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# Business Magazines

# ABC Reporting Standards

2010 Version 3

**Issued:** January 2010

**\*Note:** These standards apply to reporting periods ending after 1 January 2010\*

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Industry agreed measurement  
[www.abc.org.uk](http://www.abc.org.uk)



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#### A1 THE ROLE AND PURPOSE OF ABC

ABC was founded by advertisers and advertising agencies:

- To provide buyers of advertising space with a benchmark, to help them choose between competing media; and
- To provide media owners with an effective promotional tool.

This is achieved through industry-agreed standards of auditing and record keeping, which lead to the universally recognised ABC certification.

#### A2 BENEFITS OF ABC CERTIFICATION

An ABC Certificate is full of valuable information for media buyers and media owners. For media buyers, it offers accurate, comparable data to be used when making buying decisions.

For media owners it is an effective sales tool for attracting advertising, because it provides the added credibility that their circulation claims have been independently audited to industry agreed standards.

This rulebook details the standards and requirements to which all ABC audited Business Magazines must adhere, in order to achieve ABC certification. It is the common application of these standards and requirements that gives a true and fair view of the circulations of all ABC audited Business Magazines.

Note: Publications for which the majority of their circulation is in the Republic of Ireland will report under the relevant Republic of Ireland Reporting Standards.

#### A3 USING THE REPORTING STANDARDS

- The Reporting Standards are split into sections (A, B etc), each section dealing with either a type of circulation or other aspect of the ABC figures or auditing process.
- The Reporting Standards are written as if the primary user is the ABC member publisher. Therefore the terms 'you' and 'we' should be read as follows:

'You' = The ABC member publisher or their staff

'We' = ABC

- The term 'individual' used in sections in relation to sold copies means a member of the public (i.e. end purchaser).
- The Reporting Standards for Profile certificates that were previously separate are now incorporated within this document.

#### A4 HOW THE REPORTING STANDARDS ARE DEVELOPED AND CHANGED

- The needs of ABC members, and the industry as a whole, change constantly. In order to meet those needs and stay abreast of industry developments, the Reporting Standards are continuously evolving. It is the industry itself, via the work of the ABC Business Magazine Reporting Standards Group (BMRSG) that sets the Business Magazine Reporting Standards.
- The BMRSG includes media owners, advertisers and agencies and meets regularly to devise and revise Reporting Standards as needed by the industry. If you would like the BMRSG to consider any aspect of these Reporting Standards please contact us or a member of the Committee.
- Changes to the Reporting Standards must be approved by the ABC Board. We will inform you of changes and update the Reporting Standards on our website [www.abc.org.uk](http://www.abc.org.uk). We advise you regularly check our website to ensure you are using the latest rule book.

#### A5 YOUR RESPONSIBILITIES AS AN ABC MEMBER

As a member of ABC you must comply with the ABC Reporting Standards and ABC Byelaws. It is important you read and understand these documents.

The ABC Byelaws include important information such as the availability of records for audit, how you publicise circulation data, payment of ABC fees, and changes to a Publication's ABC status. You can find the ABC Byelaws in Appendix 1 of this document.

#### A6 FURTHER INFORMATION

You can find more information about ABC, including the Reporting Standards, details of changes to Reporting Standards, circulation data and marketing support material, on our website [www.abc.org.uk](http://www.abc.org.uk).

We publish a number of guides, also available on our website, that help explain the audit process and how to prepare for the audit. You may also contact ABC Account Managers for advice and guidance.

## SECTION B – GENERAL RECORD KEEPING

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#### B1 INTRODUCTION

This section details the records that you must keep for every issue in order to verify your circulation claim. These are in addition to records required for specific circulation categories.

You will find completion of the ABC Return Form and our subsequent audit much easier if all records are easily available. We therefore strongly recommend you collate copies of relevant documents as each issue is distributed.

#### B2 DOCUMENTS REQUIRED FOR ALL ISSUES

- Every copy included in your ABC claim must be supported by source documents at the time of your ABC return submission.
- You must have the following information for every issue in the reporting period:
  - Print/production records
  - Distribution invoices and dockets/advice notes
  - A copy of every issue and edition of the publication
- You must maintain records on an issue specific basis - transactional accounting is not allowed.
- You must base your ABC claim on a full count method of all copies claimed and not a sample.

##### B2.1 Print/production

- Print/production invoices must be available for every issue of the publication distributed during the Reporting period.
- The documents required are print/production orders, invoices, credit notes, purchase ledger accounts, and bank statements. If production is in-house then paper orders, and invoices are also required.
- All print/production documentation must clearly state the publication name, issue identifier and number of copies produced.

##### B2.2 Distribution

- Distribution evidence must be available to support every copy claimed for every issue distributed during the reporting period (and the issues distributed immediately before and immediately after the reporting period). This evidence:
  - must comprise validated third party invoices and dockets/advice notes for every method of distribution
  - must clearly state the publication name, the issue identifier, the number of copies distributed and the date of distribution (see section Q for further details regarding date of distribution)
  - must be provable to ABC auditors as having been paid for. Therefore the auditor will need

access to purchase ledger accounts, credit notes and bank statements

- must distinguish between distribution to the UK and other countries
- For copies distributed at an exhibition or a conference may be a document signed and dated by an individual explicitly confirming receipt of a particular issue of the magazine including their name and address details.

Note: You are not required to deduct free mailed copies that are returned because they were undeliverable (addressee not known or gone away for example)

- If you intend to use a distribution scheme which is not through a traditional distributor, e.g. Royal Mail or other courier then you should contact us for approval before claiming the resultant distribution. We may insist on carrying out checks on such schemes before we will issue a certificate including figures based upon them. If you don't consult with us we may deem the circulation disallowed until we can satisfy ourselves that there is sufficient auditable proof of each final recipient receiving copies.

##### B2.3 Publication

- You must keep a copy of every issue of the publication distributed during the period, including different editions

#### B3 ACCESS TO RECORDS AND DOCUMENTATION

- You must allow us access to any records that we request for the purpose of checking the accuracy any ABC claim whether held by you or a third-party agent within 10 working days of our written request
- If we are unable to gain access to records this may result in copies being disallowed, the withdrawal of a certificate or cancellation of the title's registration

#### B4 RETENTION OF RECORDS

- You will need to retain and make available for audit all records required to support your circulation claim, including third-party records (financial and otherwise).
- You must retain the records that support a certificate until we have completed the audit of the certificate for the subsequent corresponding reporting period.  
*For example: The records supporting the certificate for the period January to December 2009 must be retained until we have completed the audit of the certificate for the period January to December 2010*

## SECTION B – GENERAL RECORD KEEPING [cont.]

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- You may store scans of original records relating to the orders for paid copies or requests/source documentation for free circulation categories as long as they are:
  - exact facsimiles of the original document
  - legible.

If these requirements are not met we may not accept the documentation in support of the ABC claim.

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### C1 INTRODUCTION

This category is where you can claim:

- Copies you have sold to wholesalers and/or retailers for onward sale to individuals; or
- Single copies you have sold directly to individuals [Note: This includes single copy subscription sales that are for a period less than the minimum permitted term to be eligible for the ABC subscriptions category as defined in section D].

Your sales to the newstrade may be made on a sale or return basis, limited sale or return basis, or firm sale. These are described in the following table.

Trade terms	Description
<b>'Full Sale or Return'</b>	This means copies that remain unsold by the retailers can be returned to you for credit. You must deduct these copies from the initial 'sale' or 'supply', so that only those copies actually purchased by individuals are claimed on the ABC Return (i.e. the net sale). This must be recorded on an issue by issue basis.
<b>'Limited Sale or Return'</b>	This means that your contract with the retailer specifies a maximum limit on the number of unsold copies that may be returned for credit. Copies unsold and returned up to this limit must be deducted from the initial 'sale' or 'supply' to arrive at the ABC net sale claim. This must be recorded on an issue by issue basis.
<b>'Firm Sale'</b>	This means that no unsold copies can be returned for credit. The number claimed will therefore be the number supplied.

### C2 REQUIREMENTS

- You must receive payment for each copy claimed
- You must receive at least the minimum legal tender per copy (net of VAT) e.g. currently 1p in the UK or 1 eurocent in RoL.
- To claim newstrade copies you must publish a cover price on or within every copy of every issue of the publication for which newstrade sales are claimed

- For copies sold under a 'Sale or Return basis' there must be an auditable incentive for unsold copies to be returned to you
- To claim single copy sales direct to individuals you must either:
  - publish a cover price on or within every copy of every issue of the publication; or
  - publish or register a Basic Annual Rate (see section D)
- You may claim back issues (any issue dated prior to the current issue) as long as they:
  - are bona fide single copy sales;
  - are not bundled or packaged together as a unit with other issues or publications; and
  - are included in the reporting period in which the issue in question is reported (i.e. they cannot be claimed in subsequent reporting periods). *For example: A single copy sale of the September 2010 issue that is sold in December 2010 can be included in the January to December 2010 circulation claim. However back issue sales of any issue reported on the January to December 2010 certificate cannot be reported on the subsequent certificate covering the period January to December 2011.*
- You cannot claim sales to your own organisation or other related parties – see section M for full details

### C2.1 Joint newstrade packages

Where two or more publications are not available separately but only as a package on the newstrade:

- You must register in advance with ABC the allocation of funds for each magazine from the package cover price
- You must use this registered allocation when classifying the copies of the publication(s) into ABC rate bands on your ABC claim

### C3 REPORTING

- You must analyse on your claim two figures relating to newstrade and single copy sales:
  - the average newstrade sales for the period (note: this does not include single copy sales) broken out for the UK and Other Countries
  - the combined newstrade and single copy sales for the Audit Issue broken out for the UK and Other Countries
- Your claim for the combined newstrade and single copy sales for the Audit Issue must further be broken out into rate bands, being copies sold either:
  - at full cover price; or
  - at a lower rate

- To be claimed as 'at full cover price':
  - newstrade copies must be sold to the final purchaser at the full cover price published in the Audit Issue
  - single copy sales must be sold:
    - to the final purchaser at the full cover price published in the Audit Issue; or
    - at the price per copy pro-rated from the published or registered Basic Annual Rate (see section D) if no cover price is published
- Sales at less than these rates must be claimed in the banding 'at a lower rate'
- You must report the cover price published on or within the Audit Issue on the Return for that reporting period

**C3.1 Unsold/returned copies - newstrade**

- When you submit your claim to us you may not know the final net sale for some issues because there are still unsold copies (sometimes called 'returns') that you have not yet been told about. These issues are known as 'unclosed issues'.
- You must make an estimate of the number of unsold copies you expect for the unclosed issues, for both the UK and Other Countries.
- You should base your estimate of unsold copies on current and historical information such as:
  - Current levels of sales and unsold copies
  - Historical data and seasonal trends
  - Promotional activity
  - Print orders
  - Competitor activity
  - Information from sales force
- For mandatory reporting periods and continuous optional reporting (such as continuous six monthly certificates) you must make an adjustment for any estimates made in the previous reporting period (to account for any under or over-estimates of unsold copies compared to the actual unsold figures).
- For optional certificates that are not immediately followed by an equivalent certificate (for example a three month or single issue certificate) an adjustment is not possible. We will therefore check the claimed sale against the final sales figures during the audit and where the claim is materially overstated we will reissue a revised certificate with an Audit Report.

**Worked example**

Issue ID	Total Supply	Returns	Net Sale	Sales%	
Jan	88,500	26,229	62,271	70.36%	closed
Feb	88,500	24,728	63,772	72.06%	closed
Mar	88,250	23,688	64,562	73.26%	closed
Apr	89,630	14,266	75,364	71.08%	closed
May	89,820	27,620	62,200	69.25%	closed
Jun	89,650	21,982	67,668	75.48%	closed
Jul	88,500	26,229	62,271	70.36%	closed
Aug	88,500	24,728	63,772	72.06%	closed
Sep	88,250	23,688	64,562	73.26%	closed
Oct	89,630	14,266	75,364	84.08%	unclosed
Nov	89,820	9,655	80,165	89.25%	unclosed
Dec	89,650	465	89,185	99.48%	unclosed

In this example the Oct, Nov and Dec issues are not yet closed so an estimate of the final sales figures has to be made using the criteria mentioned above. You will, of course, notice that a proportion of the unsold copies have already been received, but at this stage you should just concentrate on what you think the final unsold copies will be.

When you have made all the estimates the final figures for your claim may look something like this: -

Issue ID	Total Supply	Returns	Net Sale	Sales%	
Sep	88,250	23,688	64,562	73.26%	Actual
Oct	89,630	25,096*	64,534	72%	Estimated
Nov	89,820	25,150*	64,670	72%	Estimated
Dec	89,650	24,205*	65,445	73%	Estimated

This means that your estimate of unsold copies for these three unclosed issues is 74,451\* and you will enter this on your Return as your newstrade closing provision for the 3 issues still unclosed. Remember that you must report separate figures for both UK and other countries.

**Adjustment for the estimate**

In the next period, which in our example would be the next 31 December period, you would have a report giving you the actual unsold copies for the issues of October, November and December because by then they would be closed off and complete. For example, the final report may be as follows:

Issue ID	Total Supply	Returns	Net Sale	Sales%
Oct	89,630	25,382*	64,248	71.68%
Nov	9,820	25,884*	63,936	71.18%
Dec	89,650	26,312*	63,338	70.65%

On the Return the previous estimated unsolds figure of 74,451 copies will be brought forward. You can now complete the section reporting the actual unsold copies relevant to that estimate, with the figure that you now know to be the actual unsolds figure, which is 77,578\*.

The average overstatement/understatement will be automatically calculated for you by the eReturn system. This is the difference between your original estimate and the actual figure i.e. 77,578 minus 74,451, an understatement of 3,127 unsold copies (which means net sales were overstated by 3,127 copies).

On the return this has to be shown as an average, therefore it will be divided automatically by the number of issues in the previous period i.e. 12 in this example. The average overstatement of sales is therefore 3,127 divided by 12 = 261.

You must therefore deduct 261 copies from each issue's circulation in the current period (which will reduce the average by the same amount). This ensures that the average overestimate of sales from the previous period is adjusted.

### **C4 RECORDS REQUIRED**

You will need to retain and make available for audit all records required to support your newstrade and single copy sales claim, including:

- Financial records and contracts with distributors, wholesalers and retailers. This includes claims for credit from wholesalers and retailers and credit notes must be kept with supporting financial records for every issue e.g. returns envelopes, dockets etc. You must be able to reconcile these to the distribution and returns records on an issue specific basis.
- Issue by issue records showing gross supply and returns for each issue (in number of copies and financial terms) in the reporting period.
- If you sell copies direct to retailers (outside of the recognised supply chain) you must be able to provide proof of delivery to individual retail outlets and financial transactions detailing the number of copies sold
- Discounts, special offers and details of restrictions on the return of unsold or undelivered copies so it is possible to assess the normal trade terms that are operating.
- The calculations and assumptions you have used to arrive at the estimated number of unsold copies, if applicable.
- Details of any change in trading terms between firm sale, limited sale or return, or sale or return (either temporarily or permanently).
- Details of purchases / promotional spends with wholesalers and retailers to ensure you are not buying copies of the publication
- All records required to support the single copy sales claim must be available for audit. Financial records must adequately identify the numbers of each issue of the magazine sold, including an audit trail to verify the money received (this may apply to example for sales of copies at exhibitions)

## SECTION D – SINGLE COPY SUBSCRIPTION SALES

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### D7 PURCHASE OR TRANSFER OF SUBSCRIPTION LISTS FROM CEASED PUBLICATIONS

### D1 INTRODUCTION

This category is where you can claim copies you have sold as subscriptions and that are delivered individually addressed to a company or an individual.

### D2 REQUIREMENTS

- You must receive payment for the publication to be delivered on an every issue basis for a fixed term which must be for a minimum of three months or three issues, whichever is the greater.
- You must deliver the copies individually wrapped and addressed to a person by name or company by name
- There must be auditable proof of the final recipient of each copy, otherwise you must claim such copies under multiple copy subscription sales (this includes copies sold through an agency where details of the final addressee must be provided)
- Where a third party has purchased more than one subscription on behalf of other individuals, the rate paid per subscription must be at least 10% of the Basic Annual Rate (if the rate paid is less than this you must claim these copies under multiple copy subscription sales)
- You must, for UK/Other Countries as appropriate either:
  - publish a Basic Annual Rate (BAR) in every issue of the publication (either in the publication or on a bound-in card); or
  - register a Basic Annual Rate with ABC
- You may claim unpaid subscriptions or renewals of current orders as long as you consider them to be live, good and collectable. Note:
  - As a guide you should only claim copies if they fall within your normal credit or grace periods
  - You must report to ABC any subscriptions which remain unpaid 3 months after the start of a subscription period for UK addressees, or 6 months for addressees in other countries, that are included in your claim

### D3 BASIC ANNUAL RATE (BAR)

- A publication can have more than one Basic Annual Rate (BAR) providing they relate to defined groups of subscribers
- The BAR is the permanent rate at which you sell a 1 year subscription to the publication (or pro-rated to

one year where a 1 year subscription is not available). For clarification:

- The BAR for ABC purposes will be the standard rate at which an annual subscription of the publication may be purchased in contrast to a special price for a limited period
- The BAR is the standard or undiscounted rate
- If you do not publish or register a BAR for a defined group of subscribers, then you cannot claim those copies as full rate
- If the published rate and the rate registered with ABC differ, the published rate will be deemed to be the BAR.
- It is your responsibility to ensure that registered rates are updated with ABC and that each registered rate is clearly identified.
- We may refuse to register rates, which in our opinion do not constitute bona fide permanent Basic Annual Rates.
- When BARs change, you are allowed a period of one month from the date of the change, in which both the old BAR and the new BAR can be counted as full rate. This allows movement from one rate to another as the BAR.
- If you sell copies at promotional rates you cannot claim these as at full rate

#### **Examples of acceptable BARs:**

*UK Standard Annual Rate*

*UK Standard Annual Rate - Direct Debits*

*Europe Standard Annual Rate*

*Rest of World Standard Annual Rate - Air Mail*

*ROW Standard Annual Rate- Surface Mail*

#### **Examples of promotional rates (meaning not full rate):**

*'10% Discount if you subscribe now.'*

*'Save 25% on your subscription'*

*'2 years subscription for the price of one'*

*'14 issues for the price of 12'*

*'Buy 12 issues get 2 free'*

*Bulk discounts for multiple orders*

*Joint subscription offers at a rate lower than the combined BARs of the individual journals involved*

### D3.1 Two and three year subscription rates

Two and three year subscriptions can be discounted and still claimed as full rate as long as when they are pro-rated over a one year term, they are at least:

- 80% of the Basic Annual Rate for a 2 year subscription
- 75% of the Basic Annual Rate for a 3 year subscription

*For Example:*

*The Basic Annual Rate (BAR) of a publication is £100. The 2-year rate is £190. Pro-rated over a year this is £95. £95 as a percentage of the BAR (£100) is 95%. As this exceeds the required 80%, this copy may be claimed as full rate.*

### D3.2 Subscription agencies

You may claim copies sold via an established subscription agency at full published rate. This is based on the assumption that the eventual subscriber will be paying full rate to the subscription agency.

### D3.3 Impact of exchange rate losses and bank charges

Where the amount you actually receive for a subscription falls short of the full rate only because of losses on exchange rates and/or bank charges you can still claim the subscription at full published rate

### D3.4 Joint subscription packages – Print

- If two or more publications are only available on subscription as a package, you must register this with us in advance
- You must specify how the joint subscription fee is allocated to each of the publications
- This registration will be binding for the purposes of deciding the rate band in which the subscription should be claimed

### D3.5 Joint subscription packages – Print and internet services

- If a print subscription is not available separately but is available together with internet services (such as web site access), you must register this with us
- The BAR is deemed by us to be the permanent rate at which you sell a one-year subscription to this package
- The over-arching principle is that the print copy claimed on the ABC Return form represents a bona-fide subscription to the print publication. Therefore we may refuse to register a joint subscription (Print and internet services) rate if in our opinion the package offered brings into question the validity of the print subscription

## D4 REPORTING

- You must analyse the number of single copy subscription sales for the Audit Issue by UK and Other Countries in the following bands, by comparing the subscription rate paid with the Basic Annual rate:
  - At full rates
  - At between 50% and 100% of full rates
  - At less than 50% of full rates

- You must report the Basic Annual Rate published in, or registered for, the Audit Issue on the ABC Return for that reporting period. Where there is more than one BAR for either the UK or other countries, the range of those rates must be stated on the ABC Return. This information will be published on the ABC Certificate.

## D5 RECORDS REQUIRED

You will need to retain and make available for audit all records required to support your single copy subscription sales claim, including:

- For each subscription copy claimed during the reporting period:
  - The supporting subscription card or renewal documentation
  - Auditable proof of payment. If a third-party maintains these details, (e.g. subscription bureau) these will still need to be available to us
- Details of unpaid subscriptions (arrears) during the Reporting period
- Details of subscription rates and special offers during the reporting period
- As records for two or three year subscriptions may need to be provided for audit you must ensure these are still available. You may wish to ask us to seal the galley (mailing list) at audit where this might prove difficult going forward

## D6 MERGER OF PUBLICATIONS

If you merge publications where there are live subscriptions you may apply the following treatment in relation to claiming subscription copies:

### D6.1 Subscribers to one publication only

- You may continue to fulfil the contractual requirement of the subscription by mailing copies of the 'new' publication until the expiry of the subscription period,

OR

- You may refund the unexpired portion of the subscription and cease mailings.

### D6.2 Subscribers to both publications

- You may refund the unexpired portion of one subscription and continue mailing copies until the remaining subscription expires

OR

- You may refund the unexpired portion of both subscriptions and cease all mailings

OR

- You may net the value of the unfulfilled subscriptions and allocate copies on an issue by issue basis until the value has been subsumed

The course of action will be dependent on the procedures you adopt and the wishes of the subscriber. You may need to register the BARs for all the merged publications with ABC. We may ask for additional audit evidence in respect of refunds of subscriptions made in the period and copies of correspondence with subscribers. You must therefore ensure this information is available.

### **D7 PURCHASE OR TRANSFER OF SUBSCRIPTION LISTS FROM CEASED PUBLICATIONS**

If you purchase or transfer a list of subscribers from a ceased publication, you may claim copies sent to these subscribers as long as:

- The first issue is distributed within six months of the last issue of the ceased publication
- You are able to provide third party evidence of the amount paid and subscription term for each subscriber on the list
- In addition one of the following requirements has to be met:
  - The subscriber has elected, in writing, to continue the remainder of his subscription to the ceased publication to be fulfilled by the current publication and this evidence is available for audit
  - The subscriber is given the option in writing to discontinue their subscription to the ceased publication and obtain a refund for the unexpired term. In this instance we may conduct a call or write-back exercise to test that the subscription has not been cancelled
- The remaining term of the subscription to the current publication then must be calculated. There are two ways of making this calculation:
  - Providing the subscriber with the same number of issues remaining under the subscription term of the ceased publication. In this case the rate category is decided by comparing the effective price per copy against that of the current BAR; OR
  - Giving the subscriber the same value as the remainder of the original subscription
- If the number of subscribers purchased or transferred from a ceased publication exceeds ten percent of the total claim for single copies sold on subscription then you must report that fact to ABC and we will add a note to that effect to the certificate.

## SECTION E – PAID AND CONTROLLED

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- E1 INTRODUCTION**
  - E2 REQUIREMENTS**
  - E3 REPORTING**
  - E4 RECORDS REQUIRED**
- 

### **E1 INTRODUCTION**

This category is where you can claim single copy subscriptions where the recipient also can be proven to meet the publication's Terms of Control.

### **E2 REQUIREMENTS**

To be claimed in this section a copy must be sold on subscription in accordance with section D and additionally meet the following requirements:

- The copy must be sent individually wrapped and addressed to an individual by name or job title
- You must be able to prove the individual meets the publication's Terms of Control from third-party source documentation that is less than three years old from the date of distribution of the Audit Issue (see section H for requirements)
- You must publish or register a Basic Annual Rate (BAR) to the same requirements as detailed in section D

### **E3 REPORTING**

- You must analyse the number of paid and controlled copies for the Audit Issue by UK and Other Countries, further broken down into rate bands as follows:
  - At full published rates
  - At between 50% and 100% of full rates
  - At less than 50% of full rates
- As with single copy subscriptions if you have not published or registered a BAR the copies cannot be claimed as at full rate

### **E4 RECORDS REQUIRED**

You will need to retain and make available for audit all records required to support your paid and controlled claim, including:

- The subscription documentation as specified in section D
- The documentation proving the individual meets the Terms of Control as specified in section H

## SECTION F – MULTIPLE COPY SUBSCRIPTION SALES

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- F1 INTRODUCTION
  - F2 REQUIREMENTS
  - F3 REPORTING
  - F4 RECORDS REQUIRED
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### F1 INTRODUCTION

This category is where you can claim subscriptions for two or more copies subject to the requirements stated below.

- Details of subscription rates and special offers during the reporting period

### F2 REQUIREMENTS

- The subscription must be for a fixed term (which must be for a minimum of three months or three issues, whichever is the greater) for two or more copies on an every issue basis where either:
  - You cannot identify the final recipient;OR
  - You can identify the final recipient but someone other than the recipient purchased the subscription at less than 10% of the Basic Annual Rate
- You must receive at least the minimum legal tender (i.e. currently 1p) per copy
- The distribution method for copies you claim in this category must suggest they are distributed to the same individual (or fixed pool of individuals) for the life of the subscription. *For example: Copies sold to a company who distribute each issue to the same individuals (or department) on an on-going basis would be eligible. However copies sold to a hotel that distributes the publication to guests, or leave it for free pick-up would not be eligible because of the continual changing group of people to whom the publication is being offered. Copies that do not meet this criteria may be eligible to be reported as Other Bulk Distribution (see section L)*

### F3 REPORTING

- You must analyse the number of multiple copy subscription sales for the Audit Issue by UK and Other Countries, further broken down out into rate bands (by comparing the rate paid per copy with the Basic Annual Rate) as follows:
  - At full published rates
  - At between 50% and 100% of full rates
  - At less than 50% of full rates

### F4 RECORDS REQUIRED

You will need to retain and make available for audit all records required to support your multiple copy subscription sales claim, including:

- For each multiple subscription copy claimed during the reporting period:
  - The supporting subscription card or renewal documentation
  - Auditable proof of payment. If a third-party maintains these details, (e.g. subscription bureau) these will still need to be available to us
  - The distribution method must suggest they are distributed to the same individual (or fixed pool of individuals) for the life of the subscription
- Details of unpaid subscriptions (arrears) during the Reporting period

## SECTION G – SOCIETY / ASSOCIATION / ORGANISATION CIRCULATION

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### G1 INTRODUCTION

### G2 REQUIREMENTS

#### G2.1 ADDITIONAL REQUIREMENTS - PAID OPTIONAL

#### G2.2 ADDITIONAL REQUIREMENTS - UNPAID REQUESTED

#### G2.3 ADDITIONAL REQUIREMENTS – NON-OPTIONAL

### G3 REPORTING

### G4 RECORDS REQUIRED

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### G1 INTRODUCTION

You can only claim copies in this category if the publication is an official publication of a Society, Association or Organisation and you send copies to its members.

Throughout this section 'society' refers to the 'Society, Association or Organisation' as appropriate.

### G2 REQUIREMENTS

- The publication must be an official publication of the Society. This means you may either be:
  - the society publishing your own publication which is deemed to be an official publication of the society;
  - or
  - a publisher whose magazine has been nominated as an official publication by the society
- The copies must be distributed individually addressed to a current member of the Society
- You can only claim one copy to a single individual
- If the society has corporate/company members (normally companies or institutions) who pay membership fees and nominate the recipients, then you may claim copies distributed to those individuals as society circulation. *For Example: 'X Ltd.' is a corporate member of Alpha Society. Four copies, addressed by name and job function, are sent to four different people at X Ltd. This would constitute four valid corporate copies*
- You may claim society copies in any of the following categories as long as you can meet the additional requirements of the relevant category.

#### G2.1 Additional requirements - paid optional

- You must have sent the copy to a member of the society who has chosen to pay an additional sum of money explicitly in order to receive the publication
- You must, for UK/Other Countries as appropriate either:
  - publish a Basic Annual Rate (BAR) in every issue of the publication (either in the publication or on a bound-in card); or
  - register a Basic Annual Rate with ABC
- If the subscription is a company subscription for one or more copies, you must be able to provide auditable proof of the recipient of each individual copy
- You may claim unpaid subscriptions or renewals of current orders as long as you consider them to be live, good and collectable. Note:
  - As a guide you should only claim copies if they fall within your normal credit or grace periods

- You must report to ABC any subscriptions which remain unpaid 3 months after the start of a subscription period for UK addressees, or 6 months for addressees in other countries, that you include in your claim

#### G2.2 Additional requirements - unpaid requested

- You must have sent the copy to a member of the society who has requested a copy of the publication either:
  - in writing
  - via the telephone
  - electronically
- The requirements for request documentation are the same as for controlled circulation, see section H
- The request can be for a period of up to three years from the date of distribution of the Audit Issue.

#### G2.3 Additional requirements – non-optional

There are no additional requirements. You must simply have sent a copy individually addressed to a current member of the society.

### G3 REPORTING

- You must analyse the number of society copies for the Audit Issue by UK and Other Countries in the following categories:
  - Paid optional single copies
  - Unpaid single copies (written requests)
  - Unpaid single copies (electronic requests)
  - Unpaid single copies (telephone requests)
  - Non-optional
- If you are claiming any unpaid requested society circulation you must analyse the age of the requests for the Audit Issue copies into the following age bandings by comparing the date of the request with the date of distribution of the Audit Issue:
  - Under 12 months
  - 13-24 months
  - 25-36 months
- You must analyse the age of requests for the mandatory reporting periods as noted above. However for optional certificates, i.e. a 6-month certificate, 3-month certificate or single-issue certificates, you may either:
  - Undertake a full analysis of the age of requests on the Audit Issue  
OR
  - Apply the same age percentages as used on the most recent 12-month mandatory certificate in order to calculate the total number of copies for each age band. This is known as projecting age of requests.\*

\*This option is only available if the total requested society circulation of the Audit Issue on the optional certificate varies by less than 10% from the total requested society circulation on the Audit Issue of the mandatory certificate.

If you choose to project age of requests on the optional certificate, supporting documentation still has to prove the requests are no more than three years old at the date of the Audit Issue of the optional certificate

- You must report the society's name and number of members at the date of distribution of the Audit Issue. This information will be published on the ABC Certificate
- If your claim includes any corporate / company members then you must report the number of corporate / company members at the date of distribution of the Audit Issue

### G4 RECORDS REQUIRED

You will need to retain and make available for audit all records required to support your society claim, including:

- A written statement from the society confirming at the date of distribution of the Audit Issue:
  - That the publication is an official publication of the society
  - The number of individual members of the society
  - The number of corporate members of the society
- For all copies claimed as society circulation proof that these have been distributed to members of the society. This evidence of membership which will be requested for a sample of addressees at the audit may be supplied:
  - By locating the addressee in a published directory of society members that covers the period of the Audit Issue.
  - If you are the society, by providing evidence that the addressee has paid their society membership fee for the period covering the Audit Issue
  - If you are third party to the society, written confirmation from the society that the sampled addressees were paid up members at the date of distribution of the Audit Issue. Note: if you are publishing the publication for the society on a contract basis we will not consider you third party for ABC purposes – this means written confirmation from the society will not be acceptable as audit evidence of society membership
- Details of membership rates and terms for the society
- For all paid optional society circulation proof of payment for the publication over and above the membership fee of the society
- For all unpaid requested society circulation valid request documentation (the requirements for request documentation are the same as for controlled circulation - see section H)

## SECTION H – CONTROLLED CIRCULATION

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### H1 INTRODUCTION

### H2 REQUIREMENTS

### H3 TERMS OF CONTROL

### H4 REQUESTED CONTROLLED CIRCULATION

#### H4.1 INDIVIDUAL REQUESTS

#### H4.2 COMPANY REQUESTS

#### H4.3 WRITTEN REQUESTS

##### H4.3.1 WRITTEN REQUESTS – RECORDS REQUIRED

#### H4.4 ELECTRONIC REQUESTS

##### H4.4.1 ELECTRONIC REQUESTS – RECORDS REQUIRED

#### H4.5 TELEPHONE REQUESTS

##### H4.5.1 TELEPHONE REQUESTS – RECORDS REQUIRED

### H5 AGE OF REQUESTS

#### H5.1 AGE OF REQUESTS - ANNUAL PUBLICATIONS

#### H5.2 AGE OF REQUESTS – OPTIONAL CERTIFICATES ONLY

### H6 TREATMENT OF REQUESTS ON CHANGE OF NAME/MERGER OF TWO PUBLICATIONS

### H7 NON-REQUESTED CONTROLLED CIRCULATION

#### H7.1 STYLISTED / GENERIC JOB TITLES

### H8 SOURCES FOR CONTROLLED CIRCULATION

#### H8.1 SOURCING FROM RELATED PARTIES

#### H8.2 SOURCING FROM TELEPHONE RESEARCH

##### H8.2.1 TELEPHONE RESEARCH SOURCES- RECORDS REQUIRED

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### H1 INTRODUCTION

This category is where you can claim copies sent free to individuals that you can prove meet stated criteria ('Terms of Control') via third-party source documentation that is less than three years old.

The Terms of Control enable you to demonstrate the quality of your circulation to potential advertisers and to differentiate your publication from others serving the same or similar markets.

Controlled circulation copies are, therefore, useful to advertisers and media buyers because they enable them to target their advertising more effectively.

### H2 REQUIREMENTS

- If you are claiming any controlled circulation copies for the Audit Issue then you must enter the Terms of Control on your ABC Return Form. See section H3 for more details on Terms of Control.
- You must send the copies individually wrapped and addressed, either by name or job title/function, depending on the relevant controlled circulation category (see below)
- You must have third-party documentation that at the date of distribution of the Audit Issue:
  - supports the individual's name, job title/function and address as appropriate
  - proves explicitly that the individual meets the Terms of Control
  - for copies claimed in a requested category includes a valid request for the publication as detailed in the relevant section below
  - is less than three years old
  - meets the requirements specified in section H8

### H3 TERMS OF CONTROL

- The wording of the Terms of Control must be clear as to the criteria that must be proven for a copy to be claimed as controlled circulation. *For Example:*

*'Engineers working in the chemical industry in the UK.'*

- The Terms of Control must relate to individuals not companies. *For Example. 'Engineering companies in the U.K.' would not be allowed whereas 'individuals in engineering companies' is fine*
- Phrases or words that are considered subjective and difficult to explicitly prove are not permitted. This may include terms such as: related, associated, selected, allied to the field, various, specialist, professional, executive. If you would like advice on this please contact us.
- You must not use the following to describe the audience (or part of) in the Terms of Control:
  - Words such as ALL, EVERY because they are usually incapable of being conclusively proven. *For example: 'Every company director in the UK' would not be permitted*
  - Subjective adjectives such as KEY, SUBSTANTIAL, HIGH SPENDING or MAJOR. The word SENIOR is only allowed within the Terms of Control if it has a capital S and is part of a job title. *For Example. Senior Lecturer, Senior Partner*
- In all cases the Terms of Control must allow an individual not to meet the criteria. Therefore:
  - phrases such as '...with an interest in...' or '...interested in...' or are not permitted because a requested copy could always be deemed to meet this criteria
  - phrases such as '...and to other individuals' are not permitted because any copy could meet this criteria
  - The Terms of Control must as a minimum specify at least one qualifying demographic. Examples of a qualifying demographic include job title, job function, purchasing responsibility, business or industry sector, company turnover, attendees at a particular exhibition or members of a particular society/association.

- Note: Geographical region alone is specifically not permitted as a qualifying demographic as it is not considered a sufficiently distinguishing demographic. *For example: 'Individuals in the UK' would not be allowed but Company Directors in the UK would.*
- If relevant for the Terms of Control job titles/functions must be included on the mailing list and supporting third-party documentation
- You must not publish either the Terms of Control or an approximation to the Terms of Control in the publication or on any documents or promotional material targeted at the reader. If you do it might render copies ineligible as controlled circulation due to the potential for applicants being led to complete the specified criteria to obtain a free copy
  - Note: You are allowed to publish the Terms of Control in a media pack or rate card as long as this is not targeted at or distributed to the reader

### H4 REQUESTED CONTROLLED CIRCULATION

- To be claimed as requested controlled circulation there must in addition to the requirements of H2 be a clear documented request for the publication as set out below that is less than three years old at the date of distribution of the Audit Issue
- Please note that you may use other valid source documentation (separate to the request documentation) to prove the addressee meets the registered terms of control. This is sometimes referred to as 'secondary sourcing'. All source documents must meet the requirements detailed in section H8

Requests are analysed in the following categories:

- Individual written requests
- Individual electronic requests
- Individual telephone requests
- Company written requests
- Company electronic requests
- Company telephone requests

#### H4.1 Individual requests

- Individually requested copies are those sent, addressed by name, to an individual who has personally requested a copy of the publication. Only one copy per request is allowed
- Requests are analysed according to whether they are made in writing, electronically or by telephone

#### H4.2 Company requests

- Company requested copies are those sent, addressed by name or job title/function to an individual who has had a copy requested on their behalf by another employee from their company or organisation
- Requests are analysed according to whether they are made in writing, electronically or by telephone

#### H4.3 Written requests

Written request documentation must meet the following requirements:

- The request document must be signed and dated by the addressee for the individually requested category or signed and dated by the employee making the request for company requested
- It must be clear that the individual or employee is signing to request a copy of the publication. Acceptable wording includes 'sign here to request a free copy of <publication name> or 'To continue to receive this publication please sign here'.

Note: if in our opinion there is not a clear indication that the individual is signing a request for the publication then the form will be deemed invalid in support of requested circulation

- The document must clearly indicate which publication or publications is being requested
- If the request document is for more than one publication there must be a separate signature supporting a request for each publication.
- The document must contain sufficient information (in our opinion) to prove explicitly that the addressee fits the Terms of Control unless a secondary source is to be used
- Whenever a document is used to elicit information to prove compliance with Terms of Control, the document(s) must not explicitly or implicitly lead the addressee to give the desired qualification data in order to receive the publication. Suitable ways to ensure this requirement is complied with is to:
  - add an option to the possible answers such as: Other .....(please specify.); or
  - Add possible responses/tick boxes (where used) that include some items that would fall outside the Terms of Control.
- Facsimile (Fax) requests are treated in the same way as written requests. You are responsible for ensuring that fax requests are legible

#### Dual / multi-function documents

- If the request document has a dual / multi-function (*for example registering for an exhibition as well as requesting a copy of the publication*) you must take care when designing it to ensure that the addressee is clearly signing to receive a copy of the publication
- If the dual / multi-function combined card and any associated instructions lead the addressee to request a copy by implication (in our opinion) the request will be disallowed
- On dual / multi-function cards the area for signature and date to receive a free copy of the publication must be a distinct and separate section of the document, clearly delineated by a bold box.
- The box must contain a separate statement such as 'Only sign here if you wish to receive / continue to receive a free copy of this publication' If in our opinion there is not a clear indication that the individual is signing a request for the publication then the form will be deemed invalid in support of requested circulation

- The statement must be in a type size equal or larger than the bulk of the printing on the document, nothing else should appear in the box except, if required, a statement asking the respondent to complete questions relevant to the Terms of Control.

Examples of dual / multi-function documents include documents that contain:

- Requests for two or more publications
- An exhibition registration and a request for the publication
- A competition entry plus a request for the publication
- A reader enquiry plus a request for the publication

### H4.3.1 Written requests – records required

You must retain the original written request documents for every written requested copy claimed for the Audit Issue (and any other documents if required to prove an individual meets the Terms of Control).

### H4.4 Electronic requests

Electronic requests (*for example via the internet or email*) must meet the following requirements:

- If you generate/initiate the internet form/process (*for example via a website or outgoing communication*):
  - It must include a question that makes it clear the individual is requesting a copy of the publication. Acceptable wording includes 'Do you wish to receive (continue to receive) a free copy of this Publication?'
  - A record of the individual's response to the request question must be retained and be available at audit to enable verification. Note: If a respondent has not recorded such a response, the action of clicking on a link saying 'register here' or 'click here to receive free copies' is not sufficient to count as a request for controlled requested circulation purposes. If in our opinion there is not a clear indication that the individual is requesting a copy of the publication then the form/process will be deemed invalid in support of requested circulation
  - The internet form/process must include an audit question to which the answer is likely to be known by the addressee and not the publisher.
    - i) This is known as the personal identifier question (PIQ)
    - ii) A record of the response must be retained and be available at audit to enable verification
    - iii) The PIQ question is set by the ABC and is different each calendar year (therefore if you are re-verifying a request from an individual in a different year then you will be asking them a different question
    - iv) The PIQ question is changed each year on January 1st. Please contact ABC for the current PIQ.
- The internet form/process must not explicitly or implicitly lead the addressee to give the desired qualification data in order to receive the publication.

Suitable ways to ensure this requirement is complied with is to allow the individual:

- To respond 'other'; or
- To enquire about items which are outside the terms of control in the script.
- The name, job title/function and telephone number or email address of the addressee must be collected and recorded as well as the date of the request
- Sufficient information (in our opinion) must be obtained and recorded to prove explicitly that the addressee fits the Terms of Control unless a secondary source is to be used
- If the request is initiated by the individual requesting the copies (e.g. by them sending an unsolicited email) then:
  - There must be a clear indication that the individual is requesting a copy of the publication. If in our opinion there is not a clear indication that the individual is requesting a copy of the publication then it will be deemed invalid in support of requested circulation
  - The response to the current audit question (PIQ) must be included (see above)
  - The name, job title/function and telephone number or email address of the addressee must be collected and recorded as well as the date of the request
  - Sufficient information (in our opinion) must be obtained and recorded to prove explicitly that the addressee fits the Terms of Control unless a secondary source is to be used
  - We recognise that in most cases it is unlikely an unsolicited email will include all of the above information and so you may need to reverify the request by another means.
- Electronic requests for more than one publication at the same time are allowed providing it is clear that the publications have been requested individually
- For company requests, in addition to above, it must be clear that the employee making the request, is nominating each individual to receive the publication and the name and job title of the employee nominating the requests is captured.

### H4.4.1 Electronic requests – records required

You must be able to provide at audit a clear audit trail for all data collected by electronic means. This will include:

- Electronic/hard copy of the data output of the system
- E-mail requests received must be saved or printed and made available for audit
- For each internet/email campaign (including batched downloads of data from your website or from a third-party host/agent):
  - You must either retain the original request form for each addressee;  
Or
  - If keyed in electronically, you must retain a separate file for each campaign. (Note: This means data must not be keyed directly on to the database without a separate record being retained and available for audit)
  - You must retain invoices for all work undertaken by third party contractors

- You must retain copies of the original forms or scripts
- Where you have captured electronic requests individually (i.e. outside of a campaign) and they are keyed/inputted directly to a database, we may increase the level of checking back to the addressees. This may mean you are required to authorise an overtime approval form if it results in an over-run on audit time

### H4.5 Telephone Requests

Telephone requests must meet the following requirements:

- They may be either outbound or inbound telephone calls
- Adequate instructions must exist to the interviewer (for outbound calls) or to the caller (inbound calls) to comply with ABC requirements
- If you are to record the call it is your responsibility to comply with the relevant legal requirements
- The telephone interview/script must include a question that makes it clear the individual is requesting a copy of the publication. Acceptable wording includes 'Do you wish to receive (continue to receive) a free copy of this Publication?'
- A record of the response to the request question must be retained and be available at audit to enable verification. If in our opinion there is not a clear indication that the individual is requesting a copy of the publication then the form/script will be deemed invalid in support of requested circulation
- The telephone interview/ script must include an audit question to which the answer is likely to be known by the addressee and not the publisher.
  - This is known as the personal identifier question (PIQ)
  - A record of the response must be retained and be available at audit to enable verification
  - The PIQ question is set by the ABC and is different each calendar year (therefore if you are re-verifying a request from an individual in a different year then you will be asking them a different question
  - The PIQ question is changed each year on January 1st. Please contact ABC for the current PIQ.
- The telephone interview/ script must not explicitly or implicitly lead the addressee to give the desired qualification data in order to receive the publication. Suitable ways to ensure this requirement is complied with is to allow the interviewee:
  - To respond 'other'; or
  - To enquire about items which are outside the terms of control in the script.
- The name, job title/function and telephone number of the addressee must be collected and recorded
- Sufficient information (in our opinion) must be obtained and recorded to prove explicitly that the addressee fits the Terms of Control unless a secondary source is to be used
- The record of outbound calls must be dated by the interviewer and the phone number called, recorded
- Inbound calls must be dated by the receiver

- Requests for more than one publication in a single phone call are allowed provided the script ensures that the publications have been asked about individually
- For company requests:
  - In addition to above, the script must make it clear to the employee making the request, that they are nominating each individual to receive the publication and the name and job title of the employee nominating the requests must be captured.
  - The current ABC Personal Identifier Question must be asked and the response recorded for the individual making/taking the call

### H4.5.1 Telephone requests – records required

You must be able to provide at audit a clear audit trail for all data collected by telephone. This will include:

- All interview/request forms
- All recordings if taken
- All invoices from the telecommunications companies involved if they itemise calls by telephone number.
- Electronic/hardcopy record of the data output of the system.
- For each telephone campaign:
  - You must either retain the original interview/request form for each addressee; Or
  - If keyed in electronically, you must retain a separate file for each campaign. (Note: This means data must not be keyed directly on to the database without a separate record being retained and available for audit)
  - You must retain invoices for all work undertaken by third party contractors
  - You must retain copies of the original forms or scripts
- Where you have captured telephone requests individually (i.e. outside of a campaign) and they are keyed/inputted directly to a database, we may increase the level of checking back to the addressees. This may mean you are required to authorise an overtime approval form if it results in an over-run on audit time
- To prove that information collected is auditable, we may require that a telephone system is tested before allowing copies to be claimed if the system is to be used as proof of request

### ABC approved telephone systems where calls are recorded and available for audit

- If you (or your bureau) records telephone calls to respondents and you can make these recordings available to us for audit, these may be used as evidence in support of telephone requested circulation providing you get our written approval in advance
- If we approve a recording system then calls made on that system may be exempted from the requirement to ask the Personal Identifier Question (PIQ)

- Our approval procedure will include ascertaining whether:
  - sampled records can be accessed quickly and easily by the auditor
  - the system provides a reliable means of identifying the date of a call
  - the system enables the requirements in relation to telephone requested circulation to be met
  - calls made on the system may be exempted from the requirement to ask the Personal Identifier Question (PIQ).

We would like to remind when recording telephone calls it is your responsibility to comply with the relevant legal requirements

### H5 AGE OF REQUESTS

- Based on the date the request was made and the date of distribution of the Audit Issue you must analyse all requested circulation into the following age categories:
  - Under 12 months
  - 13-24 months
  - 25-36 months

*For Example:*

*Audit Issue distributed on 20.11.2009*

*Under 12 months: All requests dated between 21.11.2008 to 20.11.2009 inclusive*

*13- 24 months: All requests dated between 21.11.2007 to 20.11.2008 inclusive*

*25- 36 months: All requests dated between 21.11.2006 to 20.11.2007 inclusive*

*Requests dated before 21.11.2006 are no longer valid to be claimed as controlled circulation copies.*

- All requests must be made on or before the date of distribution of the Audit Issue. You must not claim requests received or obtained after the date of distribution as requested controlled circulation

#### H5.1 Age of requests - annual publications.

For annual publications the evidence to prove the age of request must be less than three years old either at the principal distribution date or the last date of the distribution period (see section Q for more detail on distribution dates).

#### H5.2 Age of requests – optional certificates only

- You must analyse the age of requests for the mandatory reporting periods as noted above. However for optional certificates, e.g. 6 month certificate, 3-month certificate or single issue certificates, you may either:
  - undertake a full analysis of the age of requests on the Audit Issue
  - OR
  - apply the same age percentages as used on the most recent 12 month mandatory certificate in order to calculate the total number of copies for each age band. This is known as projecting age of requests.\*

\*This option is only available if the total requested

controlled circulation of the Audit Issue on the optional certificate varies by less than 10% from the total requested controlled circulation on the Audit Issue of the mandatory certificate.

If you choose to project age of requests on the optional certificate, supporting documentation still has to prove the request is no more than three years old at the date of the Audit Issue of the optional certificate.

### H6 TREATMENT OF REQUESTS ON CHANGE OF NAME/MERGER OF TWO PUBLICATIONS

If you change a publication's name or merge two publications then valid requests for the original publication may be transferred to the new publication as requested controlled circulation providing the Terms of Control for the new publication are identical or wider than those for the old publication.

### H7 NON-REQUESTED CONTROLLED CIRCULATION

Non-requested controlled copies must meet the requirements detailed in H2, the most fundamental of which is the requirement to have source documentation supporting the name, job title/function and address of the individual as appropriate and proving that the individual meets the Terms of Control.

You can use additional sources ('secondary sourcing') to support additional demographics or to prove an individual meets the Terms of Control.

Whether you have addressed a copy to an individual by name or an individual by job title/function will determine which of the following categories you will claim that copy in:

- Non-requested by name
- Non-requested by job title/function

The analysis between by name or by job title/function must be based on a full count of the addressees for the Audit Issue (and not a sample).

#### H7.1 Stylised / generic job titles

Where your source documentation only proves company details you may add a stylized/generic title/job function to the address to enable the copy to be claimed as controlled non-requested by job title/function

- The stylized/generic job title/function must be one that could be expected to relate to a real individual (*for example Managing Director, Credit Controller*) and must be included in the list of addressees you provide for audit
- You should be careful in the use of job titles/functions to avoid a high duplication level. *For Example: If 30 copies were addressed to 'Company Secretary' at 30 branches of XYZ Co Ltd, these copies would be counted as duplicates as XYZ Co Ltd would be expected to have only one Company Secretary. It would be expected that copies from each branch would be forwarded to the one Company Secretary. This problem would not arise if each of the copies were addressed to a Branch Manager as it would be reasonable to assume each branch would have a manager*

**H.8 SOURCES FOR CONTROLLED CIRCULATION**

All source documentation used in support of controlled circulation must meet the following requirements:

- All sources must be third party. A third party source is a document originating from a company or individual independent of the publisher
- All sources must be less than three years old at the date of distribution of the Audit Issue
- All sources must be dated prior to the date of distribution of the Audit Issue. Sources dated after the date of distribution are not valid in support of controlled circulation
- The original sources must be produced at the audit
- An audit trail must exist between the name on the mailing list for the Audit Issue and the source
- Any demographic criteria required to prove an individual meets the Terms of Control must also be supported by valid source documentation
- It is your responsibility to comply with copyright legislation in relation to the use of third-party sources

Examples of possible source types and how they must be dated are provided in the table overleaf. Please contact us if you have any queries regarding the validity of a source or source type.

**Website sources – validation service**

- If you wish to use as a source a website that does not carry a valid source date you may purchase our optional validation service
- An engagement letter detailing the provision of this service must be in place before the date of distribution of the Audit Issue for which the source will be used. Please contact us to arrange this.

**H8.1 Sourcing from related parties**

A related party is NOT a third party. Therefore a list provided by a related party is NOT a valid source (please see section M for the definition of related party).

However in the following limited circumstances related party data may be valid:

At least one of the following three criteria must apply:

- 1) We have previously audited and verified the data at audit to be compliant with all the requirements necessary for the circulation claim in question
- 2) The related party can provide original source documentation for the addressees on the list
- 3) You have purchased the list from the related party and:
  - You have paid a purchase invoice (money must have changed hands - an inter-company accounting transaction is NOT sufficient)
  - The data on the list is sold as part of an established list rental/sale business. The onus is on you to provide suitable proof of this fact. Examples of suitable proof include promotional material and data rental/sale invoices

**H8.2 Sourcing from telephone research**

You may use information obtained via telephone research as a source in support of controlled circulation providing:

- The telephone number, name and job title of the individual providing the information in the call is asked for and recorded
- The current ABC Personal Identifier Question is asked and the response recorded for the individual making/taking the call
- The name, address and job title/function as appropriate of all addressee(s) who are to be sourced to the call and any information needed to prove they meet the terms of control must be asked for and recorded.

**H8.2.1 Telephone research sources - records required**

You must be able to provide at audit a clear audit trail for all data collected by telephone. This will include:

- All interview forms
- All recordings if taken
- All invoices from the telecommunications companies involved if they itemise calls by telephone number.
- Electronic/hardcopy record of the data output of the system.

**ABC approved telephone systems where calls are recorded and available for audit**

- If you (or your bureau) records telephone calls to respondents and you can make these recordings available to us for audit, these may be used as evidence in support of controlled circulation providing you get our written approval in advance
- If we approve a recording system then calls made on that system may be exempted from the requirement to ask the Personal Identifier Question (PIQ)
- Our approval procedure will include ascertaining whether:
  - sampled records can be accessed quickly and easily by the auditor
  - the system provides a reliable means of identifying the date of a call
  - the system enables the requirements in relation to controlled circulation to be met
  - calls made on the system may be exempted from the requirement to ask the Personal Identifier Question (PIQ).

We would like to remind you when recording telephone calls it is your responsibility to comply with the relevant legislation.

## SECTION H – CONTROLLED CIRCULATION [cont.]

Example sources and dates of sources

Source Type	Records Needed	Date of Source
<b>Written communication from addressee/addressee's company</b>	Copy of communication	Date of document
<b>Telephone communication with addressee/addressee's company</b>	Record of the response to personal identifier question, copy of record and telephone number	Date of communication
<b>Requests for other journals</b>	Copy of request card	Date of request
<b>Reader Enquiry cards</b>	Copy of reader enquiry card	Date of enquiry, postmark or distribution of the issue which contained the card
<b>Web based reader enquiry form</b>	Record of the response to the personal identifier question*, copy of record and email address/telephone number	Date of communication
<b>Email communication from addressee/addressee's company</b>	Record of the response to Personal Identifier Question and copy of communication	Date of email
<b>Competition entries – paper</b>	Copy of the entry	Date of entry
<b>Competition entries – web</b>	Record of the response to the personal identifier question*, copy of record and email address/telephone number	Date of entry
<b>Press cuttings</b>	Copy of the cutting, which includes issue date or complete publication	Cover date of the publication or the first day of the cover date month
<b>Published directories that are publicly available</b>	Copy of the directory	Month and year of publication date. E.g. Cover date is 2009/2010 the date is 1st January 2009 unless an actual publication date is shown
<b>Exhibition attendee lists</b>	Copy of list, invoices/suppliers statement	Last day of Exhibition
<b>Suppliers / business lists</b>	Copy of list, invoices/suppliers statement	Date of acquisition of list
<b>Business cards- if signed and dated</b>	Copy of the Business Card	Date of signature on card
<b>Website data**</b>	Method and date of contact must be recorded. A hard or soft copy of the page which contains the sourced data plus the site's home page must be retained	Either a specific date within the published text on the webpage, or a copyright date (where the 1st of the year should be used - e.g. © 2009 = 1/1/2009) Note: If there is no date on the website then the source cannot be used for ABC purposes (a screen print date generated by the user's computer is not acceptable) UNLESS the data has been validated by ABC as stated in accordance with section 12.8
<p>* The requirement to capture a PIQ is waived if we have carried out an advance systems audit (at an additional charge) and given you written approval to do so. Any web data capture system must record an auto-generated date stamp for each enquiry/entry and be sufficiently secure so as to provide a robust audit trail for ABC sourcing purposes. Only sources collected after completion of the advance systems audit may be claimed using this exemption.</p> <p>**If you are sourcing large quantities of data from websites we recommend you tell us at the time of collection and would like to remind you that it is your responsibility to ensure you are legally entitled to use and store the data for the purposes of the ABC claim and audit. We may ask you to make a declaration that internet sites used as sources are third party. It may be acceptable to use other methods of record keeping or audit as long as you obtain our written agreement.</p>		

## SECTION I – NON-CONTROLLED CIRCULATION

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- I1 INTRODUCTION**
- I2 REQUIREMENTS**
- I3 REPORTING**
- I3 RECORDS REQUIRED**

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### **I1 INTRODUCTION**

This category is where you can claim free copies that are sent individually wrapped and addressed, either to a person by name or job title/function, or to a company.

Whilst you have the address details for these copies you may have no other information about the addressees.

### **I2 REQUIREMENTS**

- Copies must be sent individually wrapped and addressed to either:
  - An individual by name
  - An individual by job title/function or a company.  
*For example 'XYZ Ltd'*
- You may only claim one copy per addressee. All bulk free copies are disallowed
- The analysis between by name and not by name must be based on a full count of the addressees for the Audit Issue (and not a sample)

### **I3 REPORTING**

You must analyse the number of non-controlled copies for the Audit Issue by UK and Other Countries in the following categories:

- Non-controlled by name
- Non-controlled not by name

### **I4 RECORDS REQUIRED**

The only records required for non-controlled circulation are the general requirements for a mailing list for the Audit Issue and evidence of distribution. No source documents for the particular addressees are required.

## SECTION J – DIGITAL EDITIONS

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- J1 INTRODUCTION
- J2 DEFINITION OF A DIGITAL EDITION
- J3 PRINCIPLES OF REPORTING STANDARDS
- J4 REPORTING OF DIGITAL EDITIONS ON THE ABC CERTIFICATE
- J5 REGISTRATION OF DIGITAL EDITIONS WITH ABC
- J6 REPORTING STANDARDS - PAID DIGITAL COPIES
  - J6.1 CORPORATE/GIFT SUBSCRIPTION DIGITAL COPIES
  - J6.2 RECORDS REQUIRED - PAID DIGITAL COPIES
- J7 REPORTING STANDARDS – FREE DIGITAL COPIES
  - J7.1 RECORDS REQUIRED – FREE DIGITAL COPIES
- J8 STANDARDS OF AVAILABILITY
- J9 PUBLICITY RULES
  - J9.1 USE OF ABC DATA – DIGITAL EDITIONS
  - J9.2 COMPARISONS – DIGITAL EDITIONS
  - J9.3 USE OF ABC LOGOS – DIGITAL EDITIONS

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### J1 INTRODUCTION

You can claim copies of digital editions (or 'e-publications') of your publication for certain circulation categories. If claimed, your ABC Print and Digital Certificate (for the remainder of this section just referred to as the certificate) will clearly show the split between print and digital copies.

Note: Before you can claim digital copies you must have registered this intention with us and have received our written agreement of your systems before any copies can be claimed.

### J2 DEFINITION OF A DIGITAL EDITION

- A digital edition is defined as a replica of the print publication distributed electronically as a unit.
- The overarching principle behind the definition of a digital edition is that it is sufficiently similar to be considered as the 'same product' as the print edition or editions of which it is a copy. This is the same principle that underpins the rules for the reporting of print editions.
- To be able to be reported on the ABC certificate a digital edition must be identified as either a digital edition of the main edition or the digital edition of another specified print edition that is reported on the ABC certificate. (The relevant print edition will be referred to as the 'parent edition')
- A digital edition must carry the same editorial and the same ROP (not classified) advertisements (by number and advertisers) as the parent edition.
- Digital editions and their parent edition must be published on or about a common distribution date.
- Digital editions must carry a logotype/masthead incorporating the generic name of the parent publication and be consistent with the general appearance of the parent edition.
- Advertisements may include electronic enhancements or be adapted to take advantage of the medium.
- In cases where editorial or advertising renders the digital edition illegal for on-line publication the

specific advertising/editorial may be removed. In this instance the digital edition will still qualify as a replica of its parent.

### J3 PRINCIPLES OF REPORTING STANDARDS

The following overarching principles must be complied with for the inclusion of digital editions on the ABC certificates:

- All digital edition copies claimed on the certificate must be 'opted in' copies, i.e. the individual has personally paid or requested to receive/view the digital edition.
- We will make a clear distinction between subscriptions that are 'paid for' and those that are 'free' as the definition of 'distribution' will not be the same.
- For each paid digital copy there must be proof of:
  - Entitlement to the copy
  - Availability of the copy
- For each free digital copy there must be proof of:
  - Entitlement to the copy
  - Availability of the copy
  - Notification of the copy.
- Entitlement to copy.  
We will verify that the individual is entitled to receive/view the publication by examining the payment documentation and evidence of payment or verification of the free request documentation as applicable and as laid down in the following sections.
- Availability of copy.  
We will need to check as part of the ongoing processes that the correct publication and issue was available for download or view. Even if the individual received an email notification of the availability of the publication this cannot be defined as ABC circulation. If the URL or PDF was not available or had not been set up with the correct issue then you would not be able to claim the digital

circulation of that issue. Please see section J8 regarding standards of availability.

- Notification of copy (free copies only). For free subscriptions we will verify the number of email alerts that are sent out to subscribers by checking to email system records, email write backs, reducing for hard bounce backs and duplications. The detailed Reporting Standards for this are noted below.

### The procedure for the testing of digital edition notification/distribution will be as follows:

- ABC carries out notification testing throughout the period. If at the end of the reporting period ABC has identified that there is a material problem with the digital edition claim for the period then it will notify the publisher in writing (in advance of the Return submission deadline) of the required amendments to the digital edition claim. ABC cannot certify copies at this stage if testing indicates there is a material problem.
- In these circumstances the options for the publisher are:
  - Accept the proposed amendment to the digital edition claim and when submitting their Return restrict their digital edition claim to these figures;
- or
- If they disagree with the amendments they must within 10 working days of receipt of the notification letter inform ABC that they either:
  - i) request the audit of the entire Return (print and digital editions) be carried out in advance of the certificate being issued (in which case they would be able to appeal the decision on digital edition copies when ABC confirms the conclusion of the entire audit);
  - or
  - ii) ask ABC to issue the certificate with the amended digital edition claim but lodge an objection to the amended figures. ABC will carry out the entire audit of the print and digital edition copies after certification and consider and respond to the objection against the digital edition amendment at the same as the communication of the audit conclusions. The publisher would therefore have the normal rights to appeal thereafter.
- We will monitor the 'distribution' on an ongoing basis throughout the reporting period. This would be to test the 'entitlement to the copy', the 'availability of the copy' and the 'notification of copy'.
- As systems will not be identical from one publisher to another it is essential that we are able to adapt the audit processes if necessary to ensure that the principles of opting in, entitlement to copy, availability of the copy and notification of the copy can be sufficiently verified to our satisfaction.

### J4 REPORTING OF DIGITAL EDITIONS ON THE ABC CERTIFICATE

The principle behind reporting digital editions on the ABC certificate is that an individual has explicitly asked you (i.e. opted-in) for copies by this mode of distribution and that individual is only counted once in the circulation of the publication.

- Digital edition copies are:
  - Included in the total average circulation figure with print circulation
  - Analysed as a total average by UK and Other Countries
  - Analysed for the Audit Issue by UK and Other Countries in the same circulation categories (allowed as detailed under this section) and price / rate bands as for print copies
- Where all the supplements accompanying the parent print edition are not included in the digital edition this will be reported on the certificate.
- You must only count once on the certificate those addressees who receive both the digital and print copy. You must count these addressees under print only.
- You may opt to report on the certificate the percentage of the average net circulation that has also opted to receive a digital edition provided that entitlement, availability and notification (if needed) are complied with.
- You may only include digital editions in the following circulation categories:
  - Paid and Controlled
  - Single copy subscription sales
  - Current issue single copy sales
  - Society circulation (paid optional and unpaid single copies providing they are individually requested)
  - Controlled free circulation providing they are individually requested
  - A category called Corporate/gift subscriptions specifically for digital editions copies (see section J6.1).
- As we will operate a continuous audit to verify the availability and notification of digital editions, some audit work on digital editions will occur before certificates are issued. We will carry out the audit work to verify entitlement to copy at the same time as the print audit.

### J5 REGISTRATION OF DIGITAL EDITIONS WITH ABC

- You must register your intention to include digital editions with us in advance of the start of the reporting period in which those copies are to be claimed.
- Auditing of digital editions must be carried out by us if they are to be claimed on ABC certificates.
- We may contact any digital subscribers at any point for further verification.
- As part of the registration process you must demonstrate the digital edition and process to us.
- You must disclose to us any digital editions that do not include all of the supplements accompanying the parent print edition.
- We will explain the Reporting Standards relating to digital editions as part of the registration process.

- You must confirm in writing your acceptance of the audit process, and adherence to additional rules relating to the auditing and publicity of digital distribution.
- We will confirm in writing acceptance of the inclusion of digital editions on certificates (subject to audit)
- You must notify us in advance of any fundamental changes to the registered digital edition during the reporting period.
- You must include a specified ABC address on each 'delivery' of a digital issue. In addition you must make available a copy of the print publication to us upon request. We will use normal sampling techniques to specify which print issues you must supply to us.
- You must provide planned distribution dates in advance of each reporting period and you must tell us of any changes to these.

### J6 REPORTING STANDARDS - PAID DIGITAL COPIES

- If the URL / PDF is not available or links are not functioning or not set up with the current issue you will not be able to claim any digital editions for this issue. Please see section J8 regarding standards of availability.
- You must ensure a single Total Distribution List (TDL) is available to us for every issue on an issue-by-issue basis.
- The TDL is defined as one file per issue, which contains a complete record of all digital and individually addressed print copies
- Each issue's TDL must include relevant coding which enables the type of distribution, print, digital (or both if claimed on the certificate) as well as the circulation type to be identified.
- A full name and postal mailing address must be collected and recorded on the TDL for each digital copy claimed.

You must de-duplicate each issue's TDL to calculate the net digital edition claim to be reported on the certificate.

- You must record and submit to us on an issue by issue basis (or as otherwise agreed in writing with us) the net figures for each issue. We will use normal sampling techniques to specify which lists we require for audit purposes during the reporting period.
- You must report the price / rate at which paid digital copies are claimed using the same basis as for print copies according to these Reporting Standards. Price bands will be the same as for those stipulated under the relevant print circulation category. *For example, the price bands for single copy subscription sales would be:*
  - At full rate
  - At Between 50% and 100% of full rate
  - At less than 50% of full rate
- You must calculate the price band for single copy sales of digital editions and digital edition subscriptions against the cover price of the print copy for single copy sales and the print copy BAR for subscriptions.

*For example the BAR for a print subscription is £200 and its digital edition is marketed for a subscription rate of £80.*

*For rate band reporting purposes an £80 subscription to the digital edition must be reported according to  $80/200 = 40\%$*

- You cannot register the rate of a digital subscription as a separate BAR.

#### J6.1 Corporate/gift subscription digital copies

- You may report Corporate/gift subscriptions to digital copies on the certificate.
- A corporate subscription is defined as a subscription purchased by a business/organisation on behalf of their employees. Subscriptions purchased on behalf of customers or members would not qualify as a corporate subscription.
- A gift subscription is a subscription purchased by one individual on behalf of another individual. (The maximum order for gift subscriptions is 12 separate subscriptions for named individuals from one purchaser who is not the recipient, their employer, a customer or member)
- You must collect a valid postal mailing address and e-mail address for the recipient of every corporate/gift subscription copy claimed.
- You must restrict the number of copies claimed to those individuals who in addition to being covered by a corporate/gift subscription have provided their personal details and personally opted to receive/view the digital edition.

*For example. A company takes out a subscription for each of its 100 employees. If only 40 of those employees personally register to receive/view the digital edition then only those 40 copies may be included on the ABC certificate*

#### J6.2 Records required - paid digital copies

- All paid digital copies must be valid and comply with the Reporting Standards for the relevant print circulation section in these Reporting Standards as well as this Digital Editions section
- The documentation and payment evidence retained for all paid digital copies must comply with the relevant print circulation section in these Reporting Standards
- In addition for corporate/gift subscriptions you must retain evidence that the individual has provided their personal details and personally opted to receive/view the digital edition (e.g. via a registration process or request).

### J7 REPORTING STANDARDS – FREE DIGITAL COPIES

- For a free digital copy to be valid the digital edition subscriber must, at a minimum, receive an alert instructing them that the issue is available for download. The alert should either contain a link to the location where they may download/ view the digital version or contain the edition itself.

- All digital editions claimed for the issue will be disallowed if the URL / PDF is not available or links are not functioning or not set up with the current issue. Please see section J8 regarding standards of availability.
- For every issue on an issue-by-issue basis the publisher must ensure a single Total Distribution List (TDL) is available to our auditors.
- The TDL is defined as one file per issue, which contains a complete record of all digital and individually addressed print copies.
- Each issue's TDL must include relevant coding which enables the type of distribution, print, digital (or both if claimed on the certificate) as well as the circulation type (e.g. subscription or controlled etc) to be identified
- A full name, postal mailing and email address must be collected and recorded on the TDL for each digital copy claimed.
- Each issue's TDL must be de-duplicated by the publisher and be net of hard bounce backs. This is the net digital edition claim which is reported on the certificate
- Bounce backs must be measured at least 24 hours after the digital issue has been distributed.

### Definition of hard bounce backs:

The total number of emails in the gross distribution that generated an NDN (Non-Delivery-Notice) measured at least 24 hours after the time of the last email sent in that single mailing. *For example an SMTP 550 error or other hard bounce back error message*

- The net figures for each issue must be recorded and submitted to us on an issue by issue basis or as otherwise agreed in writing with us (this is known as the 'Digital Analysis Claim').
- We will use normal sampling techniques to specify which Total Distribution Lists are required for audit purposes during the reporting period.
- For every digital copy claimed within every issue in the distribution period, system generated proof (such as a notification log) must be available to our auditors. We will use normal sampling techniques to specify the issues for which these will need to be produced for audit.
- The system generated proof must provide evidence of what has been distributed, when and to whom. This means the system must be able to demonstrate the following:
  - Date sent
  - Time sent
  - Name of publication
  - Issue identifier
  - Email address
  - Size of file delivered
  - Addressee identifier

### J7.1 Records required - free digital editions

- All free digital copies must be valid and comply with the Reporting Standards for the relevant print circulation section in these Reporting Standards as well as this Digital Editions section

- All supporting documentation must be retained and comply with the relevant print circulation section in these Reporting Standards
- Documentation must clearly indicate that the digital edition is requested.
- Postal and email addresses must be collected for all digital copies claimed.

### J8 STANDARDS OF AVAILABILITY

It is recognised that for technical or other reasons a digital edition may not be available 100% of the time. The following rules detail how we will audit and report these situations.

#### Auditing procedure

- You must provide us with free access to the PDF and / or the URL hosting the digital edition for every issue.
- We will test the availability of the digital edition. We will test that:
  - The correct digital edition is available on the stated publication date/period.
  - The digital edition is available for viewing and / or download as required.

Failure on either count will establish initial non-availability and trigger a second test.

If we are not able to access the correct digital edition, the access and content will be re-tested within a specified time depending on the publishing frequency of the publication as follows:

Publishing frequency	Time frame for re-test
Daily	Within 1 hour
Weekly	Within 1 day
Monthly	Within 1 week

If the second test also proves negative on either count we will inform you and it will then be your responsibility to demonstrate to us the availability of the digital edition.

We will perform testing to satisfy itself as to the extent of the availability.

How a particular issue is reported will depend upon the established level of availability as follows:

- Availability 0% (i.e. not available at all)  
We will disallow the entire digital edition claim for an issue if it is not available at all during the planned distribution period. We will report the non-availability of the issue on the certificate and in other published ABC data.
- Availability less than 80%  
If a digital edition is available for less than 80% of the planned distribution period it will be included in the claim and we will report the extent of the digital issue's availability (x%) on the certificate and in other published ABC data.

- Availability greater than or equal to 80%  
The issue will be included without any additional reporting requirements.

**J9 PUBLICITY RULES**

The overarching principle for the presentation of digital edition data is that the user is provided with clear and unambiguous information on digital copies alongside or adjacent to (i.e. not in a footnote) the latest ABC average net circulation figure, including the period of certification and the split between print and digital copies.

Note: The following requirements are in addition to ABC Publicity Byelaws (see appendix 1), which still apply to digital copies.

**J9.1 Use of ABC data – digital editions**

- Whenever a publisher quotes an ABC figure that includes digital copies, the split between print copies and digital copies must be made clear.

*For example any of these statements would be acceptable:*

*ABC total average circulation 13,785 (July – Dec 06, 9,200 print, 4,585 digital)*

*ABC total average circulation 13,785 (including 4,585 digital), July – Dec 06*

*ABC total average circulation 13,785 (9,200 print), July – Dec 06*

*This would also apply to extracted figures not just the total average, e.g.: Single copy subscriptions 6,742 (including 1,456 digital)*

- An ABC digital edition figure quoted on any material (including editorials, sales presentations, media packs and websites) must be published alongside or adjacent to (i.e. not in a footnote) the latest average total net circulation certified by ABC including the period of certification and the split between print and digital copies.

*For example:*

*2,328 paid digital subscriptions (Nov 06 issue)  
ABC average net circulation July to Dec 2006, 24,355 (including 2,207 digital)*

- If publishers report on the certificate the percentage of the average net circulation that have also opted to receive a digital edition, then this must be accompanied by the latest average net circulation certified by ABC including the period of certification and the split between print and digital copies.

*For example:*

*ABC average net circulation July to Dec 2008, 24,355 (including 2,328 digital). In addition 6% of the average net circulation also opted to receive a digital copy.*

**J9.2 Comparisons – digital editions**

- Comparisons of figures for digital editions between different publications must be published alongside or adjacent to (i.e. not in a footnote) a comparison of

the latest average total net circulations certified by ABC including the period of certification and the split between print and digital copies.

*For example:*

	<i>Digital subscriptions</i>	<i>Average circ'n</i>
<i>Publication X</i>	<i>2,328</i>	<i>24,355</i> <i>(including 3,153 digital)</i>
<i>Publication Y</i>	<i>2,587</i>	<i>27,456</i> <i>(including 4,864 digital)</i>

*Source: ABC July to Dec 2009*

- If a comparison of digital edition figures is between a publication whose certified digital edition's figure is primarily paid and a publication whose certified digital edition's figure is primarily free, a fair and clear distinction between the respective types of circulation must be shown.

*For example:*

	<i>Digital copies</i>	<i>Average circ'n</i>
<i>Publication X</i>	<i>2,328 (free)</i>	<i>24,355</i> <i>(including 2,547 digital)</i>
<i>Publication Y</i>	<i>2,587 (paid subs)</i>	<i>27,456</i> <i>(including 2,774 digital)</i>

*Source: ABC July to Dec 2009*

**J9.3 Use of ABC logos – digital editions**

The ABC logos must not be published within, or in relation to a digital edition until receipt of the first ABC certificate that includes digital edition copies

## SECTION K – DEMOGRAPHIC ANALYSIS / PROFILE CERTIFICATE

- K1 INTRODUCTION
- K2 REPORTING - CERTIFICATE TYPES
  - K2.1 THE STANDARD CERTIFICATE OF CIRCULATION WITH DEMOGRAPHICS
  - K2.2 THE PROFILE CERTIFICATE OF CIRCULATION
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  - K5.1 SUMMARY GEOGRAPHICAL ANALYSIS (MANDATORY FOR PROFILE CERTIFICATES)
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  - K5.7 FORWARD PROJECTIONS OF AGES OF CONTROLLED CIRCULATION (OPTIONAL PERIOD CERTIFICATES ONLY)
- K6 RECORDS REQUIRED

### K1 INTRODUCTION

Providing demographic analysis of your publication's circulation is an effective way of demonstrating the quality of that circulation to your prospective advertisers and can provide an important competitive advantage.

The choice of demographic audit will, in general, depend on the sophistication of the market that your publication serves and the amount of auditable information that you hold.

ABC demographic audits differ from readership surveys because they are a census of all the analysed data provided for each addressee on the Audit Issue mailing list. All findings are based on an exact count and are not grossed up.

Readership surveys are based on research undertaken on a sample that is then extrapolated using the circulation as a base.

Demographic auditing is normally most appropriate for publications with significant levels of subscription, society or controlled circulation.

### K2 REPORTING – CERTIFICATE TYPES

You have the choice of the following two types of certificate that enable you to report the demographic detail of your circulation:

- Standard Certificate with Demographics
- Profile Certificate

Both certificates provide demographic data on the individuals who make up the circulation mailing list of your publication.

- All analysis of demographics is conducted on the Audit Issue as defined in section P
- Your demographic analyses must be based, as a minimum, on the whole of the free distribution of the Audit Issue
- You must show addressees as "Not Analysed" on demographic tables if for the addressee any of the following applies:
  - Demographic data does not exist
  - Auditable proof of the demographic is unavailable
  - You choose not to disclose a portion of the addressees.
- You must not 'gross up' any of the data to imply that it represents the total addressees for the Audit Issue
- The total for each demographic claimed will be calculated by us and shown as a percentage of the Audit Issue total net circulation. You may request the removal of percentages from optional tables on both a Profile Certificate and on any tables on a Standard with Demographics Certificate.

### K2.1 The Standard Certificate of Circulation with Demographics

The Standard Certificate of Circulation with Demographics consists of the Standard certificate with the addition of up to 4 tables of demographic data, which you can choose depending on the data you wish to present to your advertisers.

On this certificate there is no facility to include graphics. However, as there are no mandatory tables and you can choose the demographics to be audited, this certificate is very flexible.

Once you have registered for this certificate, unless you tell us in writing to the contrary, we will assume that the publication is to issue a Standard with Demographics on a continuous basis after the first certificate is issued.

### K2.2 The Profile Certificate of Circulation

The Profile audit delivers accurate and verified demographic data which is a vital tool that can help your advertisers target their advertising spend more accurately.

The Profile Certificate contains a number of mandatory demographic tables, formatted as single response tables, which have to be reported in order to achieve Profile status. They are:

- Job Title or Primary Job Function
- Company Activity
- Geographic Analysis
- Sources and Ages of records supporting free distribution copies

In addition to these you can include optional tables to enable you to analyse additional data that demonstrates the strength of your publication's circulation. Some common examples are:

- Purchasing Responsibility
- Number of Employees in the Company
- Company Turnover

Once issued the Profile Certificate replaces the Standard Certificate, which is included as part of the Profile Certificate, taking up the first few pages.

#### K2.2.1 Publicising Profile Certificates

- You may choose whether or not to publicise the fact that your publication has registered for a Profile.
- If you do publicise the registration of your publication for a Profile Certificate in advance of receiving the issued Profile Certificate, you are reminded that until the demographic data is certified you must not associate it with ABC and clearly source it as a publisher's statement
- Where you have chosen to publicise registration of your publication for a Profile Certificate, and it is not issued within 3 months of the end of the reporting period, we will publicise the non- issue, regardless of the reason.
- All issued Profile Certificates are published as PDF files on our website.

### K3 REPORTING- DEMOGRAPHIC TABLE FORMATS

There are three main types of table format that can be produced; single response, multiple response and cross analysis. A cross analysis table is only available as part of a Profile Certificate.

Footnotes to tables must be added if in our opinion the table is unclear without explanation.

Footnotes are required for the following:

- Multiple response tables
  - To highlight the fact that responses rather than copies are being analysed
  - To indicate the number of addressees analysed as a percentage of the total
- Where only a part of the circulation has been analysed
- Sites - duplication level

#### K3.1 Single response tables

- This table displays analysis of data where each addressee is counted once in a table. *For example: Job title*
- All mandatory tables on a Profile Certificate will be single response tables.

#### K3.2 Multiple response tables

- In this table format more than one response can be analysed for an addressee. This means an individual may be included under different categories/headings in the same table. (An exception to this is if you choose to re-group categories where only one response per individual may be counted - see section K 4.5)

Examples of demographics that may be analysed in a multiple response table are purchasing responsibilities and areas of interest.

- So that tables are clear, multiple response tables must include two additional notes:
  - Stating the number of copies analysed and the percentage of the analysed issue this represents.
  - Stating that the table allows for multiple responses by the addressee.
- In addition we may ask to include additional notes if in our opinion the table appears unclear.
- If you choose this option with a Standard Certificate with Demographics you will incur an additional charge at audit as the rate card fee is based on single response tables.

#### K3.3 Cross analysis tables (profile certificates only)

- In this table format you can cross reference one addressee demographic against other demographics. *For example: You could show purchasing power by job title*
- The demographics on each axis of a cross analysis table do not need to be published as separate tables in the certificate, but they must be audited separately and are charged accordingly.

- So that tables are clear the cross analysis table must include a note stating the number of copies analysed and the percentage of the analysed issue this represents.
- In addition we may ask to include additional notes if in our opinion the table appears unclear.

**K3.4 Site analysis (Profile Certificates only)**

- You can use a site analysis to illustrate the number of plants or establishments that your publication reaches
- A site is defined for ABC purposes as an establishment or separate business location primarily engaged in one economic activity at a single location. *For example: Within the motor trade sector a chain with five body shops at different addresses would constitute five sites.*

**K3.5 Additions and deletions table (Profile Certificates only)**

- You can use an additions and deletions table to show if there is continuity or rotation of supply to addressees that make up the circulation. The table is based on a full issue by issue analysis.

**K4 REQUIREMENTS – PREPARATION FOR AUDIT**

In order to successfully complete a demographic audit your data should be prepared as detailed below.

**K4.1 Preparation of Audit Issue file**

- When you extract the Audit Issue mailing list you must take a ‘frozen’ copy of the data held at this time, and save it as a separate file.
- This file is the Audit Issue file and our verification at audit will be conducted on this file.
- The Audit Issue file should be prepared as detailed in section P4
- In addition to the coding and preparation specified in section P4, each line of the file should be populated with the following data held against each analysed addressee:
  - The demographic data that relates to the individual addressee
  - The company specific data that relates to each addressee.
- You must ensure your coding system, and any grouping of codes into demographic table categories (see interpretation of data) is explained clearly
- You must provide us with field names and coding lists so that we can ensure the list is auditable

**K4.2 Choice of data to be analysed**

- If you choose not to analyse data for particular addressees or groups then you may classify them as ‘not analysed’
- Where more than one answer has been given to a single response question on the registration document, you may select the single answer you choose to analyse.

**K4.3 Interpretation of data**

- Interpretation of data is the term used to describe the situation where your demographic data is converted from one format on your source documentation to

another format on your database. This is done to facilitate data analysis

- If you have used interpretation, you must retain a record that clearly explains the link between your source document and the coding on your Audit Issue file.

*For example: Analysis by Job Function - Job functions may be converted to numeric codes.*

Function (on source document)	Code (on database)
Purchasing of products/ services	01
Hire of Products/ services	01
Contract Management	02
Plant Management	03
Estimating	04
Quantity surveying	04
Sales	05
Marketing	05

- You should note that if you use interpretation for demographics included in a Standard Certificate with Demographics, we may charge you overtime on the audit fee. This is because the pricing structure for demographic tables on this certificate is based on direct matching of the database to the demographics captured on the source document.

**K4.4 Secondary sourcing**

- Secondary sourcing may be used to update a demographic held on an individual by replacing an ‘old’ demographic by a more current one from an ancillary source. *For example a registration card from another publication gained at a later date may show a job title change for a particular individual.*
- Secondary sourcing may also be used for corporate or company level demographics where an ancillary source is used to assign the demographic to the company. *For example two individuals at a single company may give a different number of employees. In this instance the publisher can ‘override’ the company level demographic given by one individual by the one given by the other individual. Alternatively the publisher may allocate the number of employees for a particular company from the information in a directory or other published source.*
- You must ensure that all records used to assign the demographic are clear and available at audit. This may mean that you need to retain several records if they are required to verify all the demographics claimed for one addressee.
- If there is more than one source type on a Standard with Demographics Certificate, we will charge you overtime on the audit fee

CIRCULATION REQUIREMENTS

### K4.5 Grouping of data

- If required you may regroup data extracted from the database into distinct categories or headings to improve the presentation of the data on your demographic tables. Therefore the categories found on your Audit Issue file will not exactly match the categories on your certificate. *For example: Sales Managers, Production Managers and IT Managers may be grouped together under one heading "Managers"; or Number of employees 501-1,000 and 1,001+ grouped together under one heading "500+"*
- If you do this you must keep a clear record of how you have grouped the data so that any particular line of demographics on a demographic table can be replicated exactly from the Audit Issue file
- Any descriptions used to describe the groupings must be representative of the data grouped
- Where more than one type of a particular job title appears on a demographic table, any generic use of that title must be preceded with the word 'other' (e.g. other engineers, other managers etc). *For example: Sales Managers 1,400 Technical Managers 3,200 Other Managers 2,200*
- If data is regrouped on multiple choice tables only one response per individual can be counted within a regrouped category.
- If any grouping of categories is undertaken on a Standard Certificate with Demographics, then we will charge you overtime on the audit fee

### K4.6 Sample selections

- Sample selections are produced by us and sent to you in advance of our auditor's on-site visit
- Sample selections detail the addressees and data for which you are required to provide the source documentation.
- We will normally send your sample selections to you four weeks before the audit date.
- If you need more than four weeks between sample selection and audit please contact us

## K5 OTHER REQUIREMENTS

### K5.1 Summary geographical analysis (mandatory for Profile Certificates)

- You must prepare an analysis, by type of circulation, of the whole of the distribution of the Audit Issue.
- As a minimum, the data must be analysed by Regions of the UK and/or Regions of the World.

In the following cases you do not need to conduct this analysis:

- If either the UK or Overseas circulation is less than 5% of the total circulation, that part of the circulation need not be analysed in detail
- If any region accounts for less than 5% of the total circulation it may be shown as "other" on the analysis.
- World regions may be amalgamated as "Other" up to a maximum of 5% of the total circulation.

The list of ABC geographic regions can be found on the ABC Return Form and on the ABC website.

### K5.2 Analysis by industry/business sector (mandatory for Profile Certificates)

- You may use your own headings for type of industry/business sector or SIC codes.

### K5.3 Analysis by job title OR by primary job function (mandatory for Profile Certificates)

- You must prepare an analysis either of the job title OR the primary job function of the addressee.
- If an addressee has no job title or primary job function that addressee must be classified as not analysed.

### K5.4 Analysis of the sources and ages of name and address records supporting free circulation. (mandatory for Profile Certificates)

- You must prepare an analysis of all the copies claimed in a category of free circulation for the Audit Issue with the exception of non-controlled free circulation which must be shown as 'not analysed'.
- This includes all controlled and free society circulation.
- If a source is claimed, the source must be available for audit. If there is no source evidence then those addressees must be classified as not analysed.
- You may also show the type of source documents used to source non-requested controlled circulation if you wish – this is optional.

### K5.5 Site analysis (optional)

- If you choose to report a site analysis:
  - this is shown on the certificate as an additional column on the tables you select
  - you must analyse the sites by geographic area, and industry/business sector as a minimum
  - You must state the site duplication level on all tables which include a site analysis
- If you wish to analyse site information you must have a coding system that allows each site to be identified and audited.
- The most effective method is to allocate each site a unique company number. This means that addressees with the same company number are counted as being at the same site.
- Copies mailed to home address - if a copy is not addressed to the addressee's place of work (e.g. it is sent to a home address) then that copy must not be included unless there is auditable data on the place of work. The place of work will be used to define the site.
- You must state the site duplication level on all tables which include a site analysis. If there is site duplication in excess of 5%, a site analysis will not be allowed.
- Site duplication is defined as two or more occurrences of the same company name at the same address undertaking the same economic activity. It is also necessary to check for cases where a company name has changed or a company has moved.

- The method of calculating the level of site duplication is as follows:
  - Produce an Audit Issue file listing of all site addresses with all site level demographics claimed on the profile certificate.
  - The listing should be sorted by country, then by ABC region, by county, by postcode and finally by company name alpha.
  - Test a sample of 100 sites across the entire list at an nth interval. nth number is to be calculated as follows:

$$\frac{\text{Total number of sites for Audit Issue}}{100} = \text{nth number}$$

- Mark each selected site until the end of the list has been reached. Scan the sites. Select every nth site in the list starting at a random point within the first 10 sites around each site selected to see if the same site exists elsewhere
- Calculating duplication level - The duplication must then be quantified remembering that two occurrences of a site is one duplication; three occurrences are two duplications etc. *For example: 100 sites checked, 5 duplicates found = 5% site duplication on the list.*
- The figure stated must be a whole number, decimal places being rounded down to a whole number. *For example: tests show 5.7%, enter 5%.*
- For all tables showing corporate demographics the site analysis shows the total number of sites for each demographic category, therefore each individual copy at a site must be claimed in the same demographic category as the site
- For demographics, which relate to the Company not the individual (*for example: Industry/Business/Sector, Number of Employees*), you must apply the company level demographic to all individuals at a site regardless of the individual's response
- This corporate demographic may be proved by an ancillary source
- When the site analysis is prepared the total number of sites will match the number of sites on the geographical analysis
- For individual-level demographics (*for example: Job Title, Purchasing Influence*):
  - Sites may be analysed according to the individuals' demographic responses
  - The total in the sites column may exceed the total number of sites, as different categories may occur at the same site. A footnote must be included to explain the number of sites. In addition the number of sites will not be totalled on the certificate.

**K5.6 Additions and deletions table (optional)**

- You must keep records to show the issue by issue additions and deletions to and from the mailing list together with the names and addresses of those additions and deletions.
- The following definitions will be applied:

- Original record: details of an addressee on the previous mailing list.
- Current record: details of an addressee on the mailing list being analysed.
- Addressee: each addressee record consists of up to five items:-
  - i) Name
  - ii) Job title
  - iii) Department
  - iv) Company name
  - v) Address
- Original item: item forming part of the addressee record for the previous issue's mailing list.
- Corrected item: an original item altered because of an error (e.g. spelling) since the last mailing.
- Changed item: an item removed from a record since the last mailing, or an item replaced or altered in substance since the last mailing.
- New item: an item added to a record since the last mailing.
- If there is an original record with no related current record, then the original record will constitute a deletion for the current issue.
- If there is no original record related to the current record being checked, then the current record will constitute an addition only.
- If any item on an original addressee record has been changed since the previous mailing (i.e. is not an original item) then that record will be classified as both an addition and a deletion when compiling the data for the demographic table unless:
  - The current record contains only original or corrected items.
  - The job title and/or department is/are a new or changed item but the name is not changed.

**K5.7 Forward projections of ages of controlled circulation – optional period certificates only**

- If the total controlled circulation of your Audit Issue on an optional certificate varies by less than 10% from the total controlled circulation on the Audit Issue of your last mandatory certificate you may either:
  - Undertake a full analysis of the age of requests on the Audit Issue.
  - OR
  - Apply the same percentages as used on the most recent 12- month mandatory certificate in order to calculate the total number of copies for each age band. This is known as projecting age of requests.
- If you do choose to project age of requests on your optional certificate, supporting documentation still has to prove the request is no more than three years old at the date of the Audit Issue of the optional certificate.
- The certificate will clearly state that the age of request/age of source analysis has been projected forward.

**K6 RECORDS REQUIRED**

- All analysed data must be supported by valid (third party) source documentation, which proves the demographic and which must be available for inspection at audit.

- In the main demographic analyses is undertaken on controlled circulation however other circulation types can be analysed provided valid source documents are available to support the demographics of each addressee.
- Demographic data cannot be analysed for non-controlled free circulation except under a geographical analysis
- Valid source documents must be available to prove all demographics claimed as well as proving Terms of Control fit.
- The source documentation must comply with all the requirements that are detailed in section H8.
- As source records must be available to support every demographic claimed, the Audit Issue file needs to include sufficient coding to allow documents to be identified and located easily. This may be a batch number, directory code or other useful reference
- If a sealed galley is to be relied on, you will still need to find source documents for any demographic which was not audited on the sealed galley.

## SECTION L – BULK DISTRIBUTION (NOT INCLUDED IN AVERAGE CIRCULATION)

### L1 INTRODUCTION L2 REQUIREMENTS L3 REPORTING L4 RECORDS REQUIRED

#### L1 INTRODUCTION

This category is where you can claim copies that are not sent individually wrapped and addressed but delivered in bulk (whether paid for or free). Examples might include copies delivered in bulk to exhibitions, conferences, airlines, hotels and businesses.

These copies will not be included in the total average net circulation or Audit Issue net circulation figures but will be shown in a separate section of the certificate.

The principle for copies claimed in this category is that you can provide satisfactory third party evidence of distribution to the location where the copies are distributed to the end recipient.

#### L2 REQUIREMENTS

You must be able to provide the following for each bulk distribution claimed:

- Details of:
  - The name, address, job title and organisation of the individual responsible for/receiving the distribution
  - The number of copies and issue identifier of the publication distributed
  - The price paid (if applicable)
  - The date and method of distribution
- Evidence that confirms the delivery of each consignment to the location where the copies are to be made available for pick up or receipt by individuals of the target audience (Note: Evidence of delivery to a central warehouse, your offices or any other intermediary location is not sufficient). See section L4 below for more detailed requirements
- For each paid bulk sale:
  - The transaction must be bona fide and with a third party whether sold direct by you or through newstrade or other third party channels
  - You must receive at least the minimum legal tender (i.e. currently 1p) per copy
  - All bulk sales must have final proof of distribution and sale at the date of the ABC return submission - you must not estimate the number of copies claimed

#### L3 REPORTING

- You must report bulk distribution in the separate bulk distribution section and not include them in the total average net circulation or Audit Issue net circulation figures
- You must analyse bulk distributions in the bulk distribution section by issue (or summarised by month of issue as a minimum) detailing:
  - Total bulk copies
  - Rate (free or paid – see below)
  - Category/distribution location.

The level of detail given will largely be your decision, affected by the nature of the deals and the available space on the certificate. *For example if all bulk sales for a particular issue are sold to airlines and all fall into the same rate band they can be grouped as one figure. However if free bulk distributions were also claimed for the same issue, these would have to be disclosed separately. You may also separately identify details of a bulk distribution to a key trade exhibition for example*

- You must analyse paid bulk distributions according to the rate per copy for each deal into the following bands:
  - 'At full published rates'
  - 'At between 50% and 100% of full rate'; and
  - 'At less than 50% of full rate'

For these purposes the 'Full Rate' is the published cover price.

- If there is no published cover price then 'Full rate' will be the Basic Annual Rate pro-rated for one copy
- If there is no Basic Annual Rate then you must claim any paid copies in the 'At less than 50% of full rate category'

#### L4 RECORDS REQUIRED

- You will need to retain and make available for audit all records required to support your bulk distribution claim. including for each bulk sale:
  - Full details of the contractual arrangements
  - For paid bulk sales, invoices and proof of payment
  - Evidence that confirms the delivery of each consignment to the location where the copies are to be made available for pick up or receipt by individuals of the target audience. Note:
    - Evidence of delivery to a central warehouse, your offices or any other intermediary location is not sufficient)
    - The evidence must be validated third party invoices and dockets/delivery notes (if applicable). We must prove the distributor has been paid and so will need access to purchase ledger accounts, bank statements and credit notes.
    - All documentation must clearly state the publication name, the issue identifier, the number of copies distributed, the delivery address and a date of distribution
    - Distribution evidence for specific circumstances is detailed below
- Acceptable distribution evidence in the following specific circumstances is as follows:

## SECTION L – BULK DISTRIBUTION (NOT INCLUDED IN AVERAGE CIRCULATION) [cont.]

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### **Airlines/Hotels/Businesses**

You must obtain third party evidence that the copies were distributed to the airport, hotel or business where the copies are to be distributed to the end recipient (i.e. delivery to a head office for onward delivery to a hotel chain/branches/other offices is not allowable).

*For example:*

- 1) *An invoice/delivery note(s) from a recognised distributor (a company whose business is distribution) which provides all the details of the consignment as noted above*
- 2) *An invoice from the printer of the publication (if the printer delivered them to the airport/hotel/business) which itemises the delivery, states the value of the delivery or states that the price is included in the total contract and provides all the details of the consignment as noted above*
- 3) *A delivery note that has been signed and dated by a person receiving the copies at the airport / hotel / business. Their job title and printed name must also be shown. This person must be a permanent employee at that location. This may require some pre-planning on your part to ensure that an appropriate person will be on hand to receive the delivery*

### **Exhibition/conference copies**

You must obtain third party evidence that the copies were distributed at the exhibition/conference venue. This must be one of the following three types:

- Third party evidence of delivery to the venue.

*For example:*

- 1) *An invoice/delivery note(s) from a recognised distributor (a company whose business is distribution) which provides all the details of the consignment as noted above*
- 2) *An invoice from the printer of the publication (if the printer delivered them to the exhibition venue) which itemises the delivery, states the value of the delivery or states that the price is included in the total contract and provides all the details of the consignment as noted above*
- 3) *A delivery note that has been signed and dated by a person receiving the copies at the exhibition venue. Their job title and printed name must also be shown. This person must be a permanent employee of the exhibition organiser. This may require some pre-planning on your part to ensure that an appropriate person will be on hand to receive the consignment*

- Third party evidence of delivery to the town/city of the exhibition venue plus ADDITIONAL evidence that you exhibited at the exhibition

*For Example:*

- 1) *An invoice/delivery note(s) from a recognised distributor (a company whose business is distribution) which provides all the details of the consignment as noted above; plus:*
- 2) *Evidence of you exhibiting at the show. This would most likely be a contract and invoice between the*

- you and the organiser, or possibly an official show guide showing your stand.*
- 3) *Written confirmation from the exhibition or conference organiser (provided they are third party) that copies have been inserted into individual conference packs. In ADDITION you must provide to us a full list of conference attendees*

## SECTION M – DISALLOWED COPIES

### M1 INTRODUCTION

### M2 SPECIFIC DISALLOWED COPIES

### M3 CONTRA TRANSACTIONS

### M4 COPIES TO RELATED PARTIES

#### M1 INTRODUCTION

You cannot claim any copies that do not meet the Reporting Standards detailed in this rulebook. In addition and for the avoidance of doubt this section lists specific types of copies or sales arrangements that you cannot claim.

#### M2 SPECIFIC DISALLOWED COPIES

You cannot claim:

- File/office copies
- Employee copies (unless paid for)
- Bulk free copies to a single addressee or to exhibitions (unless claimed in the separate Bulk Distribution category – see section L)
- Free copies to contributors
- Free copies to advertising agencies unless the publication relates to the running of the agency business (*for example an office equipment magazine*). The test is: Is the person to whom you are distributing the publication of value to a potential space buyer? Unless there is absolutely no ambiguity, the must ask us for advice before claiming any such copies. You should note that copies sent to advertisers and potential advertisers are allowed
- Copies to press cutting agencies
- Copies for National archives, e.g. British Library
- Back issues except bona fide newstrade, single copy sales, single copy subscription sales or multiple copy subscription sales that are included in the reporting period in which the issue in question is reported. Therefore you cannot claim bound volumes of back issues
- Copies whose postage is franked and paid via a franking machine. This is because it is not possible to verify the publication, issue identifier and number of copies posted using this method
- Non-print copies such as those published on CD or other electronic media (unless they meet the requirements to be claimed as digital editions - see section J). However if we are able to audit and certify these products separately they could be included on an ABC Group Product Report

#### M3 CONTRA TRANSACTIONS

- You cannot claim sales of copies whose value is reimbursed in cash, kind or by contra
- Contra deals on advertising are specifically unacceptable. Your advertising revenues may be scrutinised as part of the audit to ensure advertising revenue is not being applied to sales of the publication, or discounts on advertising are not being used to subsidise publication purchases
- For the avoidance of doubt, invoices raised by the purchaser of the publication to you for goods and services, which are related to the purchase of the magazine must be included in calculating the net contribution to you. *For example; you sell 1,000 magazines for £100 to company A. Company A*

*distributes the magazine and charges you £50 for the cost of their distribution. The distribution has only been carried out as a result of the sale, therefore the value of the sale to you for ABC purposes is the net amount of £50*

#### M4 COPIES TO RELATED PARTIES

- A fundamental principle of these Reporting Standards is that all evidence you provide in support of the circulation claim must be derived from a third party.
- Therefore you cannot claim any copies sold to, or transferred to your own company/organisation, or other 'related parties' whether directly by you or via a third party; for resale or free distribution, unless:
  - you can prove to our satisfaction that these are bona fide 'arms-length' transactions
  - you can provide the required proof of distribution to the final recipient and details of who that final recipient is and in all other aspects the copies comply with the requirements of the relevant section of these Reporting Standards
- We recommend you provide us with full details of such arrangements at the time, in order that we can investigate them and advise whether or not you can claim them.
- If you do not provide full details of such arrangements to us at the recommended time, we reserve the right to exclude the resultant circulation from your ABC figure, without further investigation.
- For the purpose of this rule "Related Parties" is defined as follows (derived from the Financial Reporting Standard FRS 8, issued by the Accounting Standards Board and effective from 23 December 1995):

Two or more parties are related when at any time during the reporting period:

- one party has direct or indirect control of the other party; or
- the parties are subject to common control from the same source; or
- one party has influence over the financial and operating policies of the other party to an extent that the other party might be inhibited from pursuing at all times its own separate interests; or
- the parties, in entering a transaction, are subject to influence from the same source to such an extent that one of the parties to the transaction has subordinated its own separate interests.

For the avoidance of doubt, the following are related parties of the reporting entity:

- its ultimate and intermediate parent undertakings, subsidiary undertakings, and fellow undertakings;

## SECTION M – DISALLOWED COPIES [cont.]

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- its associates and joint ventures;
- the investor or venturer in respect of which the reporting entity is an associate or joint venture;
- directors of the reporting entity and directors of its ultimate and intermediate parent undertakings.
- employees of the publisher (except noting that copies purchased by employees can be claimed)

## SECTION N – CERTIFICATE TYPES

### N1 INTRODUCTION

### N2 STANDARD CERTIFICATE OF CIRCULATION

#### N2.1 ANNUAL PUBLICATIONS

#### N2.2 EDITIONS ANALYSIS

#### N2.3 COMBINED CERTIFICATES

### N3 INTERNATIONAL CERTIFICATE OF CIRCULATION

### N4 DEMOGRAPHIC CERTIFICATES

#### N4.1 STANDARD CERTIFICATE OF CIRCULATION WITH DEMOGRAPHICS

#### N4.2 PROFILE CERTIFICATE OF CIRCULATION

### N1 INTRODUCTION

The general principle is that we must issue a certificate for all registered titles on a continuous basis, at least once a year. See section O for information on reporting periods.

As well as the average net circulation for the period (the 'ABC' figure), the ABC certificate includes a breakdown of one defined issue into different types of circulation and provides other information relating to the issues distributed in the reporting period.

The different certificate types are shown below.

### N2 THE STANDARD CERTIFICATE OF CIRCULATION

This is the type of certificate issued for most publications, analysing a publication's circulation by UK and Other Countries and circulation type..

There are three variations from the STANDARD Certificate:

#### N2.1 Standard Certificate of Circulation - annual publications

The certificate for annual publications differs from the STANDARD because it is only analysing one issue. Therefore the average circulation and breakdown of issues are removed.

#### N2.2 Standard Certificate of Circulation - with editions analysis

- For the requirements relating to editions see section S
- The front page of the certificate identifies that it is an editions certificate and the Average Net Circulation and Audit Issue total net circulation is shown for each edition

#### N2.3 Standard Certificate of Circulation - combined certificates

- Where two or more publications are only available jointly either on subscription or newstrade :
  - They can be shown on a combined certificate if they are of the same frequency; or
  - The certificate of each publication must carry a statement explaining that it is only available with the other publication(s)
  - You must tell us when submitting the circulation claim if the publication is only available jointly either on subscription or newstrade

### N3 INTERNATIONAL CERTIFICATE OF CIRCULATION

If you wish to demonstrate the international nature of a publication's circulation then you can request an International Certificate.

This differs from the STANDARD certificate as follows:

- The Average and Audit Issue Circulation by category is not analysed into UK and other countries but shown as one column headed 'Net Circulation'.
- You must include a mandatory geographical analysis

### N4 DEMOGRAPHIC CERTIFICATES

Providing demographic analysis of a publication's circulation is an effective way of demonstrating the quality of that circulation to prospective advertisers and can provide an important competitive advantage in differentiating a product.

We offer two types of optional certificate to take advantage of the benefits that demographic auditing can bring:

- Standard Certificate of Circulation with Demographics
- Profile Certificate of Circulation

Both certificates provide demographic data on the individuals who make up the circulation mailing list of a publication.

Demographic auditing is most appropriate for publications with significant levels of subscription, society or controlled circulation as publishers of such publications normally hold considerable auditable data relating to their circulation. See section K for more information regarding demographic auditing.

#### N4.1 Standard Certificate of Circulation with Demographics

- The Standard with Demographics consists of the Standard Certificate of Circulation with the addition of up to 4 tables of demographic data.
- All tables must be in a standard format and there is no facility for the inclusion of graphics on the certificate
- You choose which demographics you wish to be included on the certificate

- If you have not previously completed a demographic audit then we will conduct a visit prior to the first audit to discuss and review audit documentation and procedures. As a result of this visit we reserve the right to cancel the registration for the Standard Certificate of Circulation with Demographics if we consider you are not likely to be able to meet the audit requirements

### **N4.2 Profile Certificate of Circulation**

- The ABC Profile Certificate is a distinct certificate that includes the standard certificate but adds a number of mandatory demographic tables plus the flexibility of bespoke analysis and graphics for your publication's circulation
- The mandatory analyses are:
  - Job Title or Job Function
  - Company Activity
  - Geographic Analysis
  - Sources and Ages of records supporting free distribution copies
- You may choose to analyse additional data relevant to your particular market sector and advertisers.
- Please see section K for more information on the requirements and options for demographic analysis

## SECTION O – REPORTING OPTIONS

- O1 INTRODUCTION
- O2 MANDATORY REPORTING PERIODS
- O3 OPTIONAL REPORTING PERIODS
  - O3.1 SINGLE ISSUE CERTIFICATE
  - O3.2 THREE MONTH CERTIFICATE
  - O3.3 SIX MONTH CERTIFICATE
- O4 TITLES NEWLY REGISTERED WITH ABC

### O1 INTRODUCTION

Continuous reporting is a requirement of ABC membership. This means that once we have issued the first ABC certificate for a publication we must issue a certificate for every subsequent mandatory reporting period while the publication remains registered.

All publications must as a minimum report their circulations on a twelve monthly basis as detailed below. You may choose to report a publication's circulation more frequently via the additional reporting options.

### O2 MANDATORY REPORTING PERIODS

- You must submit a circulation Return and be issued a certificate for each mandatory reporting period
- There are two mandatory reporting periods:- From 1st July to 30th June, or, from 1st January to 31st December each year
- Whether a publication's mandatory reporting period ends in June or December each year is determined by its ABC market sector classification. Please contact ABC for a list of market sector classifications and their mandatory reporting periods
- For annual publications you may choose whether a principal distribution date or distribution period is stated on the Return and therefore on the certificate:
  - The principal distribution date is the date at which more than 50% of the distribution has occurred
  - The distribution period is the entire date range over which the publication has been distributed rather than a single date

### O3 OPTIONAL REPORTING PERIODS

- You may choose to report additional optional reporting periods, for which certificates will be issued in addition to the certificates for mandatory periods
- To report an optional reporting period you must inform us before the end of the period to be audited (or distribution of the issue to be audited in the case of a single issue certificate.)

The available optional certificates are as follows:

#### O3.1 Single Issue Certificate

- The certificate will include just one issue (which may be a launch issue)
- You must declare the reason for reporting a single issue and this will be reported on the front of the certificate
- The reason stated must be auditable and fit the allocated space on the certificate template. *For Example: 'Increase in Requested Circulation' or 'Launch issue'*

- A single issue certificate co-exists with the latest six or twelve-month certificate. Therefore whenever you quote any figures from a single issue certificate you must always include the total average net circulation figure and period for the most recent six or twelve-month certificate issued (unless there isn't one)
- A publication that opts for a single issue certificate must also report its circulation at the next available period end, either 30th June or 31st December whichever is sooner. This is to ensure an average circulation figure for the publication is available in the market as soon as possible
- We will carry out an audit of a single issue certificate within three months of it being issued
- A mandatory six month certificate issued as a result of opting for a single issue certificate will be audited within six months of its issue

#### O3.2 Three month certificate

- The certificate will cover three consecutive calendar months of your choice
- We will carry out an audit of a three month certificate within three months of it being issued
- A three month certificate co-exists with the latest six or twelve-month certificate. Therefore whenever you quote any figures from the three month certificate you must always include the total average net circulation figure and period for the most recent six or twelve-month certificate issued (unless there isn't one)

#### O3.3 Six month certificate

- The certificate will either be for January to June or July to December
- You can opt to report six monthly, either as a one-off or on a continuous basis each year. You must tell us when registering for a six-month reporting period whether it is on a one-off or continuous basis. If you have opted for continuous six monthly reporting then you must tell us if you wish to stop
- We will carry out the audit of a six month certificate at the same time as audit of the mandatory 12 month certificate

### O4 Newly registered publications

- If your publication is newly registered with ABC you may choose to report any of the above optional reporting periods before its next mandatory reporting period

- We would like to draw your attention to the following:
  - We reserve the right to delay the issue of a publication's first certificate until we are satisfied that the net circulation is accurate where the claim includes newstrade circulation
  - ABC Byelaw 2(c) states: 'If we are not able to issue a title's first ABC certificate within 12 months of the date of registering then we reserve the right to cancel the title's registration'

## SECTION P – THE AUDIT ISSUE

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### P1 INTRODUCTION

### P2 IDENTIFYING THE AUDIT ISSUE

#### P2.1 REPORTING PERIODS ENDING 31ST DECEMBER

#### P2.2 REPORTING PERIODS ENDING 30TH JUNE

#### P2.3 FOR THREE-MONTH REPORTING PERIODS

### P3 RECORDS REQUIRED FOR AUDIT ISSUE

### P4 SUBMISSION OF MAILING LIST

#### P4.1 FIELDS TO BE INCLUDED IN ADDRESSEE LIST FILE

### P5 CIRCULATION TYPE CODING

### P6 SEALED GALLEYS

#### P6.1 SEALING THE GALLEY

#### P6.2 FUTURE AUDITS

### P7 TESTING THE AUDIT ISSUE FOR DUPLICATES

#### P7.1 DEFINITION OF A DUPLICATE

#### P7.2 TESTING FOR DUPLICATIONS

#### P7.3 THE DUPLICATION TESTS

#### P7.4 CALCULATING THE DUPLICATION LEVEL AS A PERCENTAGE

#### P7.5 REPORTING THE DUPLICATION LEVEL ON THE RETURN

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### P1 INTRODUCTION

You must analyse a publication's circulation into the different categories of circulation for just one particular issue in the reporting period – this is called the Audit Issue.

We designate which issue is the Audit Issue for any particular reporting period to assist in allowing like for like comparisons between publications as far as possible.

### P2 IDENTIFYING THE AUDIT ISSUE

#### P2.1 For reporting periods ending 31st December

- The Audit Issue is the issue that is cover dated November, or the issue that includes November in the issue identifier (*for example: Oct / Nov / Dec issue or Oct-Dec*). The issue must be distributed within the Reporting period
- For publications published more frequently than monthly the Audit Issue is the last issue that is cover dated November. The issue must be distributed within the Reporting period
- When 'November' is not stated in the cover date (*for example, Autumn edition or VOL 3 NO.3*) the Audit Issue is the issue distributed within the Reporting period, nearest to 30th November.

#### P2.2 For reporting periods ending 30th June

- The Audit Issue is the issue cover dated May, or the issue that includes May in the issue identifier (*for example: April/ May/June issue or Apr-June*). The issue must be distributed within the Reporting period
- For publications published more frequently than monthly the Audit Issue is the last issue that is cover dated May. The issue must be distributed within the Reporting period.
- When 'May' is not stated in the cover date, (*for example, Summer edition or VOL 2 NO.3*) the Audit Issue is the issue distributed within the Reporting period, nearest to 31st May
- For weekly publications only, where the average newstrade copies represent more than 25% of the average net circulation, you have option to select as the Audit Issue the issue immediately before the last

issue cover dated May. This is to avoid analysing an issue where the newstrade figures could be distorted by the impact of the Spring Bank Holiday.

#### P2.3 For three-month reporting periods

The Audit Issue is the last issue distributed in the Reporting period.

### P3 RECORDS REQUIRED FOR THE AUDIT ISSUE

- You must retain and make available for audit a complete list of the addressees for the Audit Issue for each Reporting Period
- The list of addressees must include the details of each individual claimed in a circulation category where there is a requirement for the end recipient to be known (generally all mailed copies)
- If you are unable to produce a mailing list for the Audit Issue then we may have to cancel the publication's ABC registration. You must contact us should this situation arise

### P4 SUBMISSION OF AUDIT ISSUE MAILING LISTS

The standard method for submitting mailing lists for audit is to send it to us electronically (mailinglists@abc.org.uk), at the same time as the Return is submitted, in a standard format as follows:

- One file per publication
- The file must hold one line per addressee
- The file should be composed of separate fields that hold address details and various codings relevant to each addressee.
- The file should be saved as a simple 'ASCII, comma-delimited (or separated) file
- Each addressee should be coded by circulation category
- All dates must be consistent throughout the file in the format dd/mm/yyyy
- Field names must be provided with the list to identify what each field represents
- A single file is preferred but if there is more than one file, please ensure the format of each file is consistent

## SECTION P – THE AUDIT ISSUE [cont.]

- It may be possible for us to accept alternative file types however it is your responsibility to contact us to discuss their suitability before you send them to us

### P4.1 Fields to be included in addressee list file

Element	Ideal	Minimum
<b>Name</b>	Split into three fields: title, first name, and surname. Surname is a sortable field*	No split required, providing that there are other sortable fields*
<b>Job Title</b>	Present and distinct from the name field (most important where 'not by name'/'by job title' addressees are claimed)	No distinction needed, providing there is a clear coding to distinguish those addressees claimed as 'named' and 'not by name'/'by job title'
<b>Company Name</b>	Field is present and is a sortable field*	Not needed, providing that there are other sortable fields*
<b>Address</b>	Split so that regional elements are consistent, e.g. town, postcode, county and country in defined fields, and are also sortable fields*	One of these regional elements is in a consistent field and is a sortable field*
<b>Geographical Region</b>	Coding or wording defining where the addressee is analysed in the geographical analysis (if claimed on the certificate). A code list must be provided if codes are used	If not present then a geographical analysis cannot normally be audited
<b>Reader References</b>	Your own reader reference, batch codes, and source codes (to allow you to easily locate sample selections)	If not needed to locate sample selections, then not required
<b>ABC Circulation Type coding</b>	Using the ABC defined codes on the following page. Publishers may use their own coding system, every addressee must be coded to show where it is claimed on the certificate	No coding is necessary as long as only one circulation type claimed
<b>Number of Copies</b>	Field present	Not required as long as every addressee is claimed for one copy only
<b>Dates</b>	Request dates for Controlled requested addressees Source dates for Controlled non-requested addressees Subscription period dates for subscriptions All dates in the format DDMMYYYY	Request dates for controlled Requested addressees Date in format DDMMYYYY or MMYYYY (text cannot be accepted)
<p>Notes: Sortable fields - these are fields that can be used to sort the data, primarily for the duplication test. Fields of this type will be Surname, Company Name, Town, Postcode, County, Country, or other clearly distinct regional code. To be defined as a sortable field, at least 98% of the addressees must have complete and appropriate data in that field.</p>		

### P5 CIRCULATION TYPE CODING

- You must code the mailing list submitted to us so that we can identify exactly where each addressee is claimed on the certificate. Broadly this means each circulation type except newstrade, including at what rate paid circulation is claimed. *For example:*
  - subscriptions must be coded to distinguish the subscription rate band in which they were counted (a code, amount paid, or % of full rate figure is acceptable)
  - The split of 'by name'/'by job title' for controlled non-requested circulation must be denoted; and
  - 'by name'/'not by name' for non-controlled must be clearly distinguishable (a code or presence/absence of a name in the name column is acceptable)

- You must include dates of request/ sources for controlled circulations
- You should include sufficient other data or reference/batch numbers so that you are easily able to locate the original supporting records for our auditors

### P6 SEALED GALLEYS

- A sealed galley is the term we use to describe a mailing list or database list that we have audited and verified and which has been 'frozen' and stored for future reference.

- You may wish to consider this option as it eliminates the need to retrieve original documents in support of specific addressees who are on the sealed galley as we can check an addressee back to that sealed galley instead of going back to the original documentation.
- Normally it is Audit Issue mailing lists that are sealed.

### P6.1 Sealing the galley

- We will only seal a galley if it falls within ABC tolerance levels following the audit
- We will confirm that a galley has been verified as sealed in the management letter following the audit
- We will store sealed galleys at ABC for reference at future audits unless we agree with you otherwise

### P6.2 Future audits

- We will compare the detail on the sample selected for the current audit, to the detail contained on the sealed galley. If this is identical you will not need to provide the original documentation
- You will need to provide original documentation for any samples at the current audit that are not on the sealed galley, or whose details differ from the sealed galley
- If the sealed galley is to remain valid for controlled circulation the Terms of Control that were used to audit the sealed galley cannot be made narrower or more specific. We recommend that the Terms of Control are not amended if you intend to use a sealed galley
- A sealed galley should be kept until the first audit that does not use addressees from the sealed galley has been concluded
- To ensure a sealed galley is valid the details of an addressee record must not be changed - all details must be identical.
  - The ONLY exception is an address CORRECTION, but NOT an address change. An address correction is limited to spelling amendments or the addition of a postcode. If we find details have been changed then we cannot use the sealed galley to verify that addressee, and you must provide documentation to claim that addressee
- We would like you to note that for any demographic which we have not audited on the sealed galley you will need to provide documentation for at future audits

## P7 TESTING THE AUDIT ISSUE FOR DUPLICATES

- The ABC certificate shows the number of copies distributed to addressees. This may include duplicate copies. Therefore the likely level of duplication on the mailing list is useful information to the user of ABC figures as it gives an indication of the quality of the mailing list and the level of internal housekeeping.
- You must therefore report a duplication percentage for the Audit Issue which will be shown on the certificate
- We recommend you de-duplicate mailing lists regularly to keep the reported percentage down and avoid the cost of sending duplicate copies

- Duplications are particularly likely to occur where addressees that are obtained from more than one source are added to your database

### P7.1 Definition of a duplicate

- A duplicate for ABC purposes is defined as two or more occurrences of the same name, or company name (where the addressee is not identified by name or job title) or address unless it can be shown that these are really for different addressees
- A simple criterion to help decide if An addressee is a duplication is to ask:-
- 'Is the addressee a different pair of eyes?'
- You must check for cases where a company name has changed or a company has moved
- Copies claimed as 'newstrade', and 'multiple copy subscriptions' are not treated as duplications

### P7.2 Testing for duplications

- You must test the Audit Issue mailing list for duplications
- If there is more than one list making up the entire mailing list of the Audit Issue, then your duplication test must include testing for duplication between the lists
- You should sort the Audit Issue mailing list by postcode, with a secondary sortation by surname or company alpha. If the list is sorted in this way, duplications often, but not always, appear next to each other
- If you do not sort the list geographically, the tests must be extended to the whole of the list to ensure that a representative sample has been tested

### P7.3 The duplication tests

- It is impractical to test every addressee against every other addressee of a copy for every issue. However the following tests will give an indication of the likely level of duplications in a mailing list once the list has been sorted as detailed above. These are the tests that we do at audit.

#### Duplication Test A

For mailing lists where the individually addressed circulation of the Audit Issue is 10,000 copies or more:

- Test a sample of 200 addressees for duplications across the entire list on an nth interval basis
- The nth number is calculated as follows:

$$\text{Total number of labels for Audit Issue} = \frac{\text{nth number}}{200}$$

- Select every nth addressee in the list starting at a random point within the first n addressees and mark each selected addressee until the end of the list has been reached.
- The particular geographical area is then scanned for duplicates of EVERY marked addressee.

#### Duplication Test B

For mailing lists where the individually addressed circulation of the Audit Issue is between 5,000 and 9,999:

- Test a 2% sample of addressees for duplications across the entire list on an nth interval basis

- Select every 50th addressee on the list starting at a random point within the first 20 addressees and mark each selected addressee until the end of the list is reached.
- The particular geographical area is then scanned for duplicates of EVERY marked addressee.

### Duplication Test C

For mailing lists where the individually addressed circulation of the 'Audit Issue' is between 1 and 4,999:

- Test a sample of 100 addressees for duplication testing across the entire list on an nth interval basis
- The nth number is calculated as follows:

$$\frac{\text{Total number of labels for Audit Issue}}{100} = \text{nth number}$$

- Select every nth addressee in the list starting at a random point within the first n addressees and mark each selected addressee until the end of the list has been reached
- The particular geographical area is then scanned for duplicates of EVERY marked addressee

### P7.4 Calculating the duplication level as a percentage

For all above tests the duplication level must be quantified, remembering that two occurrences of an addressee count as one duplication, three occurrences count as two etc.

*For example:*

*Test A: 200 checked*

*6 duplicates = 6*

*2 triplicates = 4*

*These results indicate  $10/200 = 5\%$  duplication in the list.*

### P7.5 Reporting the duplication level on the Return

- You must report the level of duplication on the individually addressed circulation on the ABC Return
- The figure stated must be a whole number, decimal places being rounded down to a whole number. *For example if the test shows a level of 9.7% then you should enter 9.00%. If the test shows 12.20%, enter 12.00%*
- You must not reduce the circulation figure to take account of the level of duplication
- If you choose to use another method of testing for duplications or choose not to use the above test then you do so at your own risk. We will conduct a test as specified and any material discrepancy will result in the certificate being re-issued with an Audit Report revising the level to our result.

## SECTION Q – OTHER DATA

### Q1 TOTAL AVERAGE NET CIRCULATION Q2 ISSUE DETAILS, CIRCULATIONS AND VARIANCES Q3 ISSUE DISTRIBUTION DATES

#### Q1 TOTAL AVERAGE NET CIRCULATION

- You must analyse the total average net circulation per issue (commonly known as ‘the ABC figure’ or ‘primary figure’) by UK and Other Countries
- You can only include in this figure copies that comply with these Reporting Standards and for which you have the appropriate supporting documentation at the time of your Return submission

#### Q2 ISSUE DETAILS, CIRCULATIONS AND VARIANCES

You must analyse for each issue in the reporting period:

- The issue identifier (*for example cover date, issue number etc*)
- The date of distribution (see below)
- The total net circulation

This information will be published on the certificate along with a percentage variance from the average net circulation for each issue where this is greater than 10%.

We will calculate variances automatically from the information submitted on your Return. However if the number of issues in the reporting period is greater than 56 you must add details of the variances to the summary distribution statement, identifying every issue with a variance greater than 10% from the average net circulation. *For Example: The issue cover dated 24.5.09 that was distributed on 24.5.09 had a variance of +14%.*

#### Q3 ISSUE DISTRIBUTION DATES

- The date of distribution will determine which issues are included within a particular reporting period (see section R).
- You must also report the date of distribution for each issue on the Return. This will be published on the ABC certificate
- The date of distribution for ABC purposes is as follows:
  - The date used should be the date the copies are accepted by the courier for mailing (or the date identified by the courier as when mailed) and for newstrade copies when they entered the distribution chain
  - If all the copies of an issue are distributed on a single date then this is the distribution date
  - If the distribution of the issue covers more than one day then the distribution date is deemed to be the date at which more than 50% of the distribution has occurred.

*For Example:*

*Issue cover dated 3rd January 2009  
4,000 copies are distributed on 29th December 2008  
4,000 copies on 30th December 2008  
6,000 copies are distributed on 2nd January 2009.*

*This issue (all 14,000 copies) will be included, in the ABC Return for the period ending 31st December 2009 and the distribution date will be shown as 30th December, i.e.*

*the date by which the majority of the copies were distributed.*

- If there are more than 56 issues in the reporting period we do not individually list all issues on the certificate but instead require you to provide a summary distribution statement which details the distribution pattern of the publication throughout the period.

*For Example*

*"70 issues were distributed during the period. They were all cover dated Wednesday of each week. 67 of these were distributed on the Tuesday prior to the cover date. The issue cover dated 24.05.09 was distributed on 24.05.09. The issue cover dated 17.05.09 was distributed on 18.05.09".*

## SECTION R – ISSUES TO BE INCLUDED / EXCLUDED

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### R1 INTRODUCTION R2 EXCLUSION NOTES

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#### R1 INTRODUCTION

You must include in a return submission all issues of the publication for which the majority of the distribution took place (regardless of the cover date) within each reporting period. See section Q for more information on distribution dates.

The only issues that you may exclude from the Return submission are those for which we have issued you an exclusion note.

#### R2 EXCLUSION NOTES

We will only put forward a request to exclude an issue if:

- the achieved auditable distribution of the issue is less than planned due to circumstances outside your control (*for example a postal strike*)
- The effect of not excluding the issue would be to reduce the publication's average net circulation per issue for the period by more than 0.5%
- You submit your written request to exclude the issue after the end of the relevant reporting period but before you submit your circulation Return, stating:
  - the reason for the distribution shortfall
  - For the affected issue the cover date, distribution date, planned distribution and the achieved auditable distribution

We will put the request to the ABC Business Magazines Reporting Standards Group who will make the decision on the issue of an exclusion note. We will notify you of their decision, issuing the exclusion note or not as applicable.

### S1 ADVERTISING CONTENT S2 EDITIONS

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#### S1 ADVERTISING CONTENT

- You can only claim copies of a particular issue of the publication if they all carry the same advertising (including classified). The only exceptions are:
- If the advertiser and/or their advertising agency has agreed with you in writing and before publication that their advertisement will be excluded from part of the circulation
- If the inclusion of an advertisement would, in your opinion, render the publication illegal in a particular territory.
- If the publication in which advertising has changed meets the requirements to be claimed and reported as an edition (see section S2 below).

Note: You cannot claim copies reproduced abroad under licence unless there is proof that all such copies carried all advertising.

#### S2 EDITIONS

- If you have separate geographical/subject matter editions of a publication then you can choose to break out their circulations on an Editions certificate
- If you have separate editions of a publication where the advertising (including classified advertising) has changed then you must break out their circulations on an Editions certificate
- To qualify for an Editions Certificate all of the following criteria must be satisfied:
  - The edition is distributed with the same cover date as the parent publication, either on an every issue or on an occasional issue basis (e.g. every 4th issue)
  - The edition is branded to the parent publication
  - The front cover of the publication includes identification that it is an edition of the parent publication.
  - There is not a high level of common circulation between editions

If any of the above requirements are not met the edition(s) will need to be certified separately.

- The front page of the certificate will identify that it is an editions certificate and the average net circulation and Audit Issue total net circulation will be reported for each edition.

## SECTION T – ABC RETURN SUBMISSION, CERTIFICATION AND AUDIT

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- T1 INTRODUCTION
- T2 CIRCULATION RETURN
- T3 SUBMISSION OF RETURN - TIMING
  - T3.1 LATE/NON-SUBMISSION
  - T3.2 PROFILE CERTIFICATES - RETURN SUBMISSION
- T4 ISSUE OF CERTIFICATE
  - T4.1 PROFILE – CERTIFICATE ISSUE
- T5 PUBLIC RELEASE OF ABC CIRCULATION DATA
- T6 CERTIFICATE EXPIRY DATE
- T7 AUDIT PROCEDURE
  - T7.1 DATE OF THE AUDIT
  - T7.2 OVERTIME CHARGES
  - T7.3 AUDIT RESULT
  - T7.4 AUDIT REPORTS
  - T7.5 PUBLICISING OF AUDIT REPORTS
  - T7.6 CONSECUTIVE AUDIT REPORTS WITH IDENTICAL PROBLEMS
  - T7.7 CONSECUTIVE AUDIT REPORTS WITH DIFFERENT PROBLEMS
- T8 ABC AUDIT LETTER OF ENGAGEMENT

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### T1 INTRODUCTION

- We aim to publicise accurate circulation data as soon as possible after the end of the reporting period. The process for submission and certification of circulation data is designed to facilitate this.
- We publicise all certified figures on our website [www.abc.org.uk](http://www.abc.org.uk). We may make arrangements for our data to be published via commercial data providers.

### T2 CIRCULATION RETURN

- You must submit your circulation claim (often referred to as the 'circulation Return') on-line via our eReturns system.
- You must ensure you complete the circulation Return accurately as the data we publish is produced from the data on your Return submission.

### T3 SUBMISSION OF RETURN - TIMING

- Your designated contact will be sent a link to the eReturns site before the end of the registered reporting period. You can also access the eReturns site via the ABC website.
- If you have not been contacted or cannot access the eReturns site please contact us
- You must submit your circulation Return for each registered publication by the submission deadline. The submission deadlines are as follows:
  - For publications that previously been issued a certificate issued, we must receive the Return within 45 days of the end of the reporting period
  - For publications reporting for the first time, we must receive the Return within 15 days of the end of the reporting period, or within 15 days from the date of the publication's registration if the reporting period has already ended
  - For annual publications, the above timescales apply but they will be either based upon:
    - i) The end of the month of the principal distribution date; or
    - ii) The end of the distribution period

Note: These will be based on the dates registered with us, either on the previous period's Return or membership

application. You must therefore tell us if these are to be changed.

#### T3.1 Late/non-submission

- We will charge you a late submission fee of £300 (or such other amount as advised and agreed by the ABC Board) for any Returns we receive after the submission deadline (for whatever reason).
- You must submit a valid Return and pay the late submission invoice within 10 working days of the date of issue of the invoice. We will not process the Return until you have paid this fee
- We reserve the right to cancel a publication's registration if a Return is not received by the submission deadline

#### T3.2 Profile certificates - Return submission

- Unless you tell us in writing otherwise we will assume that after its first Profile certificate a publication is to issue a Profile Certificate on a continuous basis
- As the Standard Certificate forms part of the Profile Certificate you must submit Return for the Standard certificate either before or at the same time as the Profile submission
- We will send you information about how to submit your Profile data.
- You must submit your Profile claim to us by email at [abcpost@abc.org.uk](mailto:abcpost@abc.org.uk), including:
  - Completed certificate template - Excel file supplied by us
  - Completed page planner (template supplied by us)
  - Graphics you want to be included
  - Publication logo if you want it on the certificate
  - The Audit Issue file (the mailing list for the Audit Issue including the claimed demographics)
  - One example of each request document/form used to capture the claimed demographic data
- We will send you a draft Profile certificate which you must check and sign off and return to us for issue within 5 days of receipt

### T4 ISSUE OF CERTIFICATE

What happens after you've submitted your Return depends on the circumstances:

- If your publication has previously been issued a certificate:
  - A draft certificate will be automatically produced from your Return for you to check.
  - You have 5 working days to make any amendments and resubmit the Return or to tell us of any errors you are unable to correct
  - After this period the certificate will go live and you will no longer be able to make any changes until we carry out an audit when changes will need to be detailed in an Audit Report
  - We will subsequently contact you to arrange to carry out an audit on the certificate
- If your publication is reporting for the first time we must carry out an audit before issuing your first certificate. Therefore we will not issue a certificate at this stage but will arrange a date to carry out an audit after which we will issue your certificate subject to the results of that audit
  - Note: We reserve the right to delay the issue of a publication's first certificate until we are satisfied that the net circulation is accurate where the claim includes newstrade circulation
- We will not issue a certificate of a mandatory 6 or 12-month certificate if we have not completed the audit of the previous mandatory certificate
- We will also carry out an audit before issuing a certificate if publications have received consecutive Audit Reports as detailed in section T7. For your information the Byelaws give us the right to audit any Return before issuing a certificate.

#### T4.1 Profile – certificate issue

- If you are reporting a Profile certificate for the first time:
  - We must carry out an audit before issuing your first Profile certificate, unless as a publisher you have an existing track record of successfully completing profile audits with other registered titles that use the same circulation systems in which case we may allow you to have certificate issued prior to audit
  - You may choose to delay the issue of the Standard Certificate for a publication until the Profile has been audited in order to avoid the possibility that the first time Profile could be re-issued with an Audit Report
- Subsequent Profile certificates will generally be issued prior to audit

### T5 PUBLIC RELEASE OF ABC CIRCULATION DATA

The figures are publicly released when we issue the certificate after five working days, as noted above. At this stage:

- We will publish the certificate on our website
- This will be included in our eAlerts notifications (you can sign up for these via our website)
- The data may be forwarded to any commercial data providers with which we have an arrangement at that time

### T6 CERTIFICATE EXPIRY DATE

- The certificate will carry an expiry date which is set at 3 months after the end of the next reporting period for which the publication is registered to submit a Return
- The intention of the expiry date is to flag up to those reading the certificate that it may have been superseded by a more recent certificate
- The byelaws make reference to the expiry date in relation to resigning a publication and the use of the certificate after resignation

### T7 AUDIT PROCEDURE

- We will carry out an audit on each certificate issued
- If your publication has already had one certificate issued, we will normally issue subsequent certificates based on your Return and carry out the audit at a later date. This means both you and advertisers can benefit from the ABC certificate as soon as possible and that generally all publications in the sector have a current ABC certificate at the same time.
- If the audit identifies material errors in the certificate we will issue an Audit Report and revised certificate.
- We will carry out an audit on your Return before issuing your certificate if:
  - The publication is reporting for the first time
  - The publication has had consecutive Audit Reports as detailed in sections T7.6 and T7.7
  - We consider it appropriate (the byelaws state we reserve the right to audit any Return before issuing the certificate)

This gives you the benefit of additional assistance from our audit staff and helps ensure that accurate figures are certified. Any material errors on the Return will therefore be amended before the certificate is issued

- The procedure for the on-going audit and treatment of free digital edition copies is covered in section J3

#### T7.1 Date of the audit

- We will contact you to arrange a date for the audit visit. Once this date has been mutually agreed, it should only be altered in exceptional circumstances
- Audits will normally be conducted as follows:

#### Mandatory 6 and 12-month periods and 6-month period with demographics:

The audit will be conducted during the 6-month period following the issue of the 6 or 12-month period Certificate of Circulation or the issue of a 6-month period Certificate with Demographics.

#### Single issues and three month periods

The audit will be conducted within 3 months of a single issue or 3 month period certificate

#### Optional 6-month periods

The audit of an optional 6-month period certificate with no additional demographics will be conducted at the same time and in conjunction with, the audit for the mandatory period.

### Note:

- There is a reduced audit fee for these audits
- If the optional 6 month period return requires an audit in advance of certification because of consecutive Audit Reports (see sections 4.8.2 & 4.8.3), a full audit fee will be payable

### For Example:

*An optional 6-month certificate with no additional demographics for the 6-months to 30 June 2006 will be conducted at the same time as the mandatory certificate for the year ended 31st December 2006. Therefore, if the December 2006 certificate was issued on the 15th February 2007, both certificates must have completed an audit by 15<sup>th</sup> August 2007.*

### T7.2 Overtime charges

If any records are not available for our auditor at the start of the audit, or the complexity of your systems results in an over run on audit time, we may request you authorise an overtime approval form. If you do not authorise this request we reserve the right not to continue with the audit.

### T7.3 Audit result

- After the on-site visit, we will send you a letter detailing any outstanding information required to complete the audit
- We will give you a deadline for receipt of that information.
- If we identify material problems with the Return or certificate then we will send you an Audit Report letter (see below).
- After we have completed the audit we will send you a Management Letter and Action Plan detailing any issues which need to be addressed to prevent problems on future audits.

### T7.4 Audit Reports

If we identify material errors in a certificate that has been issued then we will issue an Audit Report detailing any changes together with a revised certificate.

The new certificate incorporating the Audit Report replaces your original certificate and you must use this in its place.

If we identify material errors on a Return where the certificate has not been issued we will make the appropriate amendments to the claim before issuing the certificate.

We will follow the stages below (where a certificate has not been issued the references to Audit Report should be read as relating to a revised claim)

- If an Audit Report is necessary we will send you a letter detailing the reason/problem.
- You will have 10 working days from the receipt of this letter to provide any further information to us, or object to the issue of the Audit Report.
- If you wish to object to the issue of the Audit Report you must do this in writing to the Director of Audit who will investigate and provide a decision within 5 working days. If the objection is to a decision by the

Director of Audit or the Chief Executive then the first level of appeal will be in accordance with the Review Procedure detailed in the ABC Byelaws.

- We will contact you to confirm receipt of the Audit Report letter but, in the absence of any further written response from you, we will issue the Audit Report and revised certificate.
- We will not issue subsequent certificates until we have resolved all audit queries on a previous Certificate and issued the Audit Report, if applicable.

### T7.5 Publicising of Audit Reports

- We publicise Audit Reports on our website with details of the corrections made
- These will be included in our eAlerts notifications (you can sign up for these via our website)
- Revised data may be forwarded to any commercial data providers with which we have an arrangement at that time

### T7.6 Consecutive Audit Reports with identical problems

- If we issue an Audit Report for a publication for two consecutive audits for an identical reason, then we will not issue the next certificate until it has been audited.
- This may result in late certification and an additional charge will be payable which will amount to an additional 25% on the cost of the audit.
- If a publication is required to have an audit prior to certification under this section, then you must submit the Return for that period within 15 days of the end of the reporting period to allow for the audit to be conducted, and any problems resolved
- If we find the Return submission is materially accurate following audit, then we will inform you that we will revert to issuing the certificate prior to audit for the next reporting period
- If we find the Return submission is materially incorrect following audit (so that had a certificate been issued it would have been replaced by an Audit Report), we will continue to audit the return submission for the publication prior to certification. This will continue until you have corrected the problem and/or stopped claiming incorrectly on the Return submission
- We will send you a letter informing you of the continuation of audit prior to certification and the earlier Return deadline

### T7.7 Consecutive Audit Reports with different problems

- If we issue an Audit Report for a publication for three consecutive audits but for a different reason, then we will not issue the next certificate until it has been audited.
- This may result in late certification and an additional charge will be payable which will amount to an additional 25% on the cost of the audit

- If a publication is required to have an audit prior to certification under this section, then you must submit the Return for that period within 15 days of the end of the reporting period to allow for the audit to be conducted, and any problems resolved, so that the certified figures may be issued
- If we find the Return submission is materially accurate following audit, then we will inform you that we will revert to issuing the certificate prior to audit for the next reporting period
- If we find the Return submission is materially incorrect following audit (so that had a certificate been issued it would have been replaced by an Audit Report), we will continue to audit the return submission for the publication prior to certification. This will continue until you have corrected the problem and/or stopped claiming incorrectly on the Return submission
- We will send you a letter informing you of the continuation of audit prior to certification and the earlier Return deadline

### **T8 ABC AUDIT LETTER OF ENGAGEMENT**

- We will send you a signed letter of engagement that sets out the basis on which we will act as your Circulation Auditor. You must sign this and return it to us before we can start the first audit.

**DEFINITIONS:**

<b>ABC/We/Us/Our</b>	Audit Bureau of Circulations Ltd
<b>You</b>	The member
<b>ABC Advertisements</b>	Advertisements designed and/or provided by ABC to members to use to promote awareness of ABC and/or the ABC certification of their titles
<b>ABC Logo</b>	Any official logo issued by ABC
<b>Approved Auditor</b>	Auditor appointed by the member and approved by ABC to conduct audit work for ABC purposes in accordance with the relevant Reporting Standards
<b>ABC Board</b>	Governing body of ABC as defined in memorandum and articles of association
<b>Chairman/Chief Executive/Head of Compliance</b>	ABC Chairman/ABC Chief Executive/Head of Compliance or official acting in that capacity
<b>Fees</b>	Any fees or charges including annual subscriptions levied by ABC
<b>Official/ABC Official</b>	Employee or other person acting for ABC in an official capacity
<b>Reporting Standards</b>	ABC rules and requirements that detail how circulation/data claims are compiled, reported and audited (formerly known as 'Audit Rules')
<b>Return/Return Form</b>	Submission in which circulation / distribution / attendance/other data are reported to ABC for certification
<b>Title</b>	Publication, exhibition or other media/product
<b>Trade Media</b>	Publications and other media which provide information for persons in relation to their employment or interest in the media industry
<b>Written/in writing</b>	Includes communication only by post, fax or email

*Brief introductions to certain sections (shown in Italics) are for convenience only, do not form part of the byelaws and will not affect their interpretation.*

**1. CONSTITUTION**

- a) We operate according to our memorandum and articles of association, byelaws and Reporting Standards. The ABC Board approves changes to the byelaws and Reporting Standards. All of these documents are available from our website [www.abc.org.uk](http://www.abc.org.uk).
- b) It is a condition of your membership of ABC that you will comply with the relevant byelaws and Reporting Standards. Any breach of this condition will entitle ABC to terminate your membership and/or registration of any relevant title.

**2. APPLICATION FOR MEMBERSHIP AND REGISTRATION**

- a) To apply to become a member of ABC you must submit the relevant application form and any other documentation which we may request. We cannot approve your membership application until we have received payment of the relevant fees.
- b) To register a title with ABC you must submit the relevant application form and any other documentation which we may request. We may need to inspect the relevant records/systems before registering your title.  
  
We may approve an application to register a title prior to its launch.
- c) If we are not able to issue a title's first ABC certificate within 12 months of the date of registering then we reserve the right to cancel the title's registration.

**3. PUBLICITY RULES**

*This section contains fundamental rules on how you may promote your links with ABC and in particular circulation / distribution / attendance/other data. The intention is to avoid those who use the data being misled because of how the data is presented.*

**Applicants**

- a) Until you have received written confirmation from us that your membership application has been approved, you must not make any claim of ABC membership or use the ABC Logos.

**Members**

- b) After receiving written confirmation that we have approved your ABC membership application you may:
  - state that your organisation is a member of ABC
  - associate your registered titles with ABC in accordance with the rules below.
  - not make any reference to ABC or use the ABC Logos in relation to any non-registered titles.
- c) After receiving written confirmation that we have approved a title’s registration (but before receiving its first ABC certificate) you:
  - may publicise this fact, as long as you include the month and year its registration was approved. For example: ‘ABC registration approved February 2007’
  - may include an explanation of the audit process or what the title’s ABC registration means in generic terms.
  - must not publish the ABC Logo in or use it in relation to the title
  - must not make any reference to when ABC may certify the data or carry out an audit
  - must not associate any data relating to the title with ABC (or imply any association). This means any data must be clearly sourced as a ‘publisher’s statement’/‘organiser’s statement’ or other appropriate source, and must not for example be described as ‘to be validated by ABC’ or ‘subject to audit’. You may not make claims such as ‘we expect an ABC circulation of...’

**Use of ABC and other data**

- d) Whenever you quote any circulation / distribution / attendance figures (whether ABC certified or not) on any material, you must include the latest average total net circulation / distribution / attendance figures certified by ABC (as soon as practical) and the period of certification must be stated. If no ABC data is available then you must comply with section 3(c)  
 Note:
  - For this purpose ‘material’ includes any media in which you publish figures including editorials, articles, direct mail, sales presentations and websites.

- This includes material which quotes percentage changes in circulation / distribution / attendance data where the basis of the comparison must be clear. For example: year on year or 2007 vs. 2006
- If there are two ABC certificates with the same end date, *for example 12-months to 31 December 2007 and 6-months to 31 December 2007* then the ABC certificate that covers the longest period is deemed the latest for the purpose of this rule.
- Single-issue and 3-month ABC certificates co-exist with the latest 6 or 12-month ABC certificate. Therefore if you quote the figure for a single issue or 3-month period it must always be accompanied by the total average net circulation figure for the latest mandatory 6 or 12-month ABC certificate issued according to the relevant ABC Reporting Standards.
- e) Non-ABC data must be sourced as a ‘publisher’s statement’/‘organiser’s statement’ or other appropriate source and accompanied by the latest ABC certified data in accordance with (d) above. In all cases you must source and present data so that it is clear which information is ABC certified and which is not.
- f) You must not associate the terms ‘reader’ or ‘readership’ with ABC or ABC data
- g) Statements or claims relating to data certified by ABC or attributed to ABC must be factually correct. Where the statement or claim is contradicted by ABC data but you are using data from another source to support the statement or claim, then that alternative source must be clearly identified.

**Concurrent release**

- h) You must not release or publicise any data (or trends in data) relating to a title included in a concurrent release of ABC data before the official release date and time set by ABC.

**Comparisons**

If you make a comparison between titles’ circulation / distribution / attendance figures it must:

- i) Be on a like for like basis
- j) Include the latest figures certified by ABC (as soon as practical)
- k) Include the latest mandatory average total net circulation / distribution / attendance figures certified by ABC for each title compared (as soon as practical).

Note: Short period optional ABC certificates (e.g. single-issue or 3-month ABC certificates) co-exist with the latest mandatory ABC certificate. Therefore if you include figures from a short period optional ABC certificate in the comparison, then you must include

the latest mandatory figures and total average circulation / distribution / attendance figure

- l) Include the relevant period(s) of certification
- m) If it includes any non-ABC data make clear which information has and which has not been certified by ABC, and include the source of the non-ABC data
- n) Identify the publishing frequencies for each title included in the comparison if they are different.
- o) Make clear what data is being compared (*for example if it is a particular category of circulation, or UK only*). (Note that the total average figure for each title compared must still be included as per (k) above)
- p) If comparing between a title that has primarily paid circulation and one that has primarily free circulation, make a fair and clear distinction between the respective types of circulation.

### Use of ABC Logos/Advertisements

- q) You may only use the ABC Logos in or in relation to a registered title that has been issued an ABC certificate.
- r) You may only publish ABC Advertisements in an ABC registered title that has been issued an ABC certificate, unless we have given written authorisation otherwise.
- s) You must not position the ABC Logos or ABC Advertisements in such a way as to imply an association of non-ABC data with ABC
- t) You must not alter an ABC Advertisement, nor publish an advertisement which purports to be from or authorised by us, unless we have given written authorisation.
- u) You may only publish a claim of ABC membership or use the ABC Logos or ABC Advertisements in, or in relation to a supplement, if that supplement is either bound into the entire print run of an issue of a registered title or has been issued its own ABC certificate.

### Implied involvement/accuracy of statements relating to ABC

- v) You must not make inaccurate or misleading statements relating to ABC Reporting Standards, procedures or decisions either expressly or by implication.

### Penalties for infringement

- w) Breaches of the Reporting Standards or bye-laws will be subject to the sanctions set out in section 12(l) and 12(m).
- x) If we have confirmed the resignation or cancellation of a title's registration, you must stop making any

claims of ABC membership in relation to it, stop using the ABC Logo in relation to it but may use the title's current ABC certificate until its expiry date unless informed otherwise.

## 4. AUTHORISATION AND PAYMENT OF FEES

- a) You must pay all Fees within 30 days of the invoice date. If any Fees are not paid when due we reserve the right to charge interest from the due date until payment is made in full (both before and after any judgment), at 2 per cent per annum over the National Westminster Bank plc base rate from time to time. The parties agree that this section 4(a) is a substantial remedy for late payment of any sum payable under this Agreement in accordance with section 8(2) Late Payment of Commercial Debts (Interest) Act 1998.
- b) A title's annual subscription will not be refunded in whole or part if its registration ceases part way through the year.
- c) If Fees remain unpaid 60 days after the invoice date we reserve the right to:
  - Withdraw benefits of membership for the title to which the outstanding Fees relate. This may include removing a title's information from the ABC website, withholding the issue of a title's ABC certificate or excluding it from a concurrent release
  - Cancel your membership and/or the registration of the title to which the outstanding Fees relate.

## 5. AUDITS AND RETURN SUBMISSION

- a) All ABC audits and inspections of ABC certificates will be governed by the byelaws and Reporting Standards in force for the particular membership sector.
- b) If we are to conduct an audit we will send you a letter of engagement that details both our and your duties and responsibilities, the terms of which will prevail over the terms of these Byelaws in the event of conflict.
- c) If we are not your auditor, then for ABC purposes:
  - You must use an auditor that has been approved by us and who is a registered auditor and member of either The Institute of Chartered Accountants in England and Wales (ICAEW), Institute of Chartered Accountants of Scotland (ICAS), Institute of Chartered Accountants in Ireland (ICAI) or Association of Chartered Certified Accountants (ACCA). In exceptional circumstances you may apply to us to use an auditor who is not a member of one of the above bodies, setting out the exceptional circumstances for consideration.
  - If you change your Approved Auditor you must send us their details for approval.

- You must send us in advance of any audit a letter of engagement between you and your Approved Auditor. This must include the standard terms specified in the Reporting Standards. We cannot issue an ABC certificate until we receive this letter of engagement.
  - Your Approved Auditor must submit your circulation or distribution Return Forms to us.
- d) We reserve the right to audit or inspect any Return Form before issuing the ABC certificate.

If we do not receive a Return Form by the submission deadline for the relevant audit period we will send you a letter requiring that you submit the Return Form and pay the penalty fee for late submission within 14 days of the date of the letter and invoice.

If you do not submit the Return Form and pay the penalty fee by the date requested, we reserve the right to cancel the title's registration (and charge interest and apply the sanctions set out in section 4 above).

- e) If we are not able to complete an audit or inspection in relation to a title then we reserve the right to cancel the title's registration and withdraw any ABC certificates upon which an audit or inspection was not completed.
- f) Our staff auditors must carry out the audit of titles outside the UK or Republic of Ireland, and all records required for audit purposes must be in English.

### 6. TRANSFER OF A REGISTERED TITLE TO ANOTHER MEMBER

We will allow a title to remain registered following its transfer to another member (who has other certified titles) as long as within 30 days of the transfer:

- we are able to satisfactorily confirm the transfer has taken place
- we have received all outstanding Fees
- the new owner has agreed to keep the title in continuous certification and submitted the relevant registration form.

We reserve the right to audit or inspect the subsequent Return Form before issuing the ABC certificate.

If any of these conditions are not fulfilled we reserve the right to cancel the title's registration.

Note: It is the responsibility of the new owner to ensure that the records specified by the Reporting Standards for the membership category exist for the whole audit period and to make these available for audit/inspection.

### 7. TRANSFER OF A REGISTERED TITLE TO A NON-MEMBER

- a) A title's registration will cease immediately upon its transfer to a non-member, unless it has any audits or

inspections outstanding, in which case the former owner will first be given the option to complete the audit or inspection at their expense. If however we cannot complete an audit or inspection then we reserve the right to cancel the title's registration and withdraw any ABC certificates upon which an audit or inspection was not completed.

- b) The right to use an ABC Logo ceases on the date of the transfer of a title to a non-member.

- c) The non-member may apply for membership and registration of the title in accordance with section 2.

- If the new owner applies to register the title the publicity requirements in section 3 relating to an applicant will apply.
- We reserve the right to decide whether a short period audit must be undertaken in addition to the normal audit

### 8. MERGER OF TITLES OR CHANGE IN THE NAME OF A TITLE

If you merge a registered title with one or more other titles or change the name of a registered title then you must apply to us within 30 days of the change to keep the resultant title registered.

We will examine the circumstances surrounding the change (including any other changes to the registered title(s) made at the same time) and tell you in writing if the change is accepted as valid for ABC purposes.

We reserve the right to refuse the title's continued registration if we consider the changes are so extensive or such that we consider it should be treated as a new title requiring separate registration.

Below is a non-exhaustive list of other changes which, if made at the same time as a merger of titles or change of name, may affect our decision.

- A change in format (e.g. tabloid to A4)
- A change in publishing frequency (e.g. weekly to monthly)
- A break in the continuity of issue identification (e.g. first issue after change is identified as issue 1)
- Masthead identification of the change (e.g. 'formerly known as...' or '...incorporating...')
- How the change is presented/communicated in the title and elsewhere to both readers and advertisers

If you are planning a merger of titles or change of name we recommend you contact us for advice as early as possible.

### 9. RESIGNATION / CANCELLATION

- a) You may resign a title's registration as long as:
  - You tell us in writing before the expiry date of the current ABC certificate
  - There is no complaint, audit, inspection or Fees outstanding against the title
- b) If for strategic reasons (and in our sole discretion) we decide to withdraw our services in relation to a particular ABC product, sector or geographic region we will terminate affected registrations and/or memberships with a minimum of three months' notice. We will notify those affected of any outstanding requirements before the termination can be effected (such as the completion of an audit) which if not met may result in the termination being deemed a cancellation rather than a resignation. Subject to compliance with any outstanding requirements, members and/or titles affected by a strategic withdrawal may be entitled to a pro-rata refund of membership fees and/or a refund of any fees paid for work not carried out.
- c) After we have confirmed the termination of a title's registration or a membership under section 9(a) or (b), the provisions of section 3(x) will apply.

### 10. RE-REGISTRATION

- a) You may apply at any time to re-register a title as long as there are no Fees outstanding in relation to the title (whether owing by you or a previous owner of the title).
- b) In cases where the same media owner re-registers a title the first audit must be undertaken within 6 months of the registration being accepted.
- c) We may impose such conditions as we see fit on the re-registration of a title (either to be met before acceptance of the re-registration or after). For example, these conditions may include a requirement:
  - For us to carry out additional audit or inspection work, or require you to provide us with reports on issues related to the previous resignation or cancellation
  - For you to submit a Return Form for a particular audit period or within a specified timescale. In cases where the same media owner re-registers a title the first audit must be undertaken within 6 months of the application being approved
  - For you to submit a Return Form for any audit period not reported as a result of the resignation or cancellation of the title's previous registration
  - For us to complete any inspection or audit that was outstanding on an issued ABC certificate at the date the title's previous registration was cancelled.
  - For you or us to make particular publicity statements (or specify 'no publicity') as appropriate
  - To delay the re-registration of the title for a period of up to 12 months from the date of the

previous cancellation as a result of the circumstances that led to that previous cancellation, and a bar on retrospective audits covering the excluded period

### 11. AVAILABILITY OF RECORDS

ABC's credibility relies on the accuracy of the data it certifies. Therefore it requires the following rights of access to records, in order that the accuracy of any data to be certified may be verified.

You must allow us access to any records that we request for the purpose of checking the accuracy of any Return or compliance with the Reporting Standards and byelaws:

- whether held by you or a third-party agent
- within 10 working days of our written request

### 12. COMPLAINTS PROCEDURE

*If a member or Official of ABC wishes to make a complaint that a member is not complying with the ABC byelaws or Reporting Standards then this section sets out the procedure that should be followed. It is intended to allow both parties to the complaint the opportunity to make their representations and for ABC to ensure it has all the information required to make a fair and informed decision. This procedure is based on written submission only.*

#### Stage 1 - Making a complaint

- a) If a member or Official of ABC (other than the Chief Executive or Chairman) ("the complainant") considers that a member ("the member complained of") has not complied with or is not complying with ABC Reporting Standards or the byelaws, he may make a complaint to that effect in accordance with this complaints procedure.
- b) Complaints will not be accepted under this process if:
  - They relate to an infringement of publicity requirements that was published or distributed in material more than 6 months prior to the date of the complaint (unless the infringement continues to be published in material in the public domain - for example on a website, or in a publication still being distributed)
  - They relate to the accuracy of certified data for an audit period with an end date more than 18 months prior to the date of the complaint.
  - They relate to section 17 (data protection), in which case they will be subject to section 18 (governing law and jurisdiction).
- c) The complainant will send to the Head of Compliance a written notification of complaint ("the notification of complaint"), setting out the matters of which he complains accompanied by copies of any documents on which the complaint relies. ABC supplies a standard form for this purpose, which is available from the ABC website.

- d) If the complainant is the Head of Compliance then:
- He will send the complaint to the Chief Executive and references below in this process to the Head of Compliance from section 12(e) to section 12(m) will be read as references to the Chief Executive.
  - Once the Chief Executive has made his decision per section 12(k) or 12(l) you may request a review of this decision by an ABC Complaints Panel in accordance with section 12(p), except the Chairman will not consider if the ground or grounds relied on in the request for review apply, i.e. the request for review will be passed to an ABC Review Panel for reconsideration providing the other stated requirements are met.

**Stage 2 – Forwarding the complaint and member’s right to reply**

- e) Unless the Head of Compliance considers the complaint to be manifestly ill founded, he will send a copy of the notification of complaint and any related documents to the member complained of.
- f) Within 10 working days of receipt of the notification of complaint, or within such further time as the Head of Compliance may allow, the member complained of may send to the Head of Compliance a written statement of response to the matters raised by the complainant accompanied by copies of any documents on which he relies. Where the Head of Compliance considers that a reply is required from the complainant, he will send the complainant a copy of the response, in which case section 12(g) will apply.
- g) Within 10 working days of receipt of the statement of response, or within such further time as the Head of Compliance may allow, the complainant may send to the Head of Compliance a written statement of reply setting out his reply to the matters raised by the member complained of accompanied by copies of any documents on which he relies.

**Stage 3 – Gathering further information**

- h) If it is contended expressly or by implication in the notification of complaint or response or reply that a decision by an ABC Official (the "Official") is not in accordance with the Reporting Standards or the byelaws the Head of Compliance may refer the statement to the Official and the Official may send to the Head of Compliance and to the parties to the complaint his written comments within 10 working days (or within such further time as the Head of Compliance may allow).
- i) After consideration of the notification of complaint, response and reply (if any) and any written comments by the Official, the Head of Compliance may require the complainant or the member complained of or the Official to provide further written information or documents relating to the matters raised, within a specified timescale.

**Stage 4 – Complaint Decision**

- j) When the Head of Compliance considers that sufficient information and documents have been provided, he will make a decision on the complaint and will notify the complainant and the member complained of accordingly. This will normally be within 10 working days of the receipt of the information, however if there are reasons why this is not possible ABC will notify both parties as to the reason for the delay in the decision.
- k) If the Head of Compliance decides that the member complained of has complied with the Reporting Standards and byelaws, he will notify the complainant and the member complained of and, with the following exception, all parties must keep all matters relating to the complaint confidential, including all correspondence and the fact that a complaint was made. However, if the Head of Compliance decides special circumstances require it, he may issue a ruling that the complaint has not been upheld and authorise the publication of that ruling on the ABC website and/or the circulation of that ruling to other members and the Trade Media.
- l) If the Head of Compliance decides that the member complained of has not complied with the Reporting Standards or byelaws, or that a decision by an Official was not in accordance with the Reporting Standards or the byelaws he will issue a ruling to that effect, and, if no appeal is received as specified in Section 12(n), he will publicise that ruling on the ABC website and may circulate that ruling to members and/or the Trade Media and will decide on the required method (if any) to correct the information in the marketplace. If an appeal is made under Section 12(n) and/or a request for review under Section 12(o), the decision will only be publicised once the process of appeal/review is completed.
- m) Should the Head of Compliance believe that a penalty other than one set out in section 12(l) be applied, he may in addition and subject to the approval of the Chief Executive implement any or all of the following sanctions [Note: if the complainant is the Head of Compliance then, as per section 12 (d), the Chief Executive alone may implement any or all of the following sanctions):
  - withdraw any ABC certificate already issued and issue a revised ABC certificate;
  - require the member complained of to submit or resubmit any Returns;
  - direct that the member complained of be expelled, temporarily suspended from membership and/or subject to the fulfilment of conditions;
  - direct that the registration of the title in question be cancelled or temporarily suspended.
  - direct that a re-audit take place by the member’s Approved Auditor or ABC (at the member’s cost).

**Stage 5 – Appeal to Chief Executive**

- n) Should the complainant or member complained of disagree with a decision taken by the Head of Compliance alone under section 12(k) or 12(l), they will have the right to appeal to the Chief Executive, by giving notice in writing and detailing the grounds for appeal to the Head of Compliance within 5 working days of notification of the decision. If the Head of Compliance receives such a notice he will refer the complaint to the Chief Executive who will reconsider the complaint and decision and will normally respond to each party within 10 working days of receipt of the appeal. However if there are reasons why this is not possible ABC will notify both parties as to the reason for the delay in the decision.

**Stage 6 – Review by ABC Board panel**

- o) The complainant or member complained of may request a review of a decision on a complaint by the Chief Executive under section 12(n) or by the Head of Compliance and Chief Executive together under section 12(m) if one of the following grounds applies:
- i. Relevant evidence (which had been provided within the relevant time limit) was not taken into account;
  - ii. There is a substantial flaw in the decision or in the process which led to the decision.
  - iii. Relevant new evidence has come to light which could not reasonably have been obtained before the decision.
- p) If the complainant or member complained of wishes to exercise the right to request a review of a decision then they must give notice in writing to the Chief Executive using the official ABC Request for Review Form (available from the ABC website or on request) within 5 working days of notification of the decision. The completed form must:
- Set out which of the ground or grounds stated in section 12(o) they consider applies.
  - Be limited to the explanation as to why the specified ground or grounds applies.
  - Be authorised by an individual at Director level of the member's organisation.

If the Chief Executive receives such a notice he will refer the complaint to the Chairman.

- q) If the Chairman considers that the ground or grounds relied on in the request for review apply (as to which his decision is final), he will refer the complaint for reconsideration to a panel consisting of 3 members of the ABC Board (not connected with the complainant or the member complained of or the matters raised) selected by him ("the Complaints Panel"). The Chairman may, at his discretion, fill one or more of the 3 positions on the Complaints Panel from the membership of the ABC Reporting Standards Groups.

- r) If they consider it appropriate, before reconsidering the decision, the Complaints Panel may invite the complainant, the member complained of, or the Official to make further written representations, may call on appropriate experts and may make such other further investigations as they consider appropriate. The panel must reconsider the decision within 15 working days of the Chairman receiving the notice in accordance with section 12(p), save that the Chairman may allow an extension of not more than 10 working days, in his sole discretion. The panel shall be entitled to adjourn any meeting if necessary but in such circumstances should complete their review of the decision as soon as is reasonably practical.
- s) The Complaints Panel may confirm, reverse or vary the decision of the Chief Executive and/or Head of Compliance. The decision of the Complaints Panel shall be final, except when the Complaints Panel's decision is not unanimous when their decision shall be of no effect unless and until it has been reviewed and approved by the ABC Board. Such review by the ABC Board must take place within 10 working days of the Complaints Panel's decision.

**Complaints Procedure – confidentiality/unavailability of ABC Chairman or Chief Executive/legal proceedings.**

- t) For the duration of the complaints procedure, but subject to Section 12(k), the contents of the statement of complaint, the statement of response, the statement of reply and any other information and documents which have been provided will be confidential to the complainant, the member complained of and ABC.
- u) If the ABC Chairman is unavailable to carry out his actions in this procedure due to normal absences (for example holiday/business commitments) then appropriate extensions to the timescales will be made to enable him to properly fulfil his role.
- v) If either the ABC Chief Executive or ABC Chairman are unavailable to carry out their actions in this procedure due to prolonged or indeterminate absence (for example through illness or other incapacity) then the ABC Board may appoint a deputy to fulfil their role in this procedure.
- w) Matters raised under this complaints procedure cannot also be subject to an appeal under the review procedure in section 13 below.
- x) All decisions of ABC as to the interpretation of these Byelaws generally and in relation to any complaint will be final and you agree not to institute any legal proceedings in relation to any matter arising under the Byelaws or which is or was the subject of a complaint.

### 13. REVIEW PROCEDURE

*This section sets out the procedure for members who wish to contest a decision made by ABC because they believe it has not been made in accordance with ABC Reporting Standards or byelaws. This procedure is based on written submission only.*

#### Stage 1 – Appeal to Chief Executive

- a) If you consider that a decision by an ABC Official (whether about a matter concerning you or another Member) is not in accordance with ABC Reporting Standards or the byelaws, you have the right to appeal against that decision in accordance with this review procedure. Note: If the decision relates to an audit or inspection, the first level of appeal will normally be to the Director of Audit – refer to the relevant Reporting Standards. However if the official making the audit/inspection decision is either the Director of Audit or the Chief Executive then the first level of appeal will be in accordance with this review procedure.
- b) You must send your appeal in writing to ABC's Chief Executive, setting out the reasons why you believe the decision is not in accordance with the Reporting Standards or the byelaws, including with it copies of any documents on which you rely.
- c) If you wish the implementation of the decision to be suspended pending the appeal, you must give ABC written notification of your intention to appeal before the date on which the decision is to be implemented, and your appeal must be received by the Chief Executive within 5 working days of this notification. In any event, appeals may only be brought under this Review Procedure within one month of the date of the decision.
- d) If the Official whose decision is questioned ("the Relevant Official") is the Chief Executive, then you may request a review of this decision by an ABC Review Panel in accordance with section 13(m). In these circumstances:
  - Section 13(c) still applies, therefore if you wish the implementation of the decision to be suspended pending the request for review you must give the Chief Executive written notice of your intention to request a review before the date on which the decision is to be implemented, and the completed ABC review form as detailed in section 13(m) must be received by the Chief Executive within 5 working days of this notification.
  - The Chairman will not consider if the ground or grounds relied on in the request for review (referred to in Section 13(l)) apply. The request for review will be passed to an ABC Review Panel for reconsideration providing the other requirements in Section 13(m) are met.

#### Stage 2 – Forwarding the appeal and response from those affected

- e) The Chief Executive will send a copy of your appeal to the Relevant Official.
- f) If the Chief Executive considers that your appeal directly affects another member or members ("the member(s) affected"), he will also send a copy of your appeal to the member(s) affected.
- g) The Relevant Official (and any member(s) affected) must send their written statement(s) of response to the Chief Executive, setting out their submissions on the matters raised by you, including copies of any documents on which they rely.
  - The response(s) (if submitted) must be received by the Chief Executive within 10 working days of receipt of the appeal, or within such further time as the Chief Executive may allow.
  - The Chief Executive will send the statement(s) of response (if submitted) to you.
  - If no statements of response are made (or the statement(s) are 'no response') then the process will move direct to byelaw 13i.

#### Stage 3 – Right to reply to the responses

- h) You may send to the Chief Executive a written statement of reply setting out your reply to any matters raised by the Relevant Official (and any member(s) affected) including copies of any documents on which you rely.
  - The reply must be received by the Chief Executive within 10 working days of receipt of the statement(s) of response, or within such further time as the Chief Executive may allow
  - The Chief Executive will send your statement of reply (if submitted) to the Relevant Official (and to any member(s) affected).

#### Stage 4 – Gathering further information

- i) After considering the correspondence and documentation relating to the appeal, the Chief Executive may require you, the Relevant Official and/or any member(s) affected to provide further written information or documents relating to the matters raised.

#### Stage 5 – Appeal decision

- j) When the Chief Executive considers that sufficient information and documents have been provided, he will make his decision concerning the appeal and notify the member(s) affected. This will normally be within 10 working days of the receipt of the information, however if there are reasons why this is not possible ABC will notify the member(s) affected as to the reason for the delay in the decision

- k) If the Chief Executive decides that the decision by the Relevant Official was not in accordance with the Reporting Standards or the byelaws, he may implement any or all of the following actions:
- Issue a ruling to that effect and authorise the circulation of that ruling to other members and to the Trade Media;
  - Withdraw any ABC certificate already issued and issue a revised ABC certificate;
  - Require you or any member(s) affected to submit or resubmit any Returns;
  - Direct that a re-audit take place either by the relevant Approved Auditor or ABC.
  - Reverse or vary the decision of the Relevant Official

### Stage 6 – Review by ABC Board panel

- l) Any member affected may request a review of a decision by the Chief Executive under section 13(j) if one of the following grounds applies:
- i. Relevant evidence (which had been provided within the relevant time limit) was not taken into account;
  - ii. There is a substantial flaw in the decision or in the process which led to the decision.
  - iii. Relevant new evidence has come to light which could not reasonably have been obtained before the decision of the Chief Executive under section 13(j)
- m) If the member wishes to exercise the right to request a review of a decision then they must give notice in writing to the Chief Executive using the official ABC Request for Review Form (available from the ABC website or on request) within 5 working days of notification of the decision. The completed form must:
- Set out which of the ground or grounds stated in section 13(l) they consider applies.
  - Be limited to the explanation as to why the specified ground or grounds applies.
  - Be authorised by an individual at Director level of the member's organisation.
- If the Chief Executive receives such a notice he will refer the complaint to the Chairman.
- n) If the Chairman considers that the ground or grounds relied on in the request for review apply (as to which his decision is final), he will refer the decision for reconsideration to a panel consisting of 3 members of the ABC Board (not connected with the member or members affected or the matters raised) selected by him ("the Review Panel"). The Chairman may, at his discretion, fill one or more of the 3 positions on the Review Panel from the membership of the ABC Reporting Standards Groups.
- o) If they consider it appropriate, before reconsidering the decision, the Review Panel may invite the

member or members affected or the Relevant Official to make further written representations, may call on appropriate experts and may make such other further investigations as they consider appropriate. The panel must reconsider the decision within 15 working days of the Chairman receiving the notice in accordance with section 13(m), save that the Chairman may allow an extension of not more than 10 working days, in his sole discretion. The panel shall be entitled to adjourn any meeting if necessary but in such circumstances should complete their review of the decision as soon as is reasonably practical.

- p) The Review Panel may confirm, reverse or vary the decision of the Chief Executive. The decision of the Review Panel shall be final, except when the Review Panel's decision is not unanimous when their decision shall be of no effect unless and until it has been reviewed and approved by the ABC Board. Such review by the ABC Board must take place within 10 working days of the Review Panel's decision.

### Review Procedure – confidentiality/unavailability of ABC Chairman or Chief Executive/legal proceedings

- q) Until the completion of the review procedure, the contents of your appeal, the statement(s) of response and reply and any other information and documents which have been provided will be confidential to you, ABC and any member(s) affected.
- r) If the review procedure concludes that the decision by an ABC Official is in accordance with the Reporting Standards or the byelaws, then all parties must keep all matters relating to the appeal confidential, including all correspondence and the fact that an appeal was made. However if the Chief Executive or Review Panel decide special circumstances require it, they may issue a ruling that the appeal has not been upheld and authorise the publication of that ruling on the ABC website and/or the circulation of that ruling to other members and the Trade Media.
- s) If the ABC Chairman is unavailable to carry out his actions in this procedure due to normal absences (for example holiday/business commitments) then appropriate extensions to the timescales will be made to enable him to properly fulfil his role.
- t) If either the ABC Chief Executive or ABC Chairman are unavailable to carry out their actions in this procedure due to prolonged or indeterminate absence (for example through illness or other incapacity) then the ABC Board may appoint a deputy to fulfil their role in this procedure.
- u) Matters raised under this review procedure cannot also be subject to a complaint or appeal under the complaints procedure in section 12 above.

v) All decisions of ABC in relation to this review procedure will be final and you agree not to institute any legal proceedings in relation to any matter arising under the Byelaws or which is or was the subject of an appeal.

### 14. COPYRIGHT

- a) We hold joint copyright in your titles' ABC certificates with you.
- b) We have the right to use and publish without restriction all information provided to us for certification

### 15. LIMITATION OF LIABILITY

Nothing in these Byelaws excludes or limits our liability in respect of death or personal injury caused by negligence, fraud, and/or fraudulent misrepresentation and liability which may not otherwise be limited or excluded under applicable law. The entire aggregate liability of us to you or any third party arising out of or in connection with your membership of and relationship with ABC, and whether arising from contract, tort, negligence or otherwise, shall be limited to the value of five times the Fees paid by you in the calendar year of the act or omission said to give rise to the liability. Under no circumstances shall we be liable to you or any third party for any type of special loss, indirect loss, consequential loss, loss of profits or any anticipated savings, or loss of data.

### 16. USE OF ELECTRONIC COMMUNICATION

We each agree that we may communicate electronically with each other. The electronic transmission of information cannot be guaranteed to be secure or free from viruses or error, and consequently such information could be intercepted, corrupted, lost, destroyed, arrive late or incomplete, or otherwise be adversely affected or unsafe to use. You and we recognise that systems and procedures cannot be a guarantee that transmissions will be unaffected by such hazards but we each agree to use commercially reasonable procedures to prevent such hazards including undertaking checks for the most commonly known viruses before sending information electronically.

### 17. DATA PROTECTION

- a) This section 17:
  - Will apply when we are to carry out an audit, inspection or other services for which we have been engaged and is supplemental to the duties and responsibilities set out in the Terms of Audit letter or other agreement.
  - Includes the terms "Personal Data", "Sensitive Personal Data", "Data Processor", "Data Controller" and "Process" which are defined as in the Data Protection Act 1998 (the "DPA").
  - Will not be subject to the complaints procedure detailed in section 12, but will be subject to the jurisdiction of the courts of England.
- b) You acknowledge that under the terms of these byelaws and the Reporting Standards, we will act as

a Data Processor appointed by you who will be a Data Controller, and the data you (and/or third parties acting your behalf) make available to us from time to time to which we have access may include Personal Data and Sensitive Personal Data (such Personal Data and Sensitive Personal Data shall be defined as the "The Personal Data").

- c) We will:
  - Only process the Personal Data for the purposes of carrying out audits/inspections and/or other services for which you have engaged us
  - Use our reasonable endeavours to keep The Personal Data secure.
- d) You warrant, represent and undertake that:
  - You (and/or any third party acting on your behalf) are entitled to provide The Personal Data to us for the purposes of us carrying out audits and/or other services for which you have engaged us; and
  - Our processing of The Personal Data for such purposes shall not cause us to be in breach of any applicable laws or regulations (including, without limitation, the DPA).
- e) You will indemnify us, keep indemnified and hold us harmless from and against all costs (including the costs of enforcement), expenses, liabilities (including any tax liability), injuries, direct, indirect or consequential loss (all three of which terms include, without limitation, pure economic loss, loss of profits, loss of business, depletion of goodwill and like loss), damages, claims, demands, proceedings or legal costs (on a full indemnity basis) and judgments which we incur or suffer as a result of a direct or indirect breach by you of section 15 (d).
- f) We reserve the right to return to you (or any third party acting on your behalf), and refuse to audit and/or provide any other services in respect of The Personal Data where we reasonably consider that any Processing of that data by us could cause us to be in breach of any applicable laws or regulations (including, without limitation, the DPA).

### 18. GOVERNING LAW AND JURISDICTION

The formation, existence, construction, performance, validity and all aspects whatsoever of the Byelaws, Reporting Standards and other regulations governing the workings of ABC as laid down by the Board and all other aspects of the relationship between you and ABC will be governed by the law of England and Wales and the courts of England and Wales will have exclusive jurisdiction to settle any disputes which may arise. ABC and you irrevocably agree to submit to that jurisdiction except that ABC may seek injunctive relief in any court of competent jurisdiction.

## APPENDIX 2 – ABC GEOGRAPHIC REGIONS FOR REPORTING PURPOSES

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### Regions of the UK - Summary

East Anglia, East Midlands, London, Midlands, North West, Northern, South East, South West, Yorkshire, Northern Ireland, Scotland, Wales.

### Counties of the UK within regions

East Anglia	Cambridgeshire Norfolk Suffolk	South West	Channel Islands Cornwall Devon Dorset
East Midlands	Derbyshire Leicestershire Lincolnshire Northamptonshire Nottinghamshire	Yorkshire	Gloucestershire Isles of Scilly Somerset Wiltshire East Yorkshire North Yorkshire South Yorkshire West Yorkshire
London			
Midlands	Hereford & Worcester Shropshire Staffordshire Warwickshire West Midlands	Northern Ireland	Antrim Armagh Down Fermanagh Londonderry Tyrone
North West	Cheshire Isle of Man Lancashire Merseyside	Scotland	Borders Central Dumfries & Galloway Fife Grampian Highlands & Islands Lothian Strathclyde Tayside
Northern	Cleveland Cumbria Durham Northumberland Tyne & Wear		
South East	Bedfordshire Berkshire Buckinghamshire East Sussex Essex Hampshire Hertfordshire Isle of Wight Kent Middlesex Oxfordshire Surrey West Sussex	Wales	Clwyd Dyfed Gwent Gwynedd Mid Glamorgan Powys South Glamorgan West Glamorgan

### Countries of the World by ABC Region

You will be able to see the analysis of Countries of the World by ABC Region on the eReturn and on the ABC website.

### Converting Post Codes on Mailing lists to ABC Geographical Regions

If you are analysing your circulation into UK Counties or UK Regions you must use the standard classifications shown above. To analyse postcodes on your mailing list into these counties and regions you will need to follow two stages:.

- 1) Allocate post code to Royal Mail county name. This can be done using a Royal Mail product called 'Post Town Gazetteer' (using up to date version available from the Royal Mail)), which lists outward postcode (first half of the postcode) against the Royal Mail county name
- 2) Allocate Royal Mail county name to ABC standard county and region. This can be done using the ABC County conversion table shown on the following pages.

## APPENDIX 2 – ABC GEOGRAPHIC REGIONS FOR REPORTING PURPOSES [cont.]

Royal Mail County Name	ABC County	ABC Region	Royal Mail County Name	ABC County	ABC Region
ABERDEENSHIRE	GRAMPIAN	SCOTLAND	ISLE OF CANNA	HIGHLAND	SCOTLAND
ANGUS	TAYSIDE	SCOTLAND	ISLE OF COLL	HIGHLAND	SCOTLAND
ARGYLL	STRATHCLYDE	SCOTLAND	ISLE OF COLONSAY	STRATHCLYDE	SCOTLAND
AVON	SOMERSET	SOUTH WEST	ISLE OF CUMBRAE	STRATHCLYDE	SCOTLAND
AYRSHIRE	STRATHCLYDE	SCOTLAND	ISLE OF EIGG	HIGHLAND	SCOTLAND
BANFFSHIRE	GRAMPIAN	SCOTLAND	ISLE OF GIGHA	HIGHLAND	SCOTLAND
BEDFORDSHIRE	BEDFORDSHIRE	SOUTH EAST	ISLE OF HARRIS	HIGHLAND	SCOTLAND
BERKSHIRE	BERKSHIRE	SOUTH EAST	ISLE OF IONA	STRATHCLYDE	SCOTLAND
BERWICKSHIRE	BORDERS	SCOTLAND	ISLE OF ISLAY	STRATHCLYDE	SCOTLAND
BUCKINGHAMSHIRE	BUCKINGHAMSHIRE	SOUTH EAST	ISLE OF JURA	STRATHCLYDE	SCOTLAND
CAITHNESS	HIGHLAND	SCOTLAND	ISLE OF LEWIS	STRATHCLYDE	SCOTLAND
CAMBRIDGESHIRE	CAMBRIDGESHIRE	EAST ANGLIA	ISLE OF MAN	ISLE OF MAN	NORTH WEST
CHANNEL ISLES	CHANNEL ISLANDS	SOUTH WEST	ISLE OF MULL	STRATHCLYDE	SCOTLAND
CHESHIRE	CHESHIRE	NORTH WEST	ISLE OF NORTH UIST	STRATHCLYDE	SCOTLAND
CLACKMANNANSHIRE	CENTRAL	SCOTLAND	ISLE OF RUM	HIGHLAND	SCOTLAND
CLEVELAND	CLEVELAND	NORTHERN	ISLE OF SCALPAY	STRATHCLYDE	SCOTLAND
CLWYD	CLWYD	WALES	ISLE OF SKYE	HIGHLAND	SCOTLAND
CORNWALL	CORNWALL	SOUTH WEST	ISLE OF SOUTH UIST	STRATHCLYDE	SCOTLAND
COUNTY ANTRIM	ANTRIM	NORTHERN IRELAND	ISLE OF TIRREE	STRATHCLYDE	SCOTLAND
COUNTY ARMAGH	ARMAGH	NORTHERN IRELAND	ISLE OF WIGHT	ISLE OF WIGHT	SOUTH EAST
COUNTY DOWN	DOWN	NORTHERN IRELAND	ISLES OF SCILLY	ISLES OF SCILLY	SOUTH WEST
COUNTY DURHAM	DURHAM	NORTHERN IRELAND	KENT	KENT	SOUTH EAST
COUNTY FERMANAGH	FERMANAGH	NORTHERN IRELAND	KINCARDINESHIRE	GRAMPIAN	SCOTLAND
COUNTY LONDONDERRY	LONDONDERRY	NORTHERN IRELAND	KINROSS-SHIRE	FIFE	SCOTLAND
COUNTY TYRONE	TYRONE	NORTHERN IRELAND	KIRKCUDBRIGHTSHIRE	GRAMPIAN	SCOTLAND
CUMBRIA	CUMBRIA	NORTHERN IRELAND	LANARKSHIRE	STRATHCLYDE	SCOTLAND
DERBYSHIRE	DERBYSHIRE	EAST MIDLANDS	LANCASHIRE	LANCASHIRE	NORTH WEST
DEVON	DEVON	SOUTH WEST	LEICESTERSHIRE	LEICESTERSHIRE	EAST MIDLANDS
DORSET	DORSET	SOUTH WEST	LINCOLNSHIRE	LINCOLNSHIRE	EAST MIDLANDS
DUMFRIESHIRE	DUMFRIES & GALLOWAY	SCOTLAND	LONDON	LONDON	LONDON
DUNBARTONSHIRE	STRATHCLYDE	SCOTLAND	MERSEYSIDE	MERSEYSIDE	NORTH WEST
DYFED	DYFED	WALES	MID GLAMORGAN	MID GLAMORGAN	WALES
EAST LOTHIAN	LOTHIANS	SCOTLAND	MIDDLESEX	MIDDLESEX	SOUTH EAST
EAST SUSSEX	EAST SUSSEX	SOUTH EAST	MIDLOTHIAN	LOTHIANS	SCOTLAND
ESSEX	ESSEX	SOUTH EAST	MORAYSHIRE	HIGHLAND	SCOTLAND
FIFE	FIFE	SCOTLAND	NAIRNSHIRE	HIGHLAND	SCOTLAND
GLOUCESTERSHIRE	GLOUCESTERSHIRE	SOUTH WEST	NORFOLK	NORFOLK	EAST ANGLIA
GWENT	GWENT	WALES	NORTH HUMBERSIDE	EAST YORKSHIRE	YORKSHIRE
GWYNEDD	GWYNEDD	WALES	NORTH YORKSHIRE	NORTH YORKSHIRE	YORKSHIRE
HAMPSHIRE	HAMPSHIRE	SOUTH EAST	NORTHAMPTONSHIRE	NORTHAMPTONSHIRE	EAST MIDLANDS
HEREFORDSHIRE	HEREFORD & WORCESTER	MIDLANDS	NORTHUMBERLAND	NORTHUMBERLAND	NORTHERN
Royal Mail County Name	ABC County	ABC Region	NOTTINGHAMSHIRE	NOTTINGHAMSHIRE	EAST MIDLANDS
HERTFORDSHIRE	HERTFORDSHIRE	SOUTH EAST	ORKNEY	HIGHLAND	SCOTLAND
INVERNESS-SHIRE	HIGHLAND	SCOTLAND	OXFORDSHIRE	OXFORDSHIRE	SOUTH EAST
ISLE OF ARRAN	STRATHCLYDE	SCOTLAND	PEEBLESHIRE	BORDERS	SCOTLAND
ISLE OF BARRA	STRATHCLYDE	SCOTLAND	PERTHSHIRE	CENTRAL	SCOTLAND
ISLE OF BENBECULA	STRATHCLYDE	SCOTLAND	POWYS	POWYS	WALES
ISLE OF BUTE	STRATHCLYDE	SCOTLAND	RENFREWSHIRE	STRATHCLYDE	SCOTLAND
			ROSS-SHIRE	HIGHLAND	SCOTLAND
			ROXBURGHSHIRE	BORDERS	SCOTLAND
			SALOP	SHROPSHIRE	MIDLANDS
			SELKIRKSHIRE	BORDERS	SCOTLAND
			SHETLAND	HIGHLAND	SCOTLAND
			SHETLAND ISLANDS	HIGHLAND	SCOTLAND

## APPENDIX 2 – ABC GEOGRAPHIC REGIONS FOR REPORTING PURPOSES [cont.]

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<b>Royal Mail County Name</b>	<b>ABC County</b>	<b>ABC Region</b>
SHROPSHIRE	SHROPSHIRE	MIDLANDS
SOMERSET	SOMERSET	SOUTH WEST WALES
SOUTH GLAMORGAN	SOUTH GLAMORGAN	EAST MIDLANDS
SOUTH HUMBERSIDE	LINCOLNSHIRE	YORKSHIRE
SOUTH YORKSHIRE	SOUTH YORKSHIRE	MIDLANDS
STAFFORDSHIRE	STAFFORDSHIRE	SCOTLAND
STIRLINGSHIRE	CENTRAL	EAST ANGLIA
SUFFOLK	SUFFOLK	SOUTH EAST SCOTLAND
SURREY	SURREY	NORTHERN
SUTHERLAND	HIGHLAND	MIDLANDS
TYNE AND WEAR	TYNE & WEAR	WALES
WARWICKSHIRE	WARWICKSHIRE	SCOTLAND
WEST GLAMORGAN	WEST GLAMORGAN	MIDLANDS
WEST LOTHIAN	LOTHIANS	SOUTH EAST YORKSHIRE
WEST MIDLANDS	WEST MIDLANDS	SCOTLAND
WEST SUSSEX	WEST SUSSEX	SCOTLAND
WEST YORKSHIRE	WEST YORKSHIRE	SOUTH EAST YORKSHIRE
WESTERN ISLES	HIGHLAND	SCOTLAND
WIGTOWNSHIRE	DUMFRIES & GALLOWAY	SCOTLAND
WILTSHIRE	WILTSHIRE	SOUTH WEST MIDLANDS
WORCESTERSHIRE	HEREFORD & WORCESTER	

TO CHECK YOU ARE USING THE LATEST ABC REPORTING STANDARDS AND  
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