22] [LITA et ALCTS, 21] [NISO, 48]

SUSHI remplace toute intervention "manuelle" de demande et récupération des données statistiques, fournisseur par fournisseur. Le problème de la lecture des différents formats de fichiers est ainsi contourné. Les données sont enregistrées au format XML. [BARTHET, 15]

L'enregistrement et la comparaison des données statistiques sont ainsi facilités pour les professionnels de l'information. SUSHI n'est pas un outil qui donne la possibilité d'établir des statistiques d'utilisation, mais un service Web permettant la collecte régulière des données statistiques COUNTER de machine à machine, ou du système fournisseur de contenu vers un outil d'analyse des données statistiques.[KASPROWSKI, 43, 44] [MARCHAND, 47]

L'implémentation idéale d'un client SUSHI dans un ERM permet l'intégration des statistiques d'utilisation relatives aux données bibliographiques, ressources et licences présentes dans l'ERM, ce qui permet de retrouver les statistiques de n'importe quel éditeur.

Pour Ted Fons, d'Innovative et membre du NISO, interrogé par Arthur Hendricks en 2007 : la disponibilité de statistiques d'utilisation et les données bibliographiques permettent au système d'ERM d'analyser les statistiques par thèmes et d'autres caractéristiques bibliographiques. Quand les informations relatives aux achats sont disponibles, les calculs de coût et de coût par utilisation peuvent être réalisés.

Les bibliothèques ont adopté rapidement SUSHI, qui devient un élément central dans les attentes vis-à-vis des ERM pour l'amélioration de la gestion des ressources électroniques. Les bibliothèques qui ont investi dans les ERMS supportant SUSHI n'ont aucun module à ajouter. Reste maintenant aux éditeurs à utiliser ce protocole pour que les bibliothèques puissent connaître les agrégateurs compatibles. [HENDRICKS, 40] [HOFFMAN, 41]

III - 2 La gestion des licences en fonction des types d'utilisateurs ou d'utilisation

III - 2 - 1 Le contenu des licences

Les licences contiennent un certain nombre d'éléments qui doivent être définis pour arriver à un accord :

- données administratives (parties respectives, date d'expiration de la licence, contacts locaux)

- obligations des parties (garanties et indemnisations, que faire en cas de non respect, conditions de résiliation, ...)

- termes d'affaires (sites autorisés, utilisateurs concurrents, prix, restrictions d'annulation, droits d'archives)

L'intérêt pour les bibliothèques, ce sont les termes de la licence qui définissent les utilisateurs autorisés, et pour les différents usages les permissions et interdictions suivantes : impression, téléchargement, prêt inter-bibliothèques, insertion dans les polycopiés de cours papiers et électroniques, etc.

ERMI a défini plusieurs états : Autorisé (explicitement), Autorisé (interprété), Interdit (explicitement), interdit (interprété), silence (non interprété), non applicable. (Report of the DLF ERM Initiative 2004 - Appendix F: XML Investigation) [JEWELL et al., 30]

Toutefois le texte de la licence n'est pas toujours clair et peut être silencieux sur un point particulier, et l'on peut interpréter les droits d'une manière ou d'une autre en se référant aux lois existantes ou à la loi sur le copyright (aux Etats Unis). Dans ces cas, les bibliothèques peuvent indiquer qu'elles interprètent le texte de la licence plutôt que de suivre explicitement les termes de la licence.

Une licence peut être silencieuse sur une utilisation spécifique et n'offrir aucune interprétation possible, ou encore un terme peut ne pas être applicable dans le cas de certaines autres licences.

III - 3 Les standards pour les ERM – La gestion des licences

[37] BOUKACEM-ZEGHMOURI Chérifa, SCHÖPFEL Joachim. Statistiques d'utilisation : Counter : harmoniser pour décider. Archimag, avril 2006, n° hors-série, p. 36-39. ISSN 1242-1367

[38] COUNTER : Counting Online Usage of NeTworked Electronic Resources. [Consulté le 18 mai 2008]. <http://www.projectcounter.org/>

[39] COUNTER en français : mesure de l'utilisation de l'information en ligne. [Consulté le 18 mai 2008]. <http://counter.inist.fr/>

COUNTER est un standard destiné à harmoniser les statistiques d'utilisation des ressources électroniques en ligne (revues et bases de données). Il a créé un « code de bonnes pratiques ». Ce site en constitue la traduction en français. Il est mis en ligne et mis à jour par l'INIST-CNRS.

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Synthèse et état des lieux sur les besoins utilisateurs et les réponses des fournisseurs d'ERMS. Depuis le rapport DLF ERMI, de nouveaux besoins ont été formulés par les bibliothèques : termes des licences en XML natif, base concernant les périodes d'essai d'une nouvelle ressource fusionnée dans le ERMS. Concernant les besoins consortia, Verify de VTLS semble bien ciblé. Les produits sont souvent couplés à une application SIGB mais peuvent être implémentés seuls. Quant aux dévelopements futurs, les fournisseurs vont ajouter : analyse de chevauchement, analyse du coût à l'usage. L'objectif majeur est d'intégrer les statistiques d'usage normalisées, en utilisant SUSHI, pour permettre l'import de rapports conformes aux normes Counter. L'interopérabilité est également un objectif important, notamment avec l'OPAC. XML va devenir un format standard pour les ERMS. Au-delà des ressources en ligne, l'ERMS pourra également gérer de l'info concernant des collections papier.

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L'article résume une session qui s'est tenue lors de la conférence annuelle ASIS&T de 2006. Assistaient à cette conférence Ted Kopppel de Chez Ex Libris (Verde), Adam Chandler, Nathan D.M Robertson.Ted Koppel a présenté un historique des différentes normes développées qui ont précédé et ont mené aux efforts de normalisation et de standardisation des ERM actuels, Adam Chandler a discuté la création du protocole SUSHI et a présenté des exemples de applications actuelles des fournisseurs, Nathan D.M Robertson a expliqué le travail de du LEWG un format d'expression de la licence (par opposition au droits d'expression)

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Monitoring uptake, impact and value for money in a consortium: usage data and beyond

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Usage Statistics: Future Hope

- COUNTER
  - Journals/Databases code of practice: 80+ vendors, 10000+ titles
  - Books/Reference Works code of practice, 2006: 10 vendors
  - http://www.projectcounter.org/compliantvendors.html
- SUSHI
  - Standardized Usage Statistics Harvesting Initiative
  - Automatic downloading of usage stats
  - http://www.niso.org/committees/SUSHI/SUSHI_comm.html

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