

2006

ISSUED FEBRUARY 2006

VERSION 2



**BUSINESS PRESS
AUDIT RULES**

**BUSINESS PRESS
AUDIT RULES**

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5. Review procedure
6. Publicity rules
7. Authorisation and payment of fees
8. Audits
9. Application for membership and registration
10. Transfer of a title to another member
11. Transfer of a title to a non- member
12. Merger or change of name of a title
13. Re-launch involving material change to a title

14. Resignation
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SECTION 1 - INTRODUCTION

1.1 THE ROLE AND PURPOSE OF ABC

1.2 HOW TO USE THIS RULE BOOK

1.3 DEVELOPMENT OF BUSINESS PRESS AUDIT RULES

1.4 BENEFITS OF ABC CERTIFICATION

1.5 RESPONSIBILITIES OF ABC MEMBERS

1.1 THE ROLE AND PURPOSE OF ABC

Founded by advertisers and advertising agencies, ABC aims to provide buyers of advertising 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 leads to the universally recognised ABC certification.

The following sections detail the standards and rules to which all ABC audited business publications must adhere, in order to achieve ABC certification. It is the common application of these standards and rules that gives a true and fair view of the circulations of all ABC business publications.

1.2 HOW TO USE THIS RULE BOOK

This rule-book contains the current rules relating to the Business Press Standard Certificate of Circulation, in addition it covers other aspects of ABC membership such as submission of figures etc. There is a separate rule-book that covers the Profile Certificate of Circulation.

Rule changes, once approved by the ABC Council, are communicated to members in writing and the rule-book is updated on ABC's web site, www.abc.org.uk. ABC advises that members check the website to ensure they have a current rule set.

1.3 DEVELOPMENT OF THE BUSINESS PRESS AUDIT RULES

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 audit rules are continuously evolving. It is the industry itself, via the work of the Specialist Committees, that set the Business Press Rules.

The Business Press Specialist Committee (BPSC) is comprised of media owners, advertisers and agencies and meets regularly to devise and revise rules as is needed by the industry. Any ABC members may raise issues relating to these rules for consideration by the BPSC at any time.

1.4 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. It also helps demonstrate publishers integrity in their willingness to be audited and conform to industry standards.

1.5 RESPONSIBILITIES OF ABC MEMBERS

Membership of ABC is subject to compliance with the Audit Rules and also the ABC Byelaws. It is important that both these documents are read and understood.

ABC Byelaws are detailed in appendix 1, they detail the regulations on the following areas:

- Inspection of records
- Complaints procedure
- Review procedure
- Publicity rules
- Authorisation and payment of fees
- Audits
- Application for membership and registration
- Transfer of a title to another member
- Transfer of a title to a non- member
- Merger or change of name of a title
- Re-launch involving material change to a title
- Resignation
- Re-registration
- Copyright of certificate and bureau data
- Notices and communications

SECTION 2 - ABC CERTIFICATES

2.1 INTRODUCTION

2.2 STANDARD CERTIFICATE OF CIRCULATION

2.2.1 EDITIONS ANALYSIS

2.2.2 ANNUAL PUBLICATIONS

2.2.3 COMBINED CERTIFICATES

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2.4 DEMOGRAPHIC CERTIFICATES

2.4.1 STANDARD CERTIFICATE OF CIRCULATION WITH DEMOGRAPHICS

2.4.2 PROFILE CERTIFICATE OF CIRCULATION

2.1 INTRODUCTION

Every title registered with ABC must issue a basic Certificate, called a 'STANDARD' Certificate at least once a year. As well as the Average Net Circulation for the period (the 'ABC' figure), the STANDARD 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.

2.2 THE STANDARD CERTIFICATE OF CIRCULATION

This is a mandatory certificate, which consists of three pages in a defined format as shown in the diagram overleaf.

There are three variations to the STANDARD Certificate:

2.2.1 Standard Certificate of Circulation - with editions analysis

Separate geographical/subject matter editions of a publication may be included on this certificate. 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.

To qualify for an Editions Certificate, all of the following criteria must be satisfied:

- An edition must be 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 has to be branded to the parent publication
- The front cover of the publication has to include identification that it is an edition of the parent publication.

The requirements of Rule 5.2, requiring all copies claimed for an issue to carry identical advertising content do not apply to editions included in an Editions Certificate.

Where there is a high level of common circulation between editions, ABC will require that the titles have separate certificates.

2.2.2 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 is removed.

2.2.3 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 can carry a statement explaining that it is only available with the other publications.

SECTION 2 - ABC CERTIFICATES [cont.]

2.3 INTERNATIONAL CERTIFICATE OF CIRCULATION

For those titles that wish to demonstrate the international nature of their circulation. This type of certificate is different to the STANDARD as follows:

- The Average and Audit Issue Circulation on page 2 is not broken out into UK and other countries but shown as one column headed 'Net Circulation'.
- A geographical analysis is mandatory, appearing on page four of the certificate.

2.4 DEMOGRAPHIC CERTIFICATES

Providing demographic analysis of a title'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.

ABC offers two types of optional certificate for publishers 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 titles with significant levels of subscription, society or controlled circulation. Publishers of such titles normally hold considerable auditable data relating to their circulation, which can be used in the demographic analysis of circulation base. The audits analyse the third party demographic evidence held for these individuals.

2.4.1 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. The publisher chooses which demographics are to be audited. The Standard with Demographics can provide a useful stepping stone to the full demographic audit of the Profile Certificate of Circulation.

If the publisher has not previously completed a demographic audit then ABC will conduct a visit prior to the first audit to discuss and review audit documentation and procedures. As a result of this visit ABC may cancel the registration for Standard Certificate of Circulation with Demographics if it believes the audit requirements cannot be met.

2.4.2 Profile Certificate of Circulation

The ABC Profile Certificate is a separate scheme as it contains a number of mandatory demographic tables, which the industry agrees should be available for all titles attaining this audit.

Publishers registering for this audit must analyse:

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

Most publishers analyse additional data relevant to their advertisers. These extra tables are at the discretion of the publisher examples of other tables are:

Purchasing Responsibility
Number of Employees in the Company
Company Turnover

Provided the data has a valid auditable source and relates to the circulation, just about any demographic can be included. In addition two or more demographic tables may be cross-analysed. An example of this is an analysis of Job Title by Purchasing Influence. This provides buyers with very valuable information to help them target their spend.

Profile Certificates are bespoke for each title. In addition to the tables they can include graphics making them an effective way of demonstrating the quality of a circulation to prospective advertisers.

All current Profile Certificates are available to advertisers from ABC's website www.abc.org.uk

There is a separate rulebook for Profile Certificates of Circulation.

Types of certificate
Section 2

Standard Certificate of Circulation

For the 10 issues distributed between 1st January 2003 and 31st December 2003

Reporting periods
Section 3

**Business
Magazines**

Business Press Today

Contents

- 2 Analysis of Circulation
- 3 Supporting Data

Validity of certificate
Section 4

This certificate expires on 31st March 2003 unless ABC has issued a new certificate before that date.

Issued by
ABC Ltd
Saxon House, 211 High Street
Berkhamsted
Hertfordshire HP4 1AD
United Kingdom

Tel: +44 (0) 1442 970800
Fac: +44 (0) 1442 200700
Net: www.abc.org.uk
Email: abcpost@abc.org.uk

All data carried in this certificate is derived from a Return of Circulation approved by ABC on 29th January 2004 on behalf of the publisher:
ABC Business and Professional
The publisher has certified that the data has been recorded in accordance with ABC rules. ABC will audit the data and if any material error or omission is found, an audit report will be issued giving details of the error or omission.

For details of audit reports issued on the rules and procedures, please contact ABC.
The Audit Bureau of Circulations cannot accept responsibility for mistakes or omissions although every care is taken to ensure that the information is correct. This certificate is the copyright property of the publisher and the Audit Bureau of Circulations Ltd.

Proving the average circulation figure
Section 5

Business Press Today				
Certificate of Average Net Circulation for the 10 issues distributed between 1st January 2003 and 31st December 2003				
		Net Total	United Kingdom	Other Countries
Total Average Net Circulation Per Issue		8,000	7,900	100
Total Average Net Newtrade Sales Per Issue		-	-	-
Analysis for the Audit Issue cover dated Nov 03 and distributed on 12th November 2003				
TOTAL NET CIRCULATION		8,200	8,100	100
Newtrade and other Single Copy Sales	TOTAL	-	-	-
At Full Cover Price/NTT		-	-	-
At a Lower Rate		-	-	-
Paid and Controlled	TOTAL	-	-	-
<small>see terms of control on page 3. Sources for all addresses are less than 3 years old.</small>				
At Full Rate		-	-	-
At between 50% and 100% of Full Rate		-	-	-
At less than 50% of Full Rate		-	-	-
Single Copy Subscription Sales	TOTAL	-	-	-
At Full Rate		-	-	-
At between 50% and 100% of Full Rate		-	-	-
At less than 50% of Full Rate		-	-	-
Multiple Copy Subscription Sales	TOTAL	-	-	-
At Full Rate		-	-	-
At between 50% and 100% of Full Rate		-	-	-
At less than 50% of Full Rate		-	-	-
Bulk Sales	TOTAL	-	-	-
At Full Rate		-	-	-
At between 50% and 100% of Full Rate		-	-	-
At less than 50% of Full Rate		-	-	-
Society/Association/Organisation Circulation	TOTAL	240	240	-
Paid optional single copies		-	-	-
Unpaid single copies requested in writing		-	-	-
Unpaid single copies requested by internet		-	-	-
Unpaid single copies requested by telephone		-	-	-
Non-optional single copies		240	240	-
Controlled Free Circulation	TOTAL	7,748	7,648	100
<small>see terms of control on page 3. Sources for all addresses are less than 3 years old.</small>				
Individually requested in writing		4,041	4,041	-
Individually requested by internet		-	-	-
Individually requested by telephone		2,207	2,207	-
Company requested in writing		-	-	-
Company requested by internet		-	-	-
Company requested by telephone		-	-	-
Non-requested by name		500	400	100
Non-requested by job title / function		1,000	1,000	-
Non-Controlled Free Circulation	TOTAL	212	212	-
By Name		212	212	-
Not by name		-	-	-
Duplication: The level of duplication on the mailing list for the audit issue was: 3%				
Miscellaneous data:				
The cover price for the audit issue was £2.95				
The annual United Kingdom subscription rate for the audit issue was: £20.00				
The range of annual other countries subscription rates for the audit issue was: £25 to £30				
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Audit issue
Section 6

Newtrade
Section 7

Single copy subscriptions
Section 8

Bulk Sales
Section 10

Society / Association / Organisation
Section 11

Controlled free circulation
Section 12

Non-controlled free circulation
Section 13

Paid and controlled circulation
Section 9

Multiple copy subscription sales
Section 10

Duplication level
Section 6

Business Press Today

Certificate of Average Net Circulation for the 10 issues distributed between 1st January 2003 and 31st December 2003

Society / Association / Organisation Circulation

This is the official journal of the Business Press Circulation Society.
There were 240 individual members and no corporate / company members
at the date of the audit issue.

Controlled Circulation - Terms of Control in audit period

Publishers, advertisement managers, sales representatives
and media buyers in Business to Business publishing.

Age of Requests - based on the documentation

for the issue distributed on 12th November 2003

	Quantity	%
TOTAL	6,248	100.0
1 to 12 months	3,014	48.2
13 to 24 months	2,638	42.2
25 to 36 months	596	9.5

Actual Distribution Dates for issues distributed during the audit period

Variations for issues with a variance of more than 10% above (+) or below (-) the average net circulation

Bulk Sales for issues with Bulk Sales representing 10% or above of the circulation for that issue

Cover Date/ID	Distribution Date	Variance %	Bulk %	Cover Date/ID	Distribution Date	Variance %	Bulk %
Jan 03	08-Jan-2003	-	-				
Feb 03	02-Feb-2003	-	-				
Mar 03	16-Mar-2003	-	-				
Apr 03	12-Apr-2003	-	-				
May / June 03	03-May-2003	-	-				
Jul/ Aug 03	06-Jul-2003	-	-				
Sept 03	10-Sep-2003	-	-				
Oct 03	08-Oct-2003	-	-				
Nov 03	12-Nov-2003	-	-				
Dec 03	10-Dec-2003	-	-				

Exhibitions / Conferences to which bulk free copies are supplied. Please note, these copies are NOT included in the circulation of any issue

None

Society / Association /
Organisation
Section 11

Controlled free circulation
Section 12

Proving the average
circulation figure
Section 5

SECTION 3 - REPORTING OPTIONS

3.1 INTRODUCTION

3.2 MANDATORY REPORTING PERIODS

3.3 OPTIONAL REPORTING PERIODS

3.3.1 SINGLE ISSUE CERTIFICATE

3.3.2 THREE MONTH CERTIFICATE

3.3.3 SIX MONTH CERTIFICATE

3.4 TITLES NEWLY REGISTERED WITH ABC

3.1 INTRODUCTION

Continuous reporting is a requirement of ABC membership. This means that once an audit has been achieved every subsequent issue of a title must be audited whilst the title remains registered with the ABC. All titles are required to report their circulations annually. Publishers may choose to report their circulations more frequently. In addition to the mandatory reporting periods, there are additional reporting options for both existing titles and first time reporters. Publishers report their circulations to ABC by using a circulation Return Form, supplied to the publisher by ABC.

3.2 MANDATORY REPORTING PERIODS

- There are two mandatory reporting periods:- From 1st July to 30th June, or, from 1st January to 31st December.
- The mandatory reporting period for any title is decided by the market sector classification of the publication. See appendix 2 for a complete list of market sector classifications.

3.3 OPTIONAL REPORTING PERIODS

- All optional reporting periods are in addition to the mandatory reporting periods.
- All requests for additional, optional reporting periods should be made in writing to ABC prior to the end of the period to be audited. (Or distribution of the issue to be audited in the case of a single issue certificate.)

3.3.1 Single Issue Certificate

- A publisher may choose to report a single issue (which may be a launch issue). The reason for reporting a single issue certificate must be stated 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'.

- The single issue certificate co-exists with the latest six or twelve-month certificate. Therefore, if the single issue figure is quoted, it must always be accompanied by the total average net circulation figure for the most recent six or twelve-month certificate issued.
- When opting for a single issue certificate it is mandatory for the title to 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 title is available in the market as soon as possible.
- The single issue certificate will be subject to a full audit within three months of the issue of the certificate.

- A mandatory six month certificate following the single issue will be subject to a full audit within six months of the issue of the certificate.

3.3.2 Three month certificate

- A publisher may opt for a three-month reporting period at any time.
- The certificate will be subject to a full audit within three months of the issue of the certificate.
- The three month certificate co-exists with the latest six or twelve-month certificate. Therefore, if the three month figure is quoted, it must always be accompanied by the total average net circulation figure for the most recent six or twelve-month certificate issued.

3.3.3 Six month certificate

- A publisher may choose to report six monthly, either as a one off or on a continuous basis each year.
- When registering for a six-month reporting period the publisher must indicate if the requirement is ongoing. ABC will then issue returns on a six-monthly basis and it is the responsibility of the publisher to inform ABC in writing if they wish to revert back to annual reporting.
- The certificate will be audited at the same time as the mandatory annual certificate.

3.4 TITLES NEWLY REGISTERED WITH ABC.

- Titles reporting for the first time may choose any of the above reporting options in advance of their first mandatory reporting period.
- Titles must register to report early enough to be able to have completed an audit within 12 months of being accepted into ABC membership.
- ABC reserves the right to delay certification of a first audit until it is satisfied that the net circulation is accurate in cases where there is a newstrade circulation.

SECTION 4 - RETURN SUBMISSION, CERTIFICATION AND AUDIT

- 4.1 INTRODUCTION
- 4.2 CIRCULATION RETURN
- 4.3 SUBMISSION OF RETURN
 - 4.3.1 ANNUAL PUBLICATIONS
 - 4.3.2 LATE SUBMISSIONS
- 4.4 ISSUE OF CERTIFICATE
 - 4.4.1 CORRECTION OF CERTIFICATE
- 4.5 PUBLIC RELEASE OF ABC CIRCULATION FIGURES
 - 4.5.1 EMBARGO ON PUBLICATION OF ABC FIGURES
- 4.6 VALIDITY OF CERTIFICATE
- 4.7 AUDIT PROCEDURE
 - 4.7.1 DATE OF AUDIT
 - 4.7.2 OVERTIME CHARGES
 - 4.7.3 AUDIT RESULT
- 4.8 AUDIT REPORTS
 - 4.8.1 PUBLICISING OF AUDIT REPORTS
 - 4.8.2 CONSECUTIVE AUDIT REPORTS WITH IDENTICAL PROBLEMS
 - 4.8.3 CONSECUTIVE AUDIT REPORTS WITH DIFFERENT PROBLEMS
- 4.9 TITLES REPORTING FOR THE FIRST TIME
 - 4.9.1 RETURN SUBMISSION
 - 4.9.2 AUDIT TIMING

4.1 INTRODUCTION

ABC aims to publicise accurate circulation data as soon as possible after the period end and so the certification and audit system has been designed to facilitate this.

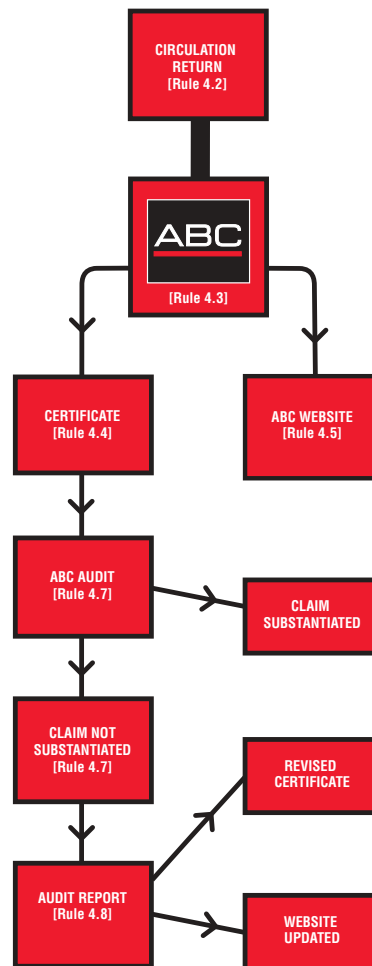
For existing titles, ABC will issue a certificate once the Return has been processed. This ensures that publishers can benefit from having an ABC certificate as soon as possible and that all publications in a sector have a current ABC certificate.

The audit will then take place within 6 months of the certificate being issued. An Audit Report and revised certificate may be issued if significant problems affecting the certificate are found at audit.

For first time reporting titles, ABC audits the figures on the return form before a certificate is issued. This allows newly registered titles to benefit from additional assistance from audit staff and to ensure that accurate figures are certificated.

All certificated figures are publicised on ABC’s own website, www.abc.org.uk. ABC also disseminates current circulation figures to BRAD and other organizations that report circulation figures.

The process from return to audited certificate is illustrated in the diagrams to the right.
 NB. There is a different procedure for existing titles and titles that are reporting for the first time.



Process for existing titles

SECTION 4 - RETURN SUBMISSION, CERTIFICATION AND AUDIT [cont.]

4.2 CIRCULATION RETURN

The publisher makes his statement of circulation on a Return Form. This forms the basis of the information that appears on the ABC certificate.

A Circulation Return will be sent to the forms contact registered on ABC's database, usually before the end of the relevant audit period.

A Return is sent for each title registered to report for that period and will depend on the type of certificate requested. Eg International Certificate, Standard with Demographics. If a return form has not been received or you have not received the form you expected please contact ABC.

For procedures for first time reporters see rule 4.9 in addition to below.

4.3 SUBMISSION OF RETURN

- Care should be taken to complete the Return as accurately as possible as the certificate will be produced from the data on the Return.
- The Return can be submitted to ABC at any time before the submission deadline
- The return must be received at ABC **within 45 days** of the end of the Audit Period.

4.3.1 Annual publications

- For Annual publications the end of the Audit Period is the end of the month of the principal distribution date or the end of the distribution period. (see rule 5.5.1 for definitions of the principal distribution date and distribution period)
- The next distribution date reported on the Return will determine the submission deadline for the Return of the next edition. The publisher must notify ABC if this is to be changed.

4.3.2 Late submissions

- Any Return not submitted by the return deadline will be subject to a late submission surcharge of £200, (or such other amount as advised and agreed by the ABC Council).
- If the Return has not been submitted, the publisher will have 14 days from the date of issue of the late submission invoice to pay the surcharge and submit the Return.
- ABC has the right to cancel the registration of a title that does not submit a Return by the submission deadline.

4.4 ISSUE OF CERTIFICATE

- Once the Return is submitted, ABC conducts validation checks that are mainly arithmetical. Publishers should note that ABC does not undertake any audit testing at this time. Therefore it is important that the publisher ensures that their return submissions are accurate as not all errors will be found at the validation stage. Once these checks are completed and any queries, if applicable, are resolved, the Certificate of Circulation will be issued.
- ABC's staff will process those Returns received within the submission deadline in order of receipt.

- Certificates are despatched by first class post to the forms contacts on the ABC database.
- ABC will not issue a certificate of a mandatory 6 and 12 month certificate or an optional 6 month certificate until the audit of the previous mandatory certificate has been completed.

4.4.1 Correction of certificate

- Publishers must advise ABC of any errors on their certificates that require correction within 5 working days of the despatch of the certificate from ABC. i.e. before the figures are publicly released.
- ABC may not amend certificates after 5 working days unless an audit is undertaken and an audit report issued.

4.5 PUBLIC RELEASE OF ABC CIRCULATION FIGURES

- The circulation figures become publicly available 5 working days after the dispatch of the certificate by ABC and will be posted on the ABC Website. www.abc.org.uk.
- ABC forwards current ABC figures to BRAD (British Rates and Data), once the circulation figures are publicly available unless the data is embargoed. Please note that if Returns are not certified in time to meet BRAD deadlines for updates of circulation figures BRAD will carry the statement 'Return received by ABC, certificate pending.'
- All Publishers' statements in BRAD, relating to circulation data, must be agreed with ABC in advance.

4.5.1 Embargo on publication of figures

A publisher may request to embargo publication of their own figures for a period not exceeding 10 working days, after the issue of the certificate. This means that the circulation figures will not become publicly available until the embargo is lifted. The request for the embargo should be submitted to ABC in writing prior to, or with, the return submission

4.6 VALIDITY OF CERTIFICATE

- Figures are current for 3 months after the end of the next Audit Period for which the publisher is registered to submit a Return.

For Example:

The certificate of a title reporting annually to 31st December 2005 will be valid until 31st March 2007. However if the same title is registered for a 6 month audit from January 2006 to 30th June 2006, then the December 2005 certificate will only be valid until 30th September 2006.

- When a publisher has reported a single issue or a three month period, the resulting certificate co-exists with the latest 6 or 12 month certificate. Therefore, if the single issue/three month figure is quoted it must always be accompanied by the total average net circulation figure for the most recent 6 or 12 month certificate issued.

4.7 AUDIT PROCEDURE

An audit will be conducted at least once a year whilst a publication remains registered with ABC.

4.7.1 Date of the audit

ABC will contact the publisher of each publication with a proposed date for the audit visit. Once this date has been mutually agreed, it may only be altered in exceptional circumstances.

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.
- 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 rules 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 15th August 2007.

4.7.2 Overtime charges

If any records are not available for the auditor at the start of the audit, or the complexity of the publishers systems results in an over run on audit time, ABC may not proceed with the audit unless the publisher authorises an overtime approval form.

4.7.3 Audit result

- Following the on-site visit, publishers will receive a letter detailing any outstanding information required from the publishers to complete the audit.
- A deadline for receipt of that information will be stated in the letter.
- Once the audit is completed publishers will receive a management letter that will detail issues which need to be addressed by the publisher to prevent problems on future audits.

4.8 AUDIT REPORTS

This is a statement that is issued when material problems found at audit show that there were errors in the original return submission and subsequent certificate. A revised certificate is issued with the Audit Report entered on the front page of the certificate. The new certificate replaces the original certificate issued and must be used by the publisher in its place.

- In cases where an Audit Report is necessary, the publisher will receive a letter detailing the reason for the report.
- The publisher will have 10 working days from the receipt of this letter to provide any further information or to raise any objections.
- Any objection must be made in writing to the Head of Audits who will investigate and provide a decision within 7 days.
- The publisher will be phoned by ABC to confirm receipt of the Audit Report letter, BUT, in the absence of any further response in writing from the publisher, the Audit Report will be issued.
- Subsequent certificates of circulation will not be issued until all audit queries on a previous certificate have been resolved and the Audit Report issued, if applicable.

4.8.1 Publicising of Audit Reports

- Audit Reports will be announced to all members and made public on the ABC web-site, with details of the corrections made. They are also publicised in ABC Media.
- When an Audit Report has been issued, BRAD will include the statement 'ABC data revised at audit'.

4.8.2 Consecutive Audit Reports with identical problems

If an Audit Report is issued for two consecutive audits for an identical reason, then ABC 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 rule, then the Return form for that period must be received at ABC within 15 days after the end of the Audit Period to allow for the audit to be conducted, and any problems resolved.

If the publishers return submission is found to be materially correct following audit, then the publisher will be informed that ABC will revert to issuing the certificate prior to audit for their next return period.

SECTION 4 - RETURN SUBMISSION, CERTIFICATION AND AUDIT [cont.]

If the publishers return submission is found to be materially incorrect at the audit (so that had a certificate been issued it would have been replaced by an audit report), ABC will continue to audit their return submission prior to certification.

This will continue until they have corrected the problem and/or stopped claiming incorrectly on the ABC return.

A letter will be sent to the publisher informing them of the continuation of audit prior to certification and the earlier return deadline.

4.8.3 Consecutive Audit Reports with different problems

If an Audit Report is issued for three consecutive audits but for a different reason, then ABC 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 rule, then the Return form for that period must be received at ABC within 15 days after the end of the Audit Period to allow for the audit to be conducted, and any problems resolved, so that the certified figures may be issued at a similar time as titles reporting for their second or subsequent period.

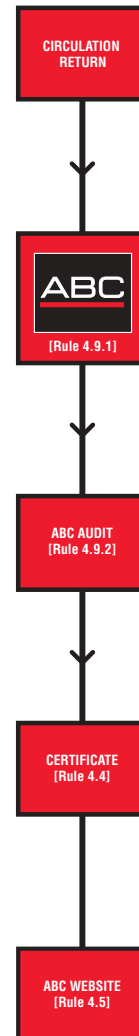
If the publishers return submission is found to be materially correct following audit, then the publisher will be informed that ABC will revert to issuing the certificate prior to audit for their next return period.

If the publishers return submission is found to be materially incorrect at the audit (so that had a certificate been issued it would have been replaced by an audit report), ABC will continue to audit their return submission prior to certification. This will continue until they have corrected the problem and/or stopped claiming incorrectly on the ABC return.

A letter will be sent to the publisher informing them of the continuation of audit prior to certification and the earlier return deadline.

4.9 TITLES REPORTING FOR THE FIRST TIME.

Titles reporting for the first time are audited before a certificate is issued. Therefore, the following additional rules apply.



Process for titles reporting for the first time

4.9.1 Return submission

- The Return must be received at ABC within 15 days after the end of the Audit Period; or
- 15 days from the date of acceptance into membership, if the Audit Period has already ended.

The shorter submission deadline for first time reporters is to allow time for the audit to be conducted and any problems to be resolved, so that the certified figures may be issued at a similar time as titles reporting for their second or subsequent period. In the case of publications with newstrade sales, submission of the Return may have to be later to ensure accuracy of reported figures - contact ABC for advice.

4.9.2 Audit timing

- ABC will conduct the audit before issuing the circulation certificate for every publication submitting its first Return.
- ABC will conduct the audit as soon as possible after a valid Return has been submitted to ABC to ensure certification is achieved as early as possible.
- It should be noted that ABC will reserve the right to delay certification of a first audit until it is satisfied that the net circulation is accurate in cases where there is newstrade circulation.

SECTION 5 - PROVING THE AVERAGE NET CIRCULATION FIGURES

5.1 INTRODUCTION

5.1.1. THIRD PARTY RULE

5.2 IDENTICAL ADVERTISING CONTENT

5.3 DISALLOWED COPIES

5.4 ALTERNATIVE DISTRIBUTION SCHEMES

5.5 ISSUE DISTRIBUTION DATES

5.5.1. DISTRIBUTION DATES FOR ANNUALS

5.5.2. EXCLUSION NOTES

5.6 ISSUE CIRCULATIONS AND VARIANCES

5.6.1 CALCULATING VARIANCES

5.7 RECORD KEEPING FOR ALL ISSUES

5.7.1 ABC ACCESS TO DOCUMENTATION

5.7.2 RETENTION OF RECORDS FOR AUDIT

5.7.3 STORAGE OF RECORDS

5.8 DOCUMENTS REQUIRED FOR ALL ISSUES

5.8.1 PRINT/PRODUCTION EVIDENCE

5.8.2 DISTRIBUTION EVIDENCE

5.8.3 JOURNAL EVIDENCE

5.1 INTRODUCTION

The Total Average Net Circulation per issue is commonly known as the ABC figure, it is the average number of copies distributed for each issue in the audit period. It does not include those copies for which distribution evidence is absent or those copies that are disallowed under ABC rules. The Total Average Net Circulation and the period of certification should always be quoted when sourcing any data to ABC.

Every copy claimed on the ABC Return Form must be supported by source documents at the time of the return submission. Therefore, in order to prove the Average Net Circulation, the following documentation must be available for every issue in the period:

- Print/production records
- Distribution invoices and dockets
- A copy of every issue and edition of the publication.

The issue identifier or cover date of each issue must be listed on the Return together with the date of distribution and the number of copies distributed.

5.1.1 Third party rule

The fundamental principle of the circulation audit is that all audit evidence in support of the claim is derived from a third party. Therefore unless specified in these rules, any documentation from or transactions with a related party to the publisher would not be accepted in relation to the circulation claim. All references to third party in these rules should be read as meaning derived from an unrelated party, with related party defined as follows:

Definition of "Related Parties":

Two or more parties are related when at any time during the audit 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;
- 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.

5.2 IDENTICAL ADVERTISING CONTENT

All copies claimed for an issue must carry the same advertising (including classified), unless the advertiser has agreed with the publisher in writing, prior to publication, to exclude an advertisement from part of the circulation, or if the inclusion of an advertisement would render the publication illegal. Copies reproduced abroad under licence may not be claimed unless there is proof that all such copies carried all advertising.

5.3 DISALLOWED COPIES

These are copies that may be mailed by the publisher but must not be counted in the final circulation claim as they are expressly excluded under ABC rules.

- Free copies to contributors
- Free copies to advertising agencies.
Copies sent to advertising agencies are allowed, if the publication relates to the running of the agency business e.g. an office equipment magazine. The test is: Is the person to whom the publication is distributed of value to a potential space buyer? Unless there is absolutely no ambiguity, the advice of ABC must be sought before any such copies are included. It should be noted that copies sent to advertisers and potential advertisers are allowed.
- Press cutting agencies
- National archives, e.g. British Library
- File/office copies
- Employee copies (unless paid for)
- Bulk free copies to a single addressee
- Contra transactions-A contra transaction is any transaction whereby the value of copies supplied or service provided is not redeemed fully by cash payment. Therefore, settling invoices by the raising of another invoice will invalidate the transaction in respect of the ABC claim.
- Bound volumes
- Back issues. Only bona fide newstrade, single copy sales, single copy subscription sales or multiple copy subscription

SECTION 5 - PROVING THE AVERAGE NET CIRCULATION FIGURES [cont.]

sales, bearing a cover date less than 12 months prior to the date of sale may be included in the ABC circulation claim. Sales or distribution of back issues of any other category or bearing a cover date more than 12 months prior to the date of sale must be excluded.

- Unsold copies – e.g. News trade return copies.
However, as it is not possible to audit returned free copies of a publication, publishers are not required to account for returned free copies. Publishers are also not required to account for returned subscription copies.
- Bulk sales at less than legal tender per copy. (currently 1p per copy)
- Franking machine distribution. Mailing through a franking machine does not leave an audit trail, as it is not possible to ascertain publication, issue identifier and number of copies. Therefore any copies mailed through a franking machine cannot be included on the ABC Return.
- Copies to related parties. All copies sold or transferred by the publisher to a related party, for resale or free distribution, must be excluded unless the publisher can provide proof of distribution to the final recipient and details of who that final recipient is. In this case the copies must be claimed in the circulation category that they would have been claimed in had the publisher distributed the copies without the involvement of the related party. This means that the final recipient must be capable of classification in an ABC circulation category.
- Exhibitions – bulk free supply.
Many publishers attend exhibitions and conferences and it is common for publications to be taken for distribution to attendees. This may be a valuable way of promoting the title, obtaining new sources or increasing the number of subscribers for example. Additionally, it may be useful to be able to demonstrate to buyers which exhibitions the publication is supplied at.

Bulk free supply to exhibitions and conferences is a common way to supply copies to exhibitions.

These copies are identified on the certificate under the exhibitions/conferences section on page 3, provided that third party evidence of distribution is available.

However, bulk free supplies MUST NOT be included in the Average Net Circulation or the circulation analysis of the Audit Issue.

- Non-print copies such as those published on CDROM or other electronic media. Electronic copies may only be included on a separate ABCE certificate.

5.4 ALTERNATIVE DISTRIBUTION SCHEMES

Any distribution schemes which are not through a traditional distributor, e.g. Royal Mail, Mercury etc. should be submitted to ABC for approval before **being used** if the resultant distribution is to be claimed within the circulation figure. Checks on such schemes may be required before ABC will

certify the resultant circulation. Failure to consult with ABC could result in such distribution being excluded from the certified circulation, until such time as ABC is satisfied that there is full auditable proof of each final recipient receiving copies.

5.5 ISSUE DISTRIBUTION DATES

The date of distribution will determine which issues are included within a particular Audit Period.

- Every issue of the publication that is distributed during the Audit Period must be included in the circulation claim irrespective of the cover date on the publication, unless a valid ABC exclusion note is held for that issue.
- 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 2006

4,000 copies are distributed on 29th December 2005

4,000 copies on 30th December 2005

6,000 copies are distributed on 2nd January 2006.

This issue (all 14,000 copies) will be included, in the ABC Return for the period ending 31st December 2005 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 Audit Period) ABC cannot individually list all issues on the certificate. Therefore, a summarized Distribution Statement must be given 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 24.05.06 was distributed on 24.05.06.

The issue cover dated 17.05.06 was distributed on 18.05.06.

The issue cover dated 10.05.06 has been excluded from the ABC figures".

5.5.1 Distribution Dates for annual publications

The publisher 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.

5.5.2 Exclusion notes

Every issue of the publication that is distributed during the audit period must be recorded on the Return Form unless an official exclusion note has been issued.

- An exclusion note will only be issued where the achieved auditable distribution of the issue(s) is less than planned due to circumstances outside the control of the publisher and providing the effect of non-exclusion of the affected issue(s) would be to reduce the ABC Certified figure for that Audit Period by more than half a percent.
- No requests for exclusion will be considered until the end of the relevant Audit Period but in advance of the Return Submission.
- The request to exclude an issue or issues must be made in writing to ABC stating the reason for the distribution shortfall and giving details of :- The Distribution Date and Cover Date of the affected issue, the planned distribution for that issue and the achieved auditable distribution for that issue. An example of a circumstance outside the control of the Publisher would be a postal strike. The ABC Specialist Committee will make the decision on the issue of an exclusion note.

5.6 ISSUE CIRCULATIONS AND VARIANCES

Statement of Issue Variances shows buyers those issues that distributed substantially more or fewer copies than the Average Net Circulation shown on the certificate. Variances of more than 10% above or below the Average Net Circulation for the Audit Period are highlighted on the certificate.

ABC advises that sales staff are made aware of reasons for variances as reasons are not noted on the certificates. There are many reasons why a variance may arise. E.g. Seasonal variations, large bulk sales, special promotions etc. For records supporting claims for particular circulation categories the relevant section covering that circulation category must be consulted.

From audit periods ending 30 June 2006 onwards the net circulation of each issue included in the average net circulation for the period will be reported on the certificate.

5.6.1 Calculating variances

- ABC will calculate variances automatically from the distribution information supplied on the Return. Therefore, if a planned issue was not distributed, it will not be included in the count of the number of issues distributed during the period. When a Summarised Distribution Report is used, (more than 56 issues in the audit period), the publisher must calculate the variances.

For Example:

If the average net circulation is 10,000, any issue that had a distribution of 11,000 or more must be entered on the Return

and disclosed (ie. 10% more than the Average Net Circulation) and any issue which had a distribution of 9,000 or less (ie 10% less than the Average Net Circulation.) must be disclosed.

- A summarised variance statement must be added to the summarised distribution statement and must clearly identify every issue with a variance. This will be reproduced on the ABC certificate

For Example:

The issue cover dated 24.5.06 that was distributed on 24.5.06 had a variance of +20%.

5.7 RECORD KEEPING FOR ALL ISSUES

The ABC Return Form and the subsequent audit by ABC will be made much easier if all records are easily available and relevant copies have been obtained and filed as each issue has been distributed. It will be extremely difficult and time consuming to complete an ABC Return Form if the relevant documents have not been retained. ABC recommends that for each publication an issue by issue records file is kept. This should contain all the documentation required by ABC, on an issue by issue basis. Therefore, completion of the issue by issue details on the return will be straightforward.

The following sections give guidance on the records that must be kept for every issue in order to verify the circulation claim. For records supporting claims for particular circulation categories the relevant section covering that circulation category must be consulted.

5.7.1 Access to documentation

- The ABC auditor must have full and unrestricted access to all documentation and financial records, which support the circulation claim, including copies of all correspondence with ABC.
- Unless otherwise stated, all the records required to support the circulation claim, must be maintained for every issue. Any records may be required by ABC, (or its appointed representatives), for audit or inspection at any time. If required, publishers have four weeks to produce the records.
- If records are not retained, ABC will have to withdraw the certificate. This may lead to cancellation of the publication's registration.

5.7.2 Retention of records for audit

- Records must be available at audit to support every addressee claimed on an ABC certificate.
- All records (financial or otherwise) relating to, or needed to ensure the accuracy of a Circulation Return must be retained until ABC has completed the audit of the ABC certificate for the subsequent Audit Period.

SECTION 5 - PROVING THE AVERAGE CIRCULATION FIGURES [cont.]

For Example:

The records required for the audit period January to December 2005 must be retained until the audit of the January to December 2006 has been completed. This is likely to be up to 6 months after the certificate issue.

5.7.3 Storage of records

Subscription Renewal Documents, New Subscriber Application Forms, Society/Association/Institution Requests, Request and Source Documentation for Controlled Circulation, Orders for Multiple/Bulk Sales may be held on a microfiche/CD ROM /other electronic media data storage system as long as:

- Documents are exact facsimiles of the originals
- The data required for each category is captured
- The system does not allow amendments to data
- The data is legible. If details cannot be read, the copy can only be claimed as non-controlled free.

5.8 DOCUMENTS REQUIRED FOR ALL ISSUES

Every copy claimed on the Return Form must be supported by source documentation. Evidence must be available for every issue in the period for:

- Print/production
- Distribution
- Journal/publication

5.8.1. Print/production evidence

- Print/production invoices must be available for every issue of the publication distributed during the Audit 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.

5.8.2 Distribution evidence

- Distribution evidence must be available to support every copy claimed, for every issue, distributed during the Audit Period.
- The evidence will be validated third party invoices and dockets (if applicable) for every method of distribution for each issue and for the issues distributed immediately before and after the Audit Period. The auditor must prove that the distributor has been paid and so will also 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 and a date of distribution.

- If the journal is distributed through the Royal Mail, the distribution date is the date of acceptance by the Royal Mail.

Royal Mail

The image shows a 'POSTING DOCKET' form from Royal Mail. Key sections include:

- Header:** Royal Mail logo, 'POSTING DOCKET for Mailnet, Walknet, Prestream', and contact information.
- Account/Contract Info:** Account Number 123456789, Contract number 6615+6P2, Date of posting 25.12.00.
- Recipient details:** Name MR MAILER, Address ABCD1 134.
- Automated:** Name MIKE MAILER, Date 14.15.
- Customer email:** Name CUSTOMER MAIL, Address 100 MAIL ROAD, MAIL TOWN, Postcode AB1 2EF.
- Posting details:** Name MAILING LIMITED, Address 100 MAIL ROAD, MAIL TOWN, Postcode AB1 2CD.
- Quantity/Weight:** Number of sheets (18000, 2000, 40000), Actual average weight per sheet (250).
- Other details:** Checkboxes for 'Special handling of this mail' (e.g., Fragile, Hazardous, etc.).
- Royal Mail use only:** Fields for 'Date' and 'Time'.

- The distribution date for Royal Mail Dockets is the date of signature by the postman. In practice this section can often be left blank in which case the alternatives should be, in order of reliability:
 - Date of Royal Mail posting stamp
 - Date of Royal Mail revenue protection stamp
 - Date of completion of docket
- The relevant Royal Mail invoices proving payment for the distribution must support the docket.
- If the Royal Mail Magazine Audit Report system is used, copies of the docket will not have been provided, instead the Royal Mail will have summarised this information on the report. The dates of posting for each issue must be recorded on this report.

Other distributors

- When a distribution company has been used, the distribution date is the date the distributor receives the copies. It is important that evidence of this date is retained, as, in its absence, the invoice date will be used as the distribution date for ABC purposes. (In practice this is usually sometime after the true distribution date.)
- Care should be taken to ensure distributors records show the date of receipt as well as the number of copies distributed, publication name, and issue identifier on the invoice and/or docket.

Exhibition/conference copies – bulk free supply

There must be distribution evidence for all exhibition/conference copies that are to be shown on the certificate under the exhibitions/conferences section on page 3. This must be one of the following:

- Third party evidence of delivery to the venue.

Examples:

1. *An invoice/delivery note(s) from a recognised distributor (a company whose business is distribution)*
2. *An invoice from the printer of the journal (if the printer delivered them to the show). The invoice must clearly state that it includes delivery of the journal. The invoice must state the value of the delivery or state that the price is included in the total contract.*
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 organizer. This may require some pre-planning by the publisher to ensure that an appropriate person will be on hand to receive the journals when they arrive.*

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

For Example:

- 1 *An invoice/delivery note(s) from a recognised distribution company.*
2. *Evidence of exhibiting would most likely be a contract and invoice between the publisher and the organiser, or possibly an official showguide.*

- Written confirmation from the exhibition or conference organiser (provided they are third party) that copies have been inserted into individual conference packs. In ADDITION a full list of conference attendees must be provided.

Please seek guidance from ABC before despatching copies if a method other than those above is proposed.

- Exhibition/conference copies for which individual signed receipts are obtained

Copies distributed at an exhibition or a conference may be claimed in the average net circulation figure if the publisher obtains details about the recipient and proof that he/she received the copy. This can be done by asking the recipient to sign and date a document explicitly acknowledging receipt of a copy of the specific issue of the publication and stating the recipient's name and address.

For Example:

I confirm, I have received a copy of the March 2006 issue of Widget Publication at the Widget Today Exhibition.

Name: _____

Address: _____

Signature: _____

Date: _____

However, whilst the above detail would give satisfactory evidence of receipt to allow the exhibition copies to be claimed as non-controlled circulation, the publisher should consider asking for more demographic detail to enable the recipient to be claimed as controlled circulation. The publisher could also ask the recipient to complete a written request card.

5.8.3 Journal evidence

One copy of every issue and edition of the publication distributed during the Audit Period must be available at the audit.

SECTION 6 - THE AUDIT ISSUE

6.1 INTRODUCTION

6.2 IDENTIFYING THE AUDIT ISSUE

6.2.1 AUDIT PERIODS ENDING 31ST DECEMBER

6.2.2 AUDIT PERIODS ENDING 30TH JUNE

6.2.3 FOR THREE-MONTH AUDIT PERIODS

6.3 RECORDS REQUIRED FOR AUDIT ISSUE

6.4 ELECTRONIC SUBMISSION OF MAILING LIST

6.4.1 FIELDS TO BE INCLUDED IN ADDRESSEE LIST FILE

6.5 SORTATION OF PAPER BASED LISTS

6.6 ABC CIRCULATION TYPE CODING

6.7 SEALED GALLEYS

6.7.1 SEALING THE GALLEY

6.7.2 FUTURE AUDITS

6.8 TESTING THE AUDIT ISSUE FOR DUPLICATES

6.8.1 DEFINITION OF A DUPLICATE

6.8.2 TESTING FOR DUPLICATIONS

6.8.3 THE DUPLICATION TESTS

6.8.4 CALCULATING THE DUPLICATION LEVEL AS A PERCENTAGE

6.8.5 DECLARING THE DUPLICATION LEVEL ON THE RETURN

6.1 INTRODUCTION

The detailed analysis of the circulation is conducted on a particular issue that is called the Audit Issue. The Audit Issue is designated by the ABC and is the same for all titles reporting in a particular period. This allows for comparisons between circulation figures to be on a like for like basis.

6.2 IDENTIFYING THE AUDIT ISSUE

6.2.1 For audit 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 Audit 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 Audit 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 Audit Period, nearest to 30th November.

6.2.2 For audit periods ending 30th June the Audit Issue is:

- The issue that is 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 Audit 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 Audit Period.
- When 'May' is not stated in the cover date, the Audit Issue is the issue distributed within the Audit Period, nearest to

31st May.

- Extra option for weekly publications: Where newstrade copies represent more than 25% of the Average Net Circulation: The Publisher can 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.

6.2.3 For three-month audit periods the Audit Issue is:

The last issue distributed in the Audit Period.

6.3 RECORDS REQUIRED FOR THE AUDIT ISSUE

A complete list of the addressees for the Audit Issue must be retained for each Audit Period for which a return is submitted. The vast majority of publishers submit lists to ABC electronically.

- Should the publisher fail to produce a mailing list for the 'Audit Issue', then the ABC may have to cancel the registration of that publication. Please contact ABC for advice in this situation.

6.4 ELECTRONIC SUBMISSION OF AUDIT ISSUE MAILING LISTS

ABC auditors have electronic audit software that can be used to analyse an addressee list provided electronically, rather than using paper printouts. Whichever software package is used to maintain mailing lists, it is probable that it will be able to produce an auditable electronic addressee list.

The electronic list should be submitted ideally at the same time as the return is submitted, in a simple, standard format, as defined here:

- The addressee list file must hold one line per addressee and must be specific to a single publication.
- 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 dd/mm/yyyy format.
- 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.
- It may be possible for ABC to accept alternative file types however it is the responsibility of publishers to contact ABC to discuss suitability before they submit.

6.4.1 Fields to be Included in Addressee List File

Element	Ideal	Minimum
Name	Split into three fields: title, first name, and surname. Surname is a sortable field*	No split required, providing that there are other sortable fields*
Job Title	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'
Company Name	Field is present and is a sortable field*	Not needed, providing that there are other sortable fields*
Address	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*
Geographical Region	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
Reader References	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
ABC Circulation Type coding	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
Number of Copies	Field present	Not required as long as every addressee is claimed for one copy only
Dates	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 <u>cannot</u> be accepted)
<p>Notes:</p> <p>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>		

6.5 Sortation of Paper Based Lists

If a publisher is not submitting the audit issue mailing list electronically a duplicate of the 'Audit Issue' mailing list must be retained and saved sorted in the following way:

- By geographical regions: e.g. Europe, Asia
- By country
- By UK geographical regions eg Northern
- By postcode / zip code (not mailsort or press stream)
- By company alpha
- By surname alpha eg Abbott
- Within surnames it should be firstname initial alpha sorted. Eg A Abbott
- The list should be a fully merged list of the addressed circulation claimed on the ABC Return
For sortation of lists on certificates that include demographic tables see section 14.

SECTION 6 - THE AUDIT ISSUE [cont.]

6.6 ABC CIRCULATION TYPE CODING

Below are the standard ABC codes for each circulation type on the certificate.

- Publishers may use their own coding system, provided a clear definition is given. The coding must be sufficient to identify exactly where an addressee is claimed on the certificate.

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 non-requested 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).

- Dates of request/ sources must be included for controlled circulations.
- Sufficient other data should be included to be able to easily access original records.

For example:

Paid subscriptions to subscription documents and proof of payment. Controlled circulation to access to requests/sources.

Addressee Type Example ABC Codes	
Paid and Qualified	
At full published rates	01
At between 50% and 100% of full rates	02
At less than 50% of full rates	03
Single copies sold on subscription	
At full published rates	10
At between 50% and 100% of full rates	11
At less than 50% of full rates	12
Multiple subscriptions	
At full published rates	22
At between 50% and 100% of full rates	23
At less than 50% of full rates	24
Bulk Sales	
At full published rates	25
At between 50% and 100% of full rates	26
At less than 50% of full rates	27
Society/Association/Institution circulation	
Paid optional single copies	30
Unpaid single copies requested in writing	31
Unpaid single copies requested by telecommunication	32
Non-optional single copies	33
Controlled free circulation	
Individually requested in writing	40
Individually requested by telephone	41
Individually requested by internet	48
Company requested in writing	42
Company requested by telephone	43
Company requested by internet	49
Non-requested by name - sourced	44
Non-requested by job title/function - sourced	46
Non-controlled free circulation	
By name	51
Not by name	52
Other addressee (not claimed on ABC Return)	99

6.7 SEALED GALLEYS

A sealed galley is an audited and verified database list, which has been frozen and stored for future reference. Publishers may consider this option as it eliminates the need to retrieve documents in support of specific addressees who are on the sealed galley. Normally it is conducted on the audit issue mailing list. Mailing lists should be organized as detailed in rules 6.4, 6.5 and 6.6.

6.7.1 Sealing the galley

- A galley will only be sealed if it falls within ABC tolerance levels following the audit. Confirmation that the galley has been verified as sealed will be included in the management letter following the audit.
- A paper galley will be marked and stamped by ABC to identify it. The galley must be stored in a safe place by the publisher. The publisher remains responsible for its safekeeping.
- A computer floppy disc will be labelled, boxed and sealed by ABC. This will normally be stored at ABC.

6.7.2 Future audits

- The auditor will compare the detail on the sample selected for the new audit, to the detail contained on the sealed galley. If this is identical the auditor will not require records to be pulled.
- Request/source/subscription documents will still need to be provided for all addressees that have not been previously sealed.
- The Terms of Control that were used to audit the sealed galley cannot be made more specific, once the galley has been sealed, if the sealed galley is to remain valid for controlled circulation.
- ABC recommends that Terms of Control are not amended
- A sealed galley must be kept until the first audit that does NOT use addressees from the sealed galley has been concluded.
- 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 the auditor finds the details have been changed then the sealed galley cannot be used to verify that addressee, and documentation must be provided for that addressee to be claimed.

SECTION 7 - NEWSTRADE AND SINGLE COPY SALES

7.1 INTRODUCTION

7.2 NEWSTRADE CLASSIFICATIONS

7.2.1 COVER PRICE

7.2.2 NORMAL TRADE TERMS

7.2.3 RATE BANDS

7.2.4 JOINT NEWSTRADE PACKAGES

7.3 TREATMENT OF UNSOLD COPIES

7.3.1 CALCULATING PROVISIONS

7.3.2 ADJUSTMENTS IN FOLLOWING PERIODS

7.4 SINGLE COPY SALES

7.4.1 REPORTING THE COVER PRICE

7.4.2 RATES BANDS

7.5 RECORDS REQUIRED

7.5.1 NEWSTRADE

7.5.2 SINGLE COPY SALES

7.1 INTRODUCTION

This category is where the publisher can show copies purchased, either from recognised retail outlets (newstrade) or individually direct from the publisher (single copy sales.)

Newstrade is further defined as copies sold through the recognised magazine supply chain (distributors, wholesalers, and retailers) or direct to retailers.

Two figures relating to newstrade are included on the certificate:

- 1) The average newstrade sales for the period. N.B. this figure does not include single copy sales.
- 2) The total newstrade and single copy sales for the audit issue. This is analysed further to show the number that are sold on discounted terms.

Most newstrade sales are made on a 'sale or return' basis. This means that copies that remain unsold by the retailers can be returned to the newstrade supply chain for credit. These must be deducted from the initial 'sale' or 'supply', so that only those copies actually purchased by the public are claimed on the ABC return (i.e. the net sale). This must be done on an issue by issue basis.

Some newstrade sales are made on a 'firm' sale basis. This means that no unsold copies can be returned for credit. In this case the initial supply will be the claimed sale.

Newstrade sales are normally of the current issue. Newstrade sales of back issues may be claimed, providing they bear a cover date less than 12 months prior to the date of sale and are not bundled or packaged together as a unit.

7.2 NEWSTRADE CLASSIFICATIONS

The following definitions will determine how these copies are classified:

7.2.1 Cover price

- All publications claiming newstrade copies MUST publish a cover price on or in every copy of every issue of the publication. The cover price published on or in the Audit Issue must be reported on the ABC Return for that period.

- For audit periods ending 1 July 2005 onwards, the publisher must receive at least the minimum legal tender (i.e. currently 1p) per copy.

7.2.2 Normal trade terms

The 'normal trade terms' refers to the day to day discount granted to the wholesaler/retailer. Although this discount may vary from wholesaler to wholesaler and retailer to retailer, the normal trade terms will be that which the wholesaler or retailer regards as constant and falls within the agreed trade terms related to the full cover price. Therefore where copies are sold at a temporary discount they will not qualify as full rate sales.

7.2.3 Rate bands

Copies can be claimed in the banding 'At full cover price or normal trade terms' if they are sold:

- To the final purchaser at the full cover price published in the audit issue.
- To the wholesaler and retailer at 'normal trade terms' as defined above.

If copies are sold at below the full cover price or 'normal trade terms' then they must be claimed in the banding 'at a lower rate'.

7.2.4 Joint newstrade packages

Where two or more publications are only available on newstrade as a package, the allocation of funds from the joint cover price to each of the publications must be registered in advance with ABC. This registration will be binding on the publisher for the purposes of deciding the rate band in which the copies should be claimed.

7.3 TREATMENT OF UNSOLD COPIES

In most cases, publishers will know the final unsold figures when they complete their ABC Return. However, if it is expected that more copies will be returned, an estimate (or 'provision') of the number of unsold copies must be made, so that the figure for net newstrade sales is claimed as accurately as possible. When the actual figures are known, an adjustment must be made to account for any difference from the estimated figures.

7.3.1 Calculating provisions

Distributors are often able to give publishers accurate estimates of unsold copies. In addition publishers will need to make an assessment of likely unsold copies based on current and historic information. Information such as detailed below may need to be taken into account.

Current levels of unsold copies
 Historic data and seasonal trends
 Promotional activity
 Print orders
 Competitor activity
 Information from sales force

Particular attention should be given to periods of promotion, re-launch and to non-UK circulation in general in order to arrive at a fair and reasonable representation of the net circulation.

Taking into account all the information, an estimate of the final

sales figures for issues must be made, from these figures the expected level of unsold copies can be calculated.

The estimated number of unsold copies is entered on the ABC return in the section called 'Newstrade Closing Provision'. In the same section the number of issues to which this estimate relates is also recorded.

(This will be the number of unclosed issues.) See example below. Unsold copies for UK and overseas should be recorded separately.

7.3.2 Adjustments in following periods

- For mandatory reporting periods and continuous optional reporting, such as continuous six monthly certificates, adjustments must be made in the following period's figures to account for any difference between the actual unsolds relating to those issues and the provision made.

For example:

If the average newstrade and average net circulation for the period January to December 2005 was overstated by 200 copies, then the figures for January to December 2006 must be reduced by 200 copies.

- When an optional certificate is not immediately followed by an equivalent certificate, (for example a three month or single issue certificate followed by an annual certificate) an adjustment is not possible. ABC will therefore check the claims against the final sales figures during the audit and, where the claim is materially overstated, will reissue the certificate with an Audit Report.

Worked example – unsold copies

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

Remember that there will be separate figures reported for both UK and overseas.

- Adjustment of the provision
When the next Return is due, which in our example would be the next 30 June period, you would have a report giving you the actual unsolds for the issues of May, June & July because by then they would be closed off and complete. For example that the final report reads as follows: -

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

On this example the May, June and July issues are not yet closed so an estimate of the final sales 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 unsolds will be.

On the return in the section called 'Newstrade Provision Reconciliation' you will need to enter 74,451 copies in the line which asks for the closing provision on the last ABC Return Form.

When all the estimates have been made the final figures may look something like this: -

You can now complete the second part of this section, the actual number of unsolds relevant to that provision, with the figure that you now know to be the actual unsolds, which is 77,578*.

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

The average overstatement/understatement then needs to be entered. 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 (therefore an overstatement of sold copies). On the return this has to be shown as an average, therefore you need to divide it by the number of issues in the period to which it refers i.e. 12. The average overstatement of sold copies is, therefore, 3,127 divided by 12 = 261

For the three issues that are not closed you are expecting a total unsold figure of 74,451* copies. This is, therefore, the figure that you put on your Return as your newstrade closing provision with the figure of 3 issues still unclosed.

261 copies must then be deducted from each issue distributed in the current period, to ensure that the average overestimate of sold copies from the previous period is adjusted.

SECTION 7 - NEWSTRADE AND SINGLE COPY SALES [cont.]

For example:

6-months January to June certificate could be adjusted if followed by 6 months July to December certificate, but not if followed by 12 months January to December or single issue October certificate.

7.4 SINGLE COPY SALES

These are single copies sold to individuals directly by the publisher. Most commonly these are sales of back issues. Back issues (any issue dated prior to the current issue) can be claimed in this category provided that they are bona fide single copy sales and they bear a cover date less than 12 months prior to the date of sale.

7.4.1 Reporting the cover price

All publications claiming single copy sales MUST publish a cover price on or in every copy of every issue of the publication, or register a BAR. The cover price published on or in the Audit Issue must be reported on the ABC Return for that period.

7.4.2 Single copy sales rate bandings

Copies can be claimed in the banding 'At full cover price or normal trade terms if they are 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 registered Basic Annual Rate, if no cover price is published.
- Sales at less than these prices must be claimed in the banding 'At a lower rate'.

7.5 RECORDS REQUIRED

7.5.1 Newstrade

All records required to support the newstrade claim must be available for audit. This will include financial records and contracts with distributors, wholesalers and retailers. This information should include:

- Discounts, special offers and details of restrictions to the return of unsold or undelivered copies so it is possible to assess the 'normal and recognised trade terms' that are operating.
- Issue by issue records showing gross supply and returns for each issue in the audit period. This is so the actual net sale for each issue and the average net newstrade figure can be calculated.
- If applicable, the calculations and assumptions used to arrive at the level of provision for returns.
- Details of any change in trading terms from firm sale to sale or return (either temporarily or permanently) or vice versa.
- Details of purchases / promotional spends to ensure the publisher is not buying copies of the publication.
- Where copies are sold direct to retailers, (outside of the recognised magazine supply chain), proof of delivery to individual retail outlets and financial transactions detailing the number of copies sold must be supplied at audit.

7.5.2 Single Copy Sales

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.

SECTION 8 - SINGLE COPY SUBSCRIPTION SALES

8.1 INTRODUCTION

8.2 REQUIREMENTS FOR SINGLE COPY SUBSCRIPTIONS

8.3 BASIC ANNUAL SUBSCRIPTION RATES

8.4 TWO OR THREE YEAR SUBSCRIPTIONS

8.5 SUBSCRIPTION RATE BANDS

8.5.1 SUBSCRIPTION AGENCIES

8.5.2 IMPACT OF EXCHANGE RATE LOSSES AND BANK CHARGES

8.5.3 JOINT SUBSCRIPTION PACKAGES - PRINT

8.5.4 JOINT SUBSCRIPTION PACKAGES - PRINT & INTERNET SERVICES

8.6 UNPAID SUBSCRIPTIONS

8.7 RECORDS REQUIRED

8.8 TREATMENT OF SUBSCRIPTIONS ON MERGER OF TITLES

8.9 PURCHASE OR TRANSFER OF SUBSCRIPTION LISTS FROM CEASED PUBLICATIONS

8.1 INTRODUCTION

Single copy subscriptions are paid copies, distributed individually addressed to a company or individual.

There are three categories based on the subscription price paid, to enable advertisers to identify how many of those subscribers have taken advantage of a discount or offer.

8.2 REQUIREMENTS FOR SINGLE COPY SUBSCRIPTIONS

- Payment must have been made for the publication to be delivered for a fixed term (usually 1, 2 or 3 years)
- The delivery must be on an every issue basis.
- Copies must be individually wrapped and addressed to a person by name or a company by name.
- There must be auditable proof of the final recipient of each copy, otherwise such copies must be claimed under 'Multiple Copy Subscription Sales'.
- Details of the final addressee will be required for subscriptions sold through an agency.
- Where a 3rd 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. Copies for which less than 10% of the Basic Annual Rate has been received must be claimed as multiple copy subscription sales.
- A Basic Annual Rate MUST either be published in every issue of the publication (either in the issue or in a bound-in card), or registered with ABC, for UK and/or other countries as appropriate.

8.3 BASIC ANNUAL RATE (BAR)

- The Basic Annual Rate (BAR) is the permanent rate at which the publisher sells a 1 year subscription to the publication.
- A publication can have more than one BAR providing they relate to defined groups of subscribers.
- If a publisher fails to publish or register a BAR for a defined group of subscribers, then those subscription copies cannot be counted 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 the publisher's responsibility to ensure that registered rates are updated with ABC and that each registered rate is clearly identified.
- ABC may refuse to register rates, which in their opinion do not constitute bona fide permanent Basic Annual Rates.

- The rates printed or registered for the 'Audit Issue' will be stated on the ABC Return for that period. Where there is more than one BAR for either UK or other countries, the range of those rates must be stated on the ABC Return.
- Copies sold at promotional rates may not be claimed as full published/registered rate, as they are not sold at the Basic Annual Rate.
- When BARs change, ABC allows 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.

Examples of BARs:

UK Standard Annual Rate

UK Standard Annual Renewal 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:

'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

8.4 TWO OR THREE YEAR SUBSCRIPTION RATES

To qualify as full rate single copy subscriptions, the 2 or 3 year subscription rates must, when pro-rated over a one year term, equal:

- 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.

8.5 SUBSCRIPTION RATE BANDS

The subscription copies claimed for the Audit Issue must be analysed into the following bands, by comparing the subscription rate paid with the Basic Annual Rate (BAR) published or registered for that class of subscriber.

- At full published rates
- At between 50% and 100% of full rates
- At less than 50% of full rates

8.5.1 Subscription agencies

Subscriptions that are sold via an established subscription agency may be claimed as at full published rate. This is based on the assumption that the eventual subscriber will be paying full rate to the subscription agency.

8.5.2 Impact of exchange rate losses and bank charges

Where the sum received for an annual rate subscription is affected by losses on exchange rates and bank charges etc., such subscriptions will count as at full published rate.

SECTION 8 - SINGLE COPY SUBSCRIPTION SALES [cont.]

8.5.3 Joint subscription packages – Print

Where two or more publications are only available on subscription as a package, the allocation of funds from the joint subscription fee to each of the publications must be registered in advance with ABC. This registration will be binding on the publisher for the purposes of deciding the rate band in which the subscription should be claimed.

8.5.4 Joint subscription packages – Print and internet services

Where a print subscription is not available separately but is available together with internet services (such as web site access) the BAR is deemed by ABC to be the permanent rate at which the publisher sells a one-year subscription to this package. This must be registered with ABC.

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 ABC may refuse to register a joint subscription (Print and internet services) rate if in their opinion the package offered brings into question the validity of the print subscription.

8.6 UNPAID SUBSCRIPTIONS

Unpaid subscriptions or renewals of current orders may only be claimed as single copy subscriptions if they are considered to be live, good and collectable. As a guide, copies should only be claimed as paid if they fall within the publisher's normal credit or grace periods. The publisher should, however, report to ABC if there are any subscriptions being claimed which remain unpaid 3 months after the start of a subscription period for UK addressees, or 6 months for overseas addressees.

8.7 RECORDS REQUIRED

- All order documentation supporting new and renewal subscriptions. This will include every subscription card or other written document for each addressee for which a copy has been claimed during the Audit Period.
- Auditable proof of payment for each addressee claimed. If a third party maintains these details, (e.g. subscription bureau) the ABC auditor must have full access to these.
- Details of unpaid subscriptions (arrears) during the Audit Period must be available.
- Details of subscription rates and special offers during the Audit Period must be available.
- Due to the requirement to retrieve records for samples at audit, publishers should ensure that older subscriptions (in particular 2 or 3 year terms) are accessible. The use of the sealed galley facility is recommended where this may prove difficult.

8.8 MERGER OF TITLES

On a merger of titles where there are live subscriptions, the following treatment may be applied:
Subscribers to one title only

- The publisher may continue to fulfil the contractual requirement of the subscription by mailing copies of the 'new' journal until expiry of the subscription period,

OR

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

Subscribers to both titles

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

OR

- The publisher may refund the unexpired portion of both subscriptions and cease all mailings.

OR

- The publisher 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 adopted by the publisher and the wishes of the subscriber. It may be necessary to register the BARs for all the merged titles with ABC. ABC may ask for additional audit evidence in respect of refunds of subscriptions made in the period and copies of correspondence with subscribers. Publishers should ensure this information is available.

8.9 PURCHASE OR TRANSFER OF SUBSCRIPTION LISTS FROM CEASED PUBLICATIONS

Where a list of subscribers has been purchased or transferred from a ceased publication, copies sent to these subscribers may be claimed as single copy subscription sales provided:

- The first issue is distributed within six months of the last issue of the ceased publication
- Third party evidence of the amount paid and subscription term for each subscriber on the list are available
- 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 ABC 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 a note to that effect will be added to the certificate.

SECTION 9 - PAID AND CONTROLLED

9.1 INTRODUCTION

9.2 RECORDS REQUIRED

9.1 INTRODUCTION

To be claimed under this section, copies must be paid subscription copies which are:

- Sent individually addressed to an individual by name or job title; and
- Supported by 3rd party documentation, proving the individual meets the Terms of Control. That documentation must be less than three years old from the date of distribution of the audit issue.

9.2 RECORDS REQUIRED

- The subscription documentation must be as specified in section 8.
- The documentation proving terms of control must be as specified in section 12.

SECTION 10 - MULTIPLE COPY SUBSCRIPTIONS SALES AND BULK SALES

10.1 MULTIPLE SUBSCRIPTION DEFINITION

10.2 SUBSCRIPTION RATE BANDS

10.3 RECORDS REQUIRED

10.1 MULTIPLE SUBSCRIPTIONS DEFINITION

A multiple subscription is a subscription for two or more copies of a publication on an every issue basis where either:

- The final recipient cannot be identified by the publisher; or
- The final recipient can be identified, but the subscription has been purchased by a third party at less than 10% of the Basic Annual subscription rate (BAR).

10.2 MULTIPLE SUBSCRIPTION RATE BANDS

The multiple subscription copies claimed for the Audit Issue must be analysed into the following bands by comparing the subscription rate paid with the Basic Annual Subscription Rate (BAR):

- 'At full published rates'
- 'At between 50% and 100% of full rate'; and
- 'At less than 50% of full rate'.

For audit periods ending 1 July 2005 onwards, the publisher must receive at least the minimum legal tender (i.e. currently 1p) per copy.

10.3 RECORDS REQUIRED

The records required are as for Single Copy Subscription sales.

10.4 BULK SALES DEFINITION

10.5 BULK SALES RATE BANDS

10.6 RECORDS REQUIRED

10.4 BULK SALES DEFINITION

- A bulk sale is a sale of two or more copies of a publication, for one issue or more issues, but not on an every issue basis, where the publisher cannot identify the final recipient.
- The transaction must be bona fide and with a third party whether sold direct by the publisher or through newstrade or other third party channels. Examples of bulk sales include sales to airlines, hotels, businesses etc.
- The publisher must receive at least the minimum legal tender (i.e. currently 1p) per copy.
- No bulk sale must be estimated. All bulk sales must have final proof of distribution and sale at the date of the ABC return submission.
- If the bulk sales of any issue exceed 10% of the total net circulation of that issue, the publisher must report the percentage on the Return and this will be shown on the ABC Certificate.

10.5 BULK SALES RATE BANDS

The bulk sales copies claimed for the Audit Issue must be analysed into the following bands:

- 'At full published rates'
- 'At between 50% and 100% of full rate'; and
- 'At less than 50% of full rate'

The 'Full Rate' is the Basic Annual Rate (BAR) see rule 8.3.

If there are no subscriptions, the BAR must be registered with ABC.

10.6 RECORDS REQUIRED

- Issue by issue details of the recipients of the bulk copies i.e. names and addresses, numbers of copies, issue identifiers, dates and method of distribution.
- Full details of the contractual arrangements.
- Invoices and proof of payment.
- Distribution evidence must be available to support every copy claimed, for every issue, distributed during the Audit Period.
 - The evidence will be validated third party invoices and dockets (if applicable) for every method of distribution for each issue and for the issues distributed immediately before and after the Audit Period. The auditor must prove that 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 and a date of distribution
- Bulk sales must be supported by evidence (as described above) 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, the publisher's offices or any other intermediary location is not sufficient).

For example:

A publisher sells 1,200 copies of a publication to an exhibition organiser for distribution at an exhibition.

The distribution evidence required will be a delivery note and invoice showing delivery of the 1,200 copies of this issue of the magazine to the exhibition venue.

SECTION 11 - SOCIETY / ASSOCIATION / ORGANISATION CIRCULATION

11.1 INTRODUCTION

11.2 CORPORATE MEMBERS

11.3 CATEGORIES OF SOCIETY CIRCULATION

11.3.1 PAID OPTIONAL SOCIETY / ASSOCIATION / ORGANISATION CIRCULATION

11.3.2 UNPAID REQUESTED SOCIETY / ASSOCIATION / ORGANISATION CIRCULATION

11.3.3 NON - OPTIONAL SOCIETY / ASSOCIATION / ORGANISATION CIRCULATION

11.4 RECORDS REQUIRED

11.1 INTRODUCTION

- Only publications that are an official, publication of the Society, Association or Organisation may claim circulation in this category. Therefore, the publisher may either be the Society or Institution themselves or a publisher whose magazine has been nominated as an official publication by the Society or Institution.
- Only copies distributed individually addressed to a current member of the Society, Association or Organisation may be claimed in this category. Multiple copies to a single addressee cannot be claimed.
- Details of the Society's name and number of members are shown on the certificate.

NB The term 'Society' for the remainder of this section refers to the 'Society, Association or Organisation' as appropriate.

11.2 CORPORATE MEMBERS

- The number of corporate/company members at the date of distribution of the audit issue must be entered on the ABC Return Form and will appear on the certificate. This figure must be drawn from a full analysis of the list, not a sample.
- Corporate members are members (normally companies or institutions) who pay the membership fee or fees and nominate the recipients of the publication. These recipients may be claimed as society circulation.

For Example : 'A Ltd.' is a corporate member of Alpha Society. Four copies, addressed by name and job function, are sent to four different people at A Ltd. This would constitute four valid corporate copies.

11.3 CATEGORIES OF SOCIETY CIRCULATION

There are five categories to allow publishers to show more detail on how the copies have been requested by the society member.

11.3.1 PAID OPTIONAL

To be included under this subheading, copies must be sent to members who have chosen to pay an additional sum of money explicitly in order to receive the publication.

- If the subscription is a company subscription for one or more copies, the onus is on the publisher to provide evidence that there is auditable proof of the recipient of each individual copy otherwise such copies must be claimed as a multiple copy sales.
- Publications claiming paid optional society circulation must publish (or register with ABC) the BAR for the United Kingdom and 'other countries' in every issue.
- Unpaid subscriptions, or renewals of current orders may only be claimed as paid optional society circulation if they are considered to be live, good and collectable. As a guide, copies should only be claimed as paid if they fall within the publisher's normal credit or grace periods. The publisher should however report to ABC if there are any subscriptions being claimed which remain unpaid 3 months after the start of a subscription period for UK addressees, or 6 months for overseas addressees.

11.3.2 UNPAID REQUESTED

- To be claimed under this category, a copy must have been sent to current society members who have requested a copy of the publication in writing, via the telephone or the Internet.
- The request can be for a period of up to three years from the date of distribution of the Audit Issue.
- The requirements for request documentation are the same as for controlled circulation, see section 12.6.

Analysis of Age of requests

Based on the date the request was made and the date of distribution of the Audit Issue, all requested circulation must be analysed into the following age categories:

- Under 12 months
- 13-24 months
- 25-36 months

*For Example: Audit issue distributed on 20.11.2006.
Under 12 months- All requests dated between 21.11.2005 to 20.11.2006 inclusive
13-24 months- All requests dated between 21.11.2004 to 20.11.2005 inclusive
25-36 months- All requests dated between 21.11.2003 to 20.11.2004 inclusive
Requests dated before 21.11.2003 are no longer valid to be claimed as unpaid requested society/ institution copies.*

SECTION 11 - SOCIETY / ASSOCIATION / ORGANISATION CIRCULATION [cont.]

Analysis of age of requests - Optional Certificates.

All requested controlled circulation must be analysed into age categories for the mandatory reporting period for the publication, however, for optional certificates, e.g. 6-month certificate, single-issue certificates, the publisher 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 a publisher chooses 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.

11.3.3 Non-optional

To be included under this subheading copies must simply be sent to current members of the society.

11.4 RECORDS REQUIRED

- 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
- Details of membership rates and terms for the society/association/organisation
- Proof of payment over and above the membership fee to receive a copy of the publication for all paid optional society circulation.

- Request documentation for all unpaid requested society copies.
- The publisher must be able to prove all copies claimed in these categories have been distributed to members of the society. Evidence of membership will be requested for a sample of addressees at the audit. This evidence may be:
 - By locating the addressee in a published directory of society members, which covers the period of the audit issue.
 - If the publisher is the society, by providing evidence that the addressee has paid their society membership fee for the period covering the audit issue.
 - If the publisher is 3rd 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.

SECTION 12 - CONTROLLED FREE CIRCULATION

12.1 INTRODUCTION

12.2 TERMS OF CONTROL

12.3 REQUESTED CONTROLLED CIRCULATION

12.3.1 INDIVIDUALLY REQUESTED

12.3.2 COMPANY REQUESTED

12.4 AGE OF REQUESTS

12.4.1 ANALYSIS OF AGE OF REQUESTS

12.4.2 ANALYSIS OF AGE OF REQUESTS – ANNUAL PUBLICATIONS

12.4.3 ANALYSIS OF AGE OF REQUESTS – OPTIONAL CERTIFICATES

12.5 TREATMENT OF REQUESTS ON CHANGE OF NAME / MERGER OF TWO PUBLICATIONS

12.6 REQUEST DOCUMENTATION

12.6.1 WRITTEN REQUESTS

12.6.2 DUAL / MULTI FUNCTION CARDS

12.6.3 RECORDS REQUIRED

12.6.4 TELEPHONE REQUESTS

12.6.5 RECORDS REQUIRED

12.6.6 INTERNET REQUESTS

12.6.7 RECORDS TO BE RETAINED FOR AUDIT PURPOSES FOR INTERNET REQUESTS

12.7 NON- REQUESTED CONTROLLED CIRCULATION

12.7.1 STYLISED / GENERIC JOB TITLES

12.7.2 CALCULATION OF SPLIT BETWEEN BY NAME AND BY JOB TITLE/ FUNCTION

12.8 SOURCES FOR NON-REQUESTED CONTROLLED CIRCULATION

12.8.1 SECONDARY SOURCING

12.8.2 EXAMPLES OF SOURCES AND DATES OF SOURCES

12.8.3 SOURCING FROM RELATED PARTIES

12.8.4 TELEPHONE RESEARCH USED AS A SOURCE

12.8.5 RECORDS NEEDED TO SUPPORT TELEPHONE RESEARCH SOURCES

12.1 INTRODUCTION

Controlled circulation is the term given to copies that are sent free to individuals who can be proven to meet the Terms of Control that the publisher has set for the journal and registered with ABC. The Terms of Control states the criteria that the publisher uses to decide if an individual qualifies for a free copy. The Terms of Control enable a publisher to demonstrate the quality of their circulation to potential advertisers and to differentiate themselves from other journals 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.

12.2 TERMS OF CONTROL

- Terms of Control are automatically registered with ABC upon completing the Return.
- The publisher may amend Terms of Control at any time prior to the submission of the Return.
- The wording must state clearly the criteria set by the publisher

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 U.K.' would not be allowed whereas 'individuals in companies in the engineering sector' is fine.

- If applicable, job titles/ functions must be included.
- The following words may NOT be used in the Terms of Control: ALL, EVERY. Subjective adjectives may not be used 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.

See below for important changes to permitted wording.

- Neither the Terms of Control nor an approximation to the Terms of Control may be published in the publication or on any documents or promotional material targeted at the reader.
- Publication of Terms of Control in a 'media pack' on a web site is allowable.
- It is the publisher's responsibility to prove that an addressee fits the Terms of Control at the date of the Audit Issue.

*IMPORTANT – For audit periods ending 1 July 2007 onwards, the following additional requirements relating to the terms of control apply. (Note: this may therefore affect request cards and sources dated July 2004 onwards)

- The Terms of Control must specify at least one qualifying demographic that the copies claimed can be proven to meet. *Examples 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.*
- This means phrases such as '...and to other individuals' are not permitted
- Geographical region alone is specifically not permitted as this is not considered a sufficiently distinguishing demographic. *For example: 'Individuals in the UK' would not be allowed. However 'Company Directors in the UK' would be acceptable*
- 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...' are not permitted because a requested copy could always be deemed to meet this criteria.
- Phrases or words that are considered subjective and difficult to explicitly prove are not permitted. *For example: RELATED, ASSOCIATED, SELECTED, ALLIED TO THE FIELD, VARIOUS, SPECIALIST, PROFESSIONAL, EXECUTIVE are not permitted.*

12.3 REQUESTED CONTROLLED CIRCULATION

To be claimed under this category, a copy must have been requested in addition to the addressee fitting the Terms of

SECTION 12 - CONTROLLED FREE CIRCULATION [cont.]

Control. Requests may be from an individual or company and can be received by the publisher in writing, via the telephone or the internet. The request will be valid for a period of up to three years from the date of distribution of the Audit Issue.

Publishers should note that ABC will not allow copies to be claimed as requested controlled circulation if the request is unclear.

12.3.1 Individually requested copies

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 in this category.

12.3.2 Company requested copies

Company requested copies are those sent, addressed by name or job title/function to an individual who fits the Terms of Control and has had a copy requested on their behalf by another employee from their company or organisation.

12.4 AGE OF REQUESTS

For all requests, the evidence that the addressee fits the Terms of Control, and any other demographics held for that addressee, must be less than three years old at the date of distribution of the issue for which that addressee is claimed as a requested recipient. When the date of request is more than three years old, further copies sent to that individual may not be claimed as controlled circulation, until the publisher has processed a new, valid request document. These copies should be excluded from the ABC circulation claim or claimed as non-controlled free circulation.

12.4.1 Analysis of age of requests.

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

For Example:

Audit issue distributed on 20.11.2006.

Under 12 months - All requests dated between 21.11.2005 to 20.11.2006 inclusive

13- 24 months - All requests dated between 21.11.2004 to 20.11.2005 inclusive

25- 36 months - All requests dated between 21.11.2003 to 20.11.2004 inclusive

Requests dated before 21.11.2003 are no longer valid to be claimed as controlled circulation copies.

Note: From audit periods ending December 2006 both individually requested circulation and company requested circulation must be separately analysed into the three age categories.

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

12.4.2 Analysis of 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.

12.4.3 Analysis of age of requests - optional certificates only.

All requested controlled circulation must be analysed into age categories for the mandatory reporting period for the publication, however, for optional certificates, e.g. 6 month certificate, single issue certificates, the publisher 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 a publisher chooses 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.

12.5 TREATMENT OF REQUESTS ON CHANGE OF NAME/MERGER OF TWO PUBLICATIONS

If a publication changes its name or if two publications merge, requested readers from the old publication may be transferred to the new publication as requested controlled circulation provided that the Terms of Control for the new title are identical or wider than those for the old publication. Under these circumstances the requests are valid for the remainder of their three years.

12.6 REQUEST DOCUMENTATION

Both individual and company requests can be in writing, by internet or by telephone. Publishers may use other valid source documentation to prove the addressee meets the registered terms of control. This is known as secondary sourcing.

12.6.1 Written requests

- The request form must be signed and dated by the addressee for individual requested or 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*

SECTION 12 - CONTROLLED FREE CIRCULATION [cont.]

includes 'sign here to request a free copy of <publication name> or 'To continue to receive this publication please sign here'. If in the opinion of ABC 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 form 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 the opinion of ABC) to prove explicitly that the addressee fits the terms of control unless a secondary source is to be used.
- Whenever a document/request form 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. A suitable way to ensure this rule is complied with is to add an option such as:
Other(please specify.) In addition tick boxes (where used) should include some items that are outside the Terms of Control.
- Facsimile (Fax) requests are treated in the same way as written requests. ABC recommends that fax requests are photocopied or a plain paper fax is used to avoid the information fading

(see example on page 36)

12.6.2 Dual / multi function cards.

- If the request card has a dual/multi function, for example, registering for an exhibition, care must be taken to ensure that the addressee is clearly signing to receive a copy of the publication. If the combined card and any associated instructions lead the addressee to request a copy by implication (in the opinion of ABC) the request will be disallowed.
- On combined 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 the opinion of ABC 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 question numbers relevant to the Terms of Control.

Examples of dual/multi function cards are:

- Requests for two or more journals on one card
- Combined exhibition registration form and journal request

- Competition entry plus journal request
- Combined reader enquiry card and journal request

12.6.3 Records to be retained for audit purposes for written requests

- All request documents for every copy to be claimed on the audit issue.
- An age of request analysis for the audit issue

12.6.4 Telephone Requests

Outbound and inbound telephone calls may be used in support of individually or company requested circulation. ABC will approve/audit any telephone interview form/system provided the following points are complied with:

- Adequate instructions must exist to the interviewer (for outbound calls) or to the caller (inbound calls) including a statement at the start of the call if the call is to be recorded.
- 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 must be retained and be available at audit to enable verification. If in the opinion of ABC 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 or PIQ. A record of the response must be retained and be available at audit to enable verification.
- The telephone interview/ script must not explicitly or implicitly lead the addressee to give the desired qualification data in order to receive the publication. A suitable way to ensure this rule 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 PIQ question is set by the ABC and is different each calendar year. The PIQ question is changed each year on January 1st. Contact ABC for the current PIQ. Therefore, upon re-verification a different PIQ will be asked.
- The name, title/function and telephone number of the addressee must be collected and recorded.
- Other information needed to prove that the addressee fits the Terms of Control must be collected and recorded.
- 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 titles 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 journal, and the name and job title of the employee nominating the requests must be captured.

SECTION 12 - CONTROLLED FREE CIRCULATION [cont.]

- For company requests the PIQ needs to be asked of the individual nominating the recipients of the magazine. The answer to the PIQ needs to be the answer of the nominating individual not that of the recipients. At audit the company request will be verified by returning to the nominating individual and checking the answer to the PIQ they gave.

To prove that information collected is auditable, ABC may insist that a telephone system used is tested before allowing copies to be claimed if the system is to be used as proof of request.

12.6.5 Records to be retained for audit purposes for telephone requests

- A clear audit trail for all data collected by telephone must exist and be available at audit
- 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:
 - Either the original interview/request form for each addressee must be retained;
 - Or
 - If keyed in electronically, a separate file must be retained 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)
 - Invoices for all work undertaken by third party contractors must be available for inspection at audit
 - Original forms or scripts must be available at audit
- Where telephone requests have been captured individually (i.e. outside of a campaign) and they are keyed/inputted directly to a database, ABC may increase the level of checking back to the addressees. This may require the authorisation of an overtime approval form if it results in an over run on audit time.

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

- Where a publisher or bureau's telephone calls to respondents are recorded, and those recordings are available for the ABC auditor, these may be used as evidence in support of telephone requested circulation providing written approval is obtained in advance from ABC.
- An ABC approved system may exempt calls made on that system from the requirement to ask the Personal Identifier Question (PIQ)
- ABC's 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 requirements of the rules in relation to telephone requested circulation are met
- calls made on the system are exempt from the requirement to ask the Personal Identifier Question (PIQ).
- Publishers are reminded it is their responsibility to comply with legislative requirements regarding informing respondents if their call is being recorded and the reasons for doing so.

12.6.6 Internet requests

- Internet requests are shown on the certificate as a separate category.
- The request must capture all the data as detailed for telephone requests.
- The internet form/process must not explicitly or implicitly lead the addressee to give the desired qualification data in order to receive the publication. A suitable way to ensure this rule is complied with is to include an option such as 'other please specify' and to include items which are outside of the terms of control.
- The e-mail address and/or telephone number must be collected and recorded.
- The internet form/process 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?'* The respondent must have recorded a response to this question. 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 the opinion of ABC 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.

12.6.7 Records to be retained for audit purposes for internet requests

- A clear audit trail for all data collected by internet must exist and be available at audit
- Electronic/hardcopy record of the data output of the system. E-mail requests received must be saved or printed and made available at audit
- For each internet/e-mail campaign (including batched downloads of data from publisher's website or from third party host/agent):
 - Either the original request form for each addressee must be retained;
 - Or
 - If keyed or inputted electronically, a separate file must be retained for each campaign. (Note: This means data must not be keyed or inputted directly on to the database without a separate record being retained and available for audit)
 - Invoices for all work undertaken by third party contractors

SECTION 12 - CONTROLLED FREE CIRCULATION [cont.]

must be available for inspection at audit

- Original forms or scripts must be available at audit
- Where internet requests have been captured individually (i.e. outside of a campaign) and they are keyed/inputted directly to a database, ABC may increase the level of checking back to the addressees. This may require the authorisation of an overtime approval form if it results in an over run on audit time.

12.7 NON-REQUESTED CONTROLLED CIRCULATION

Copies counted in this category must have been sent addressed either by name or job title to an individual who the publisher can prove meets the Terms of Control. Source documents retained by the publisher will be used to prove the addressee fits the Terms Of Control.

12.7.1 Stylised / generic job titles

- Where a source document can only prove company details, publishers may add a stylized/generic job function to enable the copy to be claimed as controlled, non-requested by job title/function.
- The stylized job title/function must be one that could be expected to relate to a real individual e.g. Managing Director, Credit Controller and must be included in the list of addressees provided for audit.
- Publishers should be careful in the use of job titles 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.

12.7.2 Calculation of split between by name and 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.

12.8 SOURCES FOR NON-REQUESTED CONTROLLED CIRCULATION

- All sources must be third party. A third party source is a document originating from a company or individual independent of the publisher.
- All valid 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 non requested controlled circulation. A publisher wishing to use as a source a website that does not carry a valid source date may purchase ABC's optional validation service. An engagement letter detailing the provision of this service must be in place prior to the

distribution date of the Audit Issue for which the source will be used.

- For annual publications the date of distribution is either the principal distribution date or the end date of the distribution period.
- The actual sources (see overleaf for examples) must be produced at the audit and an audit trail must exist between the name on the audit mailing list and the source.
- If the Terms of Control state any demographic criteria beyond industry/service classification (e.g. company size, purchasing responsibility) then source documents must be produced to prove those demographics.
- It is the publishers' responsibility to observe the requirements of the current copyright act in relation to the use of third party sources.

12.8.1 Secondary sourcing (see table on next page)

Valid sources may be used to add detail to requests for a publication and, therefore, prove compliance with terms of control, this is known as secondary sourcing.

12.8.2 Example sources and dates of sources

- All valid sources must be third party, a third party source is a document originating from an individual or company independent of the publisher.
- The table overleaf is not exhaustive. Please contact ABC for advice on queries as to the validity of any source types

12.8.3 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 definition of related party in rule 5.1.1).

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

ONE of the following three criteria must apply:

1. The data has been previously audited by ABC and proven via that audit to be compliant with all rules specified in section 12 (controlled free circulation) that apply to the category of circulation in which the data is claimed.
2. The related party can provide original source documentation for the addressees on the list.
3. The list is purchased from the related party and:
 - The purchase invoice has been paid. It should be noted that 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 the publisher to provide suitable proof of this fact. Examples of suitable proof include promotional material and data rental/sale invoices.

12.8.4 Telephone research used as a source for non-requested

- The response to the personal identifier question (PIQ) should be asked and collected from the individual being telephoned/ telephoning.
- The telephone number, name and job title of the individual providing the information must be asked and recorded.

SECTION 12 - CONTROLLED FREE CIRCULATION [cont.]

Example sources and dates of sources

Source Type	Records Needed	Date of Source
Written communication from addressee/addressee's company	Copy of communication	Date of document
Telephone communication with addressee/addressee's company	Record of the response to personal identifier question, copy of record and telephone number	Date of communication
Requests for other journals	Copy of request card	Date of request
Reader Enquiry cards	Copy of reader enquiry card	Date of enquiry, postmark or distribution of the issue which contained the card
Web based reader enquiry form - sources collected on or after 1 July 2005	Record of the response to the personal identifier question*, copy of record and email address/telephone number	Date of communication
Competition entries – paper	Copy of the entry	Date of entry
Competition entries – web - sources collected on or after 1 July 2005	Record of the response to the personal identifier question*, copy of record and email address/telephone number	Date of entry
Press cuttings	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
Published directories that are publicly available	Copy of the directory	Month and year of publication date. E.g. Cover date is 2004/2005 the date is 1st January 2004 unless an actual publication date is shown
Exhibition attendee lists	Copy of list, invoices/suppliers statement	Last day of Exhibition
Suppliers / business lists	Copy of list, invoices/suppliers statement	Date of acquisition of list
Business cards- if signed and dated	Copy of the Business Card	Date of signature on card
Internet site data – sources collected before 1 July 2005	Method and date of contact must be recorded and a hardcopy retained. Print out of the page which contains the sourced data plus the site's home page.	Date of access to data
Website data - sources collected on or after 1 July 2005	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. © 2004 = 1/1/2004) 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 rule 12.8

*** The requirement for capture of a PIQ can be waived if the publisher has advanced written approval from ABC. Written approval is conditional on the successful completion of an advance systems audit (at an additional charge). Any web data capture systems 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.**

Notes in respect of data sourced from internet sites

- ABC recommends that publishers notify ABC if they intend to source large quantities of names from the Internet at the time of sourcing.
- It is the publisher's responsibility to ensure they comply with the requirements of the Data Protection Act.
- Other methods of record keeping or audit may be used provided written agreement has been obtained from ABC.
- Publishers may be required to make a declaration that internet sites used as sources are third party.

SECTION 12 - CONTROLLED FREE CIRCULATION [cont.]

- The name, address, job title of all addressee(s) and any information needed to prove compliance to the terms of control must be recorded.

12.8.5 Records needed to support telephone research sources

- 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

- Where a publisher or bureau's telephone calls to respondents are recorded, and those recordings are available for the ABC auditor, these may be used as evidence in support of controlled non-requested circulation providing written approval is obtained in advance from ABC.
- An ABC approved system may exempt calls made on that system from the requirement to ask the Personal Identifier Question (PIQ)
- ABC's 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 requirements of the rules in relation to sources for controlled non-requested circulation are met
 - calls made on the system are exempt from the requirement to ask the Personal Identifier Question (PIQ).
- Publishers are reminded it is their responsibility to comply with legislative requirements regarding informing respondents if their call is being recorded and the reasons for doing so.

SECTION 13 - NON-CONTROLLED FREE CIRCULATION

13.1 INTRODUCTION

13.2 NON-CONTROLLED CIRCULATION

13.3 RECORDS REQUIRED

13.1 INTRODUCTION

Non-Controlled Circulation is the term given to free copies that are sent individually addressed, either to a person by name, or to a company. Whilst it is known to whom the copies are being sent, there may be no other information about the addressee.

13.2 NON-CONTROLLED CIRCULATION

- You may only claim one copy per addressee. All bulk free copies are disallowed.
- An analysis of copies sent by name or not by name is required. This analysis is based on the mailing address:
 - By name - A single copy addressed to a person by name. e.g. Mr Smith
 - Not by name - A single copy addressed to a person or company. e.g. Fleet Manager or ABC Ltd

13.3 RECORDS REQUIRED

The record keeping requirements for non-controlled circulation are very simple. Mailing address details are required for each copy, however, no source documents are required for addressees in this category.

SECTION 14 - DEMOGRAPHIC ANALYSIS

14.1 INTRODUCTION

14.2 GEOGRAPHIC ANALYSIS

14.3 STANDARD CERTIFICATE OF CIRCULATION WITH DEMOGRAPHICS

14.4 RECORDS REQUIRED

14.1 INTRODUCTION

Providing demographic analysis of a title's circulation is an effective way of demonstrating the quality of that circulation to 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 the publication serves and the amount of auditable information that the publisher holds.

The ABC certificate gives a lot of flexibility to the publisher in terms of the amount of demographics that can be shown.

The options are as follows:

- Standard Certificate of Circulation - geographic analysis is optional
- International Certificate of Circulation – geographic analysis is mandatory
- Standard Certificate of Circulation with demographics – publisher's choice of up to 4 demographic tables.
- Profile Certificate - 4 mandatory tables and then as many demographic tables as required. **Note: there is a separate rule- book for Profile certificates.**

The mandatory tables for a Profile Certificate are:

- Job title or function
- Company activity
- Geographic analysis
- Sources and ages of records supporting free distribution copies

In addition, many publishers analyse additional data relevant to their advertisers such as purchasing responsibility, number of employees or company turnover.

14.2 GEOGRAPHIC ANALYSIS

The most frequently audited demographic table is the geographic analysis. The ABC regions are detailed in Appendix Three.

Standard Certificate of Circulation.

The options are:

- No geographic analysis
- UK regions with a single figure for the Republic of Ireland with a single figure for Other Countries
- UK regions and UK Counties with a single figure for the Republic of Ireland with a single figure for Other Countries

- UK regions and the Republic of Ireland and International regions of the world
- UK regions and UK Counties and the Republic of Ireland and International regions of the world
- UK regions and International Regions and Countries
- International Regions of the world
- International Regions and countries of the world

International certificate - a geographic analysis is mandatory. The options are:

- Regions of the world totals only
- Full breakdown by countries and regions of the world.

If any other geographic analysis is required to those described above then a standard with demographics certificate must be prepared.

14.3 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. There are more limitations on the presentation of data in comparison with the bespoke style of the Profile Certificate and there is no facility for the inclusion of graphics on the certificate.

However, as there are no mandatory tables and the publisher chooses the demographics to be audited, this certificate is very flexible.

Once a publisher has registered a title for a Standard Certificate with Demographics, ABC will assume that a title will continue to submit data for Standard with Demographics certification, until ABC is notified of a change.

The features are:

- There can be up to 4 optional tables.
- Analysis of sites is not available on this certificate.
- The demographic descriptions are limited to 60 characters per line.
- Each table may not have more than 30 lines of demographics.

Data for a Standard certificate with Demographics must be submitted on a Standard with Demographics Return which will also include the standard data submission. The Return must be prepared in accordance with the Standard Audit Rules but the additional optional tables must be prepared in accordance with Business Press Profile Audit Rules, with the following exceptions:

- If there is more than one source type additional audit time will be required which will be invoiced to the publisher

-
- As the audit fee for a STANDARD Certificate with demographics is based on single response analysis, an additional charge will be made for the inclusion of multiple response tables
 - The audit cost of the Standard Certificate with Demographics does not allow for interpretation of data. Therefore the demographic analysis table must match the demographics captured on the source document or overtime will be incurred
 - The mailing list with the Standard with Demographics must be submitted in electronic format
 - The tables must be in the standard format and cannot be illustrated graphically

14.4 RECORDS REQUIRED

- Valid source documentation must be available for every demographic claimed.
This may be a request document or sources such as purchased lists, directories etc. If a sealed galley is to be used, the publisher will still need to find source documents for any demographic which was not audited on the sealed galley.
- Mailing list – this must be provided electronically for a standard with demographic certificate.
All the demographics claimed for each addressee must be included on the same line as the addressee details.
- Coding of responses – the auditor must be given a clear and auditable explanation of the field names and coding system used.
- Data source references - Ensure the mailing list has all necessary reference information to allow you to locate source documents. eg batch number, directory code, directory page number.

If more than one document is being used to make up an addressee's demographics, for example: personal demographics from another request card; or company demographics from a directory or another person's request card, then the references for these other demographics should be recorded on the mailing list.

SECTION 15 - DIGITAL EDITIONS

15.1 INTRODUCTION

15.2 DEFINITION OF A DIGITAL EDITION

15.3 PRINCIPLES OF AUDIT

15.4 REPORTING OF DIGITAL EDITIONS ON THE ABC CERTIFICATE

15.5 REGISTRATION OF DIGITAL EDITIONS WITH ABC

15.6 AUDIT RULES - PAID DIGITAL COPIES

15.6.1 CORPORATE/GIFT SUBSCRIPTIONS

15.6.2 RECORDS REQUIRED

15.7 AUDIT RULES – FREE DIGITAL COPIES

15.7.1 RECORDS REQUIRED

15.8 STANDARDS OF AVAILABILITY

15.9 PUBLICITY RULES

15.9.1 USE OF ABC DATA – DIGITAL EDITIONS

15.9.2 COMPARISONS – DIGITAL EDITIONS

15.9.3 USE OF ABC LOGOS – DIGITAL EDITIONS

15.1 INTRODUCTION

Digital editions (or 'e-publications') of a magazine or newspaper may be included on the ABC certificate. They are not included in the average net circulation figure and must at all times be reported separately from the print copies.

Note: Publishers who wish to include digital copies must register and gain approval of their systems from ABC before any issues can be claimed.

15.2 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.
- Within each sector the existing rules for editions apply to digital editions in terms of inclusion on a certificate.
- 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.

15.3 PRINCIPLES OF AUDIT RULES

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 subscriber has personally made a request for the digital edition - this may be a request for a free copy of the digital edition or a paid subscription etc.
- ABC 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.

Paid subscriptions

For each paid digital copy there must be proof of:

- entitlement to the copy
- availability of the copy

Free copies

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.

Audit will prove the entitlement of the subscriber for the publication. This will be by verification of the paid subscription documentation and payment or verification of the free request documentation as applicable and as laid down in the following rules.

- Availability of copy.

ABC will need to check as part of the ongoing processes that the correct publication and issue was available for download or view. Even if a subscriber received an email notifying him 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 the digital circulation of that issue would have to be disallowed. Please see section 15.8 regarding standards of availability.

- Notification of copy (free copies only).

For free subscriptions ABC will verify the number of email alerts that are sent out to subscribers by checking to email log records, email write backs, reducing for hard bounce backs and duplications. The detailed audit rules for this are noted below.

- ABC will monitor the 'distribution' on an ongoing basis throughout the audit period. This would be to test the 'entitlement to the copy', the 'availability of the copy' and the 'notification' of the copy.
- As systems will not be identical from one publisher to another it is essential that ABC is 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 ABC's satisfaction.

15.4 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 the publisher (i.e. opted-in) for copies by this mode of distribution and such individuals are only counted once in the circulation of the publication.

- Digital editions will be represented on certificates as an additional table.
- Tables will be categorised by circulation type and by geographical location.
- Where all the supplements accompanying the parent print edition are not included in the digital edition this will be reported on the certificate.
- Addressees who receive both the digital and print copy must only be counted once on the certificate. The print copy will take precedence.
- Publishers may opt to report on the certificate the percentage of the audit issue net circulation that have also opted to receive a digital edition provided that entitlement, availability and notification (if needed) is complied with.
- Digital editions may only be included in the following circulation categories:
 - Paid and controlled.
 - Single copy subscription sales.
 - Current issue single copy sales.
 - Society circulation- admissible for paid optional single copies and unpaid single copies provided they are individually requested.
 - Controlled free circulation – digital editions are admissible to be included in controlled circulation provided that the copies are individually requested.
 - A new category called Corporate/gift subscriptions specifically for digital editions copies (see rule 15.6.1).
- Digital editions are disallowed in the following circulation categories:
 - Newstrade and single copy sales of back issues.
 - Multiple Copy Subscription sales (but see corporate/gift subscriptions rule 15.6.1).
 - Sponsored Subscription sales (but see corporate/gift subscriptions rule 15.6.1).
 - Bulk Sales.
 - Society Circulation- (categories that are not paid optional or individually requested).
 - Company requested controlled circulation.
 - Non-requested Controlled Circulation.
 - Non-Controlled Free Circulation.
- As ABC 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. Where ABC is the print auditor, audit work to verify entitlement to copy will be conducted with the print audit. Where ABC is not the print auditor, audit work to verify entitlement to copy will be conducted at a time agreed with the publisher.

15.5 REGISTRATION OF DIGITAL EDITIONS WITH ABC

- Publishers must register their intention to include digital editions with ABC in advance of the start of the audit period in which those copies are to be claimed.
- Auditing of digital editions must be conducted by ABC if they are to be claimed on certificates.
- ABC may contact any digital subscribers at any point for further verification.
- The registration process will include a requirement for the digital edition and the process to be demonstrated to ABC.
- The publisher must disclose to ABC any digital editions that do not include all of the supplements accompanying the parent print edition.
- ABC will explain the audit rules relating to digital editions as part of the registration process. Publishers will be required to confirm in writing their acceptance of the audit process, and adherence to additional rules relating to the auditing and publicity of digital distribution.
- ABC will confirm acceptance of the inclusion of digital editions on certificates (subject to audit) in writing.
- Any fundamental changes to the registered digital edition during the audit period must be notified to ABC in advance of those changes.
- A specified address at ABC must be included on each 'delivery' of a digital issue. In addition a copy of the print publication must be available to ABC if requested. ABC will use normal sampling techniques to specify which print issues must be supplied to ABC.
- Planned distribution dates must be provided in advance of each audit period. Any changes must be notified to ABC.

15.6 AUDIT RULES - PAID DIGITAL COPIES

- 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 15.8 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 ABC 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 and postal mailing 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 to calculate the net digital edition claim which is reported on the certificate.
- The net figures for each issue must be recorded and submitted to ABC on an issue by issue basis or as otherwise agreed in writing with ABC. ABC will use normal sampling techniques to specify which lists are required for audit purposes during the audit period.

SECTION 15 - DIGITAL EDITIONS [cont.]

- The price / rate at which paid digital copies are claimed will be reported in a consistent fashion as for print copies according to the relevant audit rules. Price bands will be the same as on the main body of the certificate for the relevant sector.

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

- Prices bands for single copy sales of digital editions and digital edition subscriptions are calculated 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. 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 $80/200 = 40\%$

- The rate of a digital subscription cannot be registered as a separate BAR.

15.6.1 Corporate/gift subscription digital copies

- Corporate/gift subscriptions to digital copies may be reported on the additional digital table.
- 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)
- A valid postal mailing address and e-mail address must be collected for the recipient of every corporate/gift subscription copy claimed.
- The number of copies claimed must be restricted 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

15.6.2 Records required - paid digital copies

- All paid digital copies must be valid and comply with existing audit rules
- The documentation and payment evidence for all paid digital copies must comply with existing audit rules and be retained

for inspection at audit.

- In addition for corporate/gift subscriptions evidence must be retained 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).

15.7 AUDIT RULES – 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 20.8 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 ABC 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.

Where: BOUNCE (NDN) Any Non-Delivery Notification message arising from an SMTP 550 Error - "undeliverable mail".

- The net figures for each issue must be recorded and submitted to ABC on an issue by issue basis or as otherwise agreed in writing with ABC. ABC will use normal sampling techniques to specify which lists are required for

audit purposes during the audit period.

- For every digital copy claimed within every issue in the distribution period, a notification log and summary reports must be available to ABC auditors. ABC will use normal sampling techniques to specify the issues for which these will need to be produced for audit.
- Notification logs must include the following details for all copies distributed electronically:
 - Date sent
 - Time sent
 - Name of publication
 - Issue identifier
 - Email address
 - Size of file delivered
 - Addressee identifier

15.7.1 Records required for free digital editions

- All free digital edition copies must be valid and comply with existing audit rules.
- All supporting documentation must comply with existing audit rules and be retained for inspection at audit.
- Documentation must clearly indicate that the digital edition is requested.
- Postal and email addresses must be collected for all digital copies claimed.

15.8 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 this situation will be audited and reported.

Auditing procedure

- The publisher must provide ABC with free access to the PDF and / or the URL hosting the digital edition for every issue.
- ABC will test the availability of the digital edition. Audit tests will be made to ensure that:
 - i) The correct digital edition is available on the stated publication date/period.
 - ii) 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.

In the event of the correct digital edition not being accessible to ABC, the access and content will be re-tested within a time frame relevant to the publishing frequency of the title, namely;

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

If the second test proves negative on either count ABC will advise the publisher and it will be the publisher's responsibility to demonstrate to ABC the availability of the digital edition.

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

The method of reporting a particular issue will depend upon the established level of availability as follows:

- Availability 0% (i.e. not available at all)
ABC will disallow the entire digital edition claim for an issue if it is not available at all during the planned distribution period. ABC will report the non-availability of the issue on the certificate and in other published ABC data.
- Availability less than 80%
In the event that a digital edition is available for less than 80% of the planned distribution period it will be included in the claim and ABC 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 is included without any additional reporting requirements.

15.9 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 the latest ABC average net circulation figure (excluding digital edition copies).

Note: The following rules are in addition to ABC Publicity Byelaws 6a to 6x (see appendix), which still apply to digital copies.

15.9.1 Use of ABC data – digital editions

- An ABC figure for a digital edition quoted on any material (including editorials, sales presentations, media packs and websites) must be accompanied by the latest average net circulation certified by ABC.

For example:

*ABC average net circulation (print) July to Dec 2005, 24,355
ABC average digital copies 2,328*

- An ABC figure for a digital edition must not be added to the ABC average net circulation figure in any material and presented as an ABC figure.
- 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.

For example:

*ABC average net circulation (print) July to Dec 2005, 24,355
ABC average digital copies 2,328
In addition 6% of the average net circulation also opted to receive a digital copy.*

15.9.2 Comparisons – digital editions

- Comparisons of figures for digital editions between different publications must always be accompanied by a comparison of the latest average net circulations certified by ABC including the period of certification.

For example:

	<i>Digital copies</i>	<i>Average circ'n (print)</i>
<i>Publication X</i>	<i>2,328</i>	<i>24,355</i>
<i>Publication Y</i>	<i>2,587</i>	<i>27,456</i>

Source: ABC July to Dec 2005

- 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 (print)</i>
<i>Publication X</i>	<i>2,328 (free)</i>	<i>24,355 (paid subs)</i>
<i>Publication Y</i>	<i>2,587 (paid subs)</i>	<i>27,456 (paid subs)</i>

Source: ABC July to Dec 2005

15.9.3 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.

APPENDIX ONE - ABC BYELAWS

DEFINITIONS :

ABC/Audit Bureau of Circulations/Bureau	Audit Bureau of Circulations Limited
ABC/VFD	Audit Bureau of Circulations/Verified Free Distribution
Advertising Rate Cards	Material in which a media owner lists the cost of advertising space in a publication/exhibition
Approved circulation auditor	Auditor appointed by the member and approved by ABC to conduct the audit in accordance with the relevant Audit Rules (as hereinafter defined)
Media packs	Promotional material relating to a Title/s in which a media owner makes claims in relation to a publication/exhibition
Official/Official of the Bureau/Official of ABC	Employee or other person acting for ABC in an official capacity
Permanent Information Form	Form on which data relating to the Title are submitted to the Bureau
Return	Form on which circulation/distribution/exhibition data for an audit period are reported to ABC for certification
Title	Publication, exhibition, other published media or list/database
Trade Press	Publications or other media which provide information for persons in relation to their employment or interest in the media industry

Headings and brief introductions to certain clauses (shown in Italics) are for convenience only, do not form part of the Byelaws and will not affect their interpretation.

1. CONSTITUTION

- (a) The constitution of the Audit Bureau of Circulations Limited (hereinafter referred to as the "Bureau") is contained in the Memorandum and Articles of Association of the Company. An up-to-date copy may be inspected by any member on application to the Company Secretary of the Bureau. The operation of the Bureau is governed by its Memorandum and Articles, by Byelaws made by the Council ("the Byelaws") and by the Bureau's Audit Rules approved by the Council and published from time to time ("the Audit Rules"). The Articles of Association govern a member's admission to and continuance of membership.
- (b) A member may not remain in membership of the Bureau if none of its titles is registered with the Bureau.
- (c) Membership of the Bureau is subject to compliance with the Audit Rules and Byelaws and a failure to comply shall be a ground for complaint in accordance with the procedure set out below.

2. IMPLEMENTATION

The following Byelaws shall be effective from 1 January 2005 and replace all previous Byelaws of the Bureau with effect from that date and all practices and procedures of the Bureau shall be subject to these Byelaws.

3. INSPECTION OF RECORDS

Introduction

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.

- (a) Within 10 working days of being so requested any authorised representative of the Bureau must be allowed access to all or any

of the member's records whether held by the member or a third party agent for the purpose of checking the accuracy of any Return.

- (b) Where a publisher appoints an independent distribution or third party agent to deal with part of his circulation or where the file of addresses for postal distribution of a publication is not in the control of the publisher member and is held by a specialised mailing house or third party agent whether in ownership of the publisher member or not, the publisher must provide a letter of confirmation from the agent to the Bureau that the records of the agent, the manual or computer address file or any necessary records and ancillary documents of the agent will be made available for inspection by a representative of the Bureau or the Approved Circulation Auditor within 10 working days of a request.

4. COMPLAINTS PROCEDURE

Introduction

If a member of ABC or an Official of ABC wishes to make a complaint that another member is not complying with the ABC Byelaws or Audit rules, 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.

- (a) If a member of the Bureau or an Official of the Bureau (other than the Chief Executive or Chairman) ("the complainant") considers that another member ("the member complained of") has not complied with or is not complying with the Audit Rules or the Byelaws, he may make a complaint to that effect in accordance with this complaints procedure.
- (b) The complainant shall 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.

- (c) If the complainant is the Head of Compliance then he shall send the complaint to the Chief Executive and references below in this process to the Head of Compliance shall be read as references to the Chief Executive and references to the Chief Executive shall be read as Chairman.
- (d) Unless the Head of Compliance considers the complaint to be manifestly ill founded, he shall send a copy of the notification of complaint and any related documents to the member complained of.
- (e) 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 shall send to the Head of Compliance a written statement of response setting out his 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 if a reply is required from the complainant.
- (f) 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.
- (g) If it is contended expressly or by implication in the notification of complaint or response or reply that a decision by an Official of the Bureau (the "Official") is not in accordance with the Audit Rules 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).
- (h) 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 information or documents relating to the matters raised.
- (i) When the Head of Compliance considers that sufficient information and documents have been provided, he shall make a decision on the complaint and shall notify the complainant and the member complained of the same.
- (j) If the Head of Compliance decides that the member complained of has complied with the Audit Rules and Byelaws, he will notify the complainant and the member complained of. Both parties and ABC must keep all matters relating to the complaint confidential, including all correspondence and the fact that a complaint was even 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 circulation of that ruling to other members and the Trade Press.
- (k) If the Head of Compliance decides that the member complained of has not complied with the Audit Rules or Byelaws, or that a decision by an Official was not in accordance with the Audit Rules or the Byelaws he may implement any or all of the penalties outlined at section 6.
- (l) Should the complainant or member complained of disagree with this decision, they will have the right to appeal to the Chief Executive for a review. This appeal must be made in writing within 5 working days of notification of the decision, the Chief Executive to respond within 10 working days of receipt of the request for a review, or within such further time as the Chief Executive may reasonably require.
- (m) Should the Head of Compliance believe that a penalty other than one set out in section 6 be applied, he may in addition and subject to the approval of the Chief Executive implement any or all of the actions detailed below:
- i. withdraw any Bureau certificate already issued and issue a corrected certificate;
 - ii. require the member complained of to submit or resubmit any returns;
 - iii. direct that the member complained of be expelled, suspended from membership temporarily and/or subject to the fulfilment of such conditions as the Head of Compliance may impose;
 - iv. direct that the registration of the title in question be cancelled or suspended temporarily;
 - v. direct that a reaudit take place by the member's Approved Circulation Auditor or ABC.
- (n) The decision on the complaint by the Chief Executive under section 4l or the Head of Compliance and Chief Executive together under section 4m shall not be carried into effect if within 5 working days of being notified of the decision, the complainant or the member complained of gives notice to the Chief Executive that he requires a complaints panel to be convened to reconsider the complaint.
- (o) If the Chief Executive receives such a notice he shall refer the complaint for reconsideration to a panel consisting of 3 members of the Council of the Bureau (not connected with the complainant or the member complained of or the matters raised) selected by the Chairman ("the complaints panel").
- (p) If they consider it appropriate, before reconsidering the complaint, the complaints panel may invite the complainant, the member complained of, or the Official to make further written representations, and may call on appropriate experts. The meeting of the panel must take place within 15 working days of the Chief Executive receiving the notice in accordance with 4n above, unless an extension of not more than 10 working days is agreed by all parties.
- (q) The complaints panel may confirm, reverse or vary the decision of the Chief Executive and/or Head of Compliance.
- (r) The decision of the complaints panel shall be of no effect unless and until it has been reviewed and approved by the Council. The review by the Council must take place within 10 working days of the panel's decision.
- (s) Until the completion of the complaints procedure, contents of the statement of complaint, the statement of response, the statement of reply and any other information and documents which have been provided shall be confidential to the complainant, the member complained of and the Bureau and neither the complainant nor the member complained of shall institute any legal proceedings against any person in respect of any matters referred to therein. If, as mentioned in section 4j above, the complaint is not upheld, both parties and ABC must keep all matters relating to the complaint confidential, including all correspondence and the fact that a complaint was even 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 circulation of that ruling to other members and the Trade Press.

APPENDIX ONE - ABC BYELAWS [cont.]

- (t) Matters raised under this Complaints Procedure cannot also be subject to reviews or appeals under the Review Procedure in section 5 below.

5. REVIEW PROCEDURE

Introduction

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's own Audit Rules or Byelaws

- (a) If a member ("the member seeking review") considers that a decision by an Official of the Bureau ("the Official") is not in accordance with the Audit Rules or the Byelaws, he may apply for a review of the decision in accordance with this review procedure.
- (b) The member seeking review shall send to the Chief Executive a written request for review setting out the reasons why he contends that the decision was not in accordance with the Audit Rules or the Byelaws accompanied by copies of any documents on which he relies. This must be received by the Chief Executive within 5 working days of any written notification of intent to request a review.
- (c) If the Official whose decision is questioned is the Chief Executive, then he shall send the request for review to the Chairman and references below in this review procedure to the Chief Executive shall be read as references to the Chairman.
- (d) The Chief Executive shall send a copy of the request for review to the Official.
- (e) If the Chief Executive considers that the request for review directly affects another member or members ("the member(s) affected"), he shall also send a copy of the request for review to the member(s) affected.
- (f) Within 10 working days of receipt of the request for review, or within such further time as the Chief Executive may allow, the Official (and any member(s) affected) shall send to the Chief Executive written statement(s) of response setting out his/their response(s) to the matters raised by the member seeking review accompanied by copies of any documents on which he/they rely. The Chief Executive will send the statement(s) of response to the member seeking review.
- (g) Within 10 working days of receipt of the statement(s) of response, or within such further time as the Chief Executive may allow, the member(s) seeking review may send to the Chief Executive a written statement of reply setting out his reply to the matters raised by the Official (and any member affected) accompanied by copies of any documents on which he relies. If received, the Chief Executive will forward the statement of reply to the Official (and to any member(s) affected).
- (h) After consideration of the request for review, the statement(s) of response and the statement of reply (if any) the Chief Executive may require the member seeking review, the Official and any member(s) affected to provide further information or documents relating to the matters raised.
- (i) When the Chief Executive considers that sufficient information and documents have been provided, he shall make a decision concerning the request for review.
- (j) If the Chief Executive decides that the decision by the Official was not in accordance with the Audit Rules or the Byelaws, he may implement any or all of the actions below:
- i. issue a ruling to that effect and authorise the circulation of that ruling to other members and to the Trade Press;
 - ii. withdraw any Bureau certificate already issued and issue a corrected certificate;
 - iii. require the member seeking review or any member affected to submit or resubmit any returns;
 - iv. direct that a reaudit take place by the member's Approved Circulation Auditor or ABC.
- (k) The decision by the Chief Executive shall not be carried into effect if within 5 working days of being notified of the decision the member seeking review or any member(s) affected gives notice to the Chief Executive that he requires a review panel to be convened to reconsider the request for review.
- (l) If the Chief Executive receives such a notice he shall refer the request for review for reconsideration to a panel consisting of 3 members of the Council of the Bureau (not connected with the member seeking review or any member affected) selected by the Chairman ("the review panel").
- (m) If they consider it appropriate, before reconsidering the request for review, the review panel may invite the member seeking review, the Official and any member(s) affected to make further written representations, and may call on appropriate experts. The meeting of the panel must take place within 15 working days of ABC receiving the request for review.
- (n) The review panel may confirm, reverse or vary the decision of the Chief Executive.
- (o) The decision of the review panel shall be of no effect unless and until it has been reviewed and approved by the Council. The review by the Council must take place within 10 working days of the panel's decision.
- (p) Until the completion of the review procedure, the contents of the request for review, the statement(s) of response and reply and any other information and documents which have been provided shall be confidential to the member seeking review, the Bureau and any member affected and neither the member seeking review nor any member(s) affected shall institute any legal proceedings against any person in relation to any matters referred to therein. If the review concludes that the decision by an Official of the Bureau is in accordance with the Audit Rules or the Byelaws, then both the member seeking review and ABC must keep all matters relating to the review confidential, including all correspondence and the fact that a review was even requested. However if the Chief Executive decides special circumstances require it, he may issue a ruling that the review has not been upheld and authorise the circulation of that ruling to other members and the Trade Press.
- (q) Matters raised under this Review Procedure cannot also be subject to reviews or appeals under the Complaints Procedure in section 4 above.

6. PUBLICITY RULES

Introduction

This section contains fundamental rules on how members may promote their links with ABC and in particular their circulation/distribution/attendance data. The intention is to avoid users of the data being misled because of how the data is presented.

Applicant

- (a) An applicant for membership of the Bureau may not make any reference to Bureau membership until the Bureau has notified the applicant that the application has been approved. The penalty for non-compliance may be a six-month delay to the application approval.
- (b) After receiving the formal notification of acceptance, the member may only state Bureau application approved and the month of application approval. No other reference to the Bureau may be published or used in publicity statements, and the statement may not be used alongside unaudited figures or other circulation / distribution / attendance data.

After certification**Media Packs/Rate Cards**

- (c) A member must include a copy of the latest Bureau certificate with all Advertising Rate Cards and Media Packs distributed OR, if approved by the Bureau, a member may include the data on the Advertising Rate Cards providing all certified data and the audit period are reported.
- (d) If media packs/rate cards are on a website there must be a hypertext link to the ABC website and ABC must have access to the website without payment.

Use of Bureau data

- (e) Any figures sourced to the Bureau quoted on any material must include the latest average total net circulation / distribution / attendance figures certified by the Bureau (as soon as practical) and the period of certification must be stated. Note:
 - i. for this purpose "material" includes any media in which figures are published and includes editorials, sales presentations and websites.
 - ii. if there are two Certificates with the same end date e.g. 12 months to 31 December 2002 and 6 months to 31 December 2002, then the mandatory Certificate will be deemed the latest.
 - iii. single issue and 3-month Certificates co-exist with the latest 6 or 12-month certificate. Therefore if the single issue or 3-month figure is quoted it must always be accompanied by the total average net circulation figure for the most recent 6 or 12-month certificate issued.
- (f) The term "readership" or "reader" may not be used in conjunction with any Bureau data.
- (g) All published data must be sourced and presented in such a way that it is clear which information has and which has not been certified by the Bureau.
- (h) Non-Bureau data must be sourced as "Publisher's Statement" or other appropriate source and must be accompanied by the latest average total net circulation / distribution / attendance figures certified by the Bureau and the period of certification must be stated, in accordance with Byelaw 6e.
- (i) Publicity statements or claims relating to data certified by the Bureau must be factually correct. Where publicity statements or claims are contradicted by ABC data but the member uses data from another source to support those statements or claims, then that alternative source must be clearly identified.

Use of the Bureau logos

- (j) The Bureau logos must not be positioned in such a way as to imply non-audited data has been audited.

- (k) The Bureau logos may not be used in relation to a registered title until receipt of the first certificate.
- (l) A member may not publish a claim of Bureau membership or the Bureau logos in a Supplement, unless that Supplement is either bound into the entire print run of an issue of a registered title or is separately certified.
- (m) A member may not publish a claim of Bureau membership or the Bureau logos in a title not registered with the Bureau.

Comparisons

- (n) Where a comparison is made with the Bureau certified figure(s) of (another) title(s), the audit periods must be shown and the same audit periods must be compared if available. In every case the figures must be the latest certified by the Bureau.
- (o) Comparisons must be on a like for like basis.
- (p) If a member compares data extracted from the certified circulation analysis, it must be clear that data has been extracted.
- (q) If the publishing frequencies of the publications being compared are different, the comparison must include their respective frequencies.
- (r) If the comparison is between a publication that has primarily paid circulation and one that has primarily free circulation, a fair and clear distinction between the respective types of circulation must be shown.
- (s) A member may not compare unaudited data with ABC/VFD data.
- (t) A member may not compare data for an unaudited title with ABC/VFD data.
- (u) A member may not compare a single-issue audit figure with an average net circulation figure.

Implied involvement of ABC

- (v) Statements used in publicity material must not imply the involvement of the Bureau or its rules and procedures in any way unless such statements have been certified by the Bureau.
- (w) A member may not alter an ABC advertisement, nor publish an advertisement, which purports to be from or authorised by the Bureau.

Concurrent release

- (x) A member with title(s) in a concurrent release of ABC data may not breach the release date and time set by the Bureau.

Penalties

- (y) In cases where a member is found to have breached either one or more publicity rules set out in this Section 6 or one or more rules in the ABC rulebook for the relevant sector, the Head of Compliance:
 - i. may issue a ruling to that effect
 - ii. may authorise the circulation of that ruling to other members and/or to the Trade Press.
 - iii. will decide on the required method to correct the information in the marketplace

In cases where a member is found to have breached publicity rule/s on more than one occasion in a 12-month period, the Head of Compliance may, subject to the approval of the Chief Executive, decide to cancel or suspend temporarily the registration of the title/s concerned.

APPENDIX ONE - ABC BYELAWS [cont.]

7. AUTHORISATION AND PAYMENT OF FEES

- (a) Annual subscription and other fees shall be approved by the Council and are binding on all members. The payment of subscription and other fees should be made within 30 days of the invoice date.
- (b) If fees remain unpaid after 60 days of the invoice date the Bureau has the right to cancel the registration of the title to which the outstanding fees relate.
- (c) Annual subscriptions are not refundable.

8. AUDITS

- (a) All Bureau audits will be governed by the current Audit Rules in force for the particular membership sector.
- (b) Except where the Bureau conducts the audit, the circulation or distribution return form must be filed with the Bureau by an approved auditor who must be a 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), unless previously approved by the Bureau following application by the member setting out exceptional circumstances.
- (c) A letter of engagement between the member and the auditor must include the standard terms specified in the Audit Rules and should be filed with the Bureau prior to the commencement of the audit. Any member changing his auditor is required to submit details of the new audit firm to the Bureau for approval. The Bureau cannot process the return for certification until it holds the valid letter of engagement.
- (d) Where the audit is to be conducted by the Bureau, the respective duties and responsibilities of the Bureau and the member are detailed in a Terms of Audit letter.
- (e) ABC reserves the right to audit or inspect any return before issuing the certificate.
- (f) In the event that a return of net circulation / distribution / attendance is not submitted to the Bureau by the standard deadline for the registered audit period, the Bureau must implement the following standard procedure:-
 - i. a letter must be sent to the member requiring that the return be submitted and the penalty fee for late submission be paid within 10 working days of the date of the letter and invoice.
 - ii. if the member does not submit the return and pay the penalty fee by the due date, the Bureau has the right to cancel the registration of the title.
 - iii. a title may not be re-registered with the Bureau until 12 months from the date of the cancellation.
- (g) Audits for titles outside the UK or Republic of Ireland must be conducted by ABC staff auditors, unless otherwise agreed by ABC. All records required for audit purposes must be in English.

9. APPLICATION FOR MEMBERSHIP AND REGISTRATION

- (a) A non-member may apply to the Bureau for membership and for registration of any title. The applicant must complete a Membership Application Form and Permanent Information Form and submit or make available any other documentation which may be required for inspection by the Bureau. The fees for title registration and annual

subscription are not refundable and must be paid before the application can be approved by the Bureau.

- (b) A member may apply to register additional titles by completing a Permanent Information Form and submitting or making available any other documentation which may be required for inspection by the Bureau. The fees for title registration and annual subscription must be invoiced but need not have been paid before the application is approved by the Bureau.
- (c) If the Bureau is not able to issue the first circulation/distribution certificate within 12 months from the date of application the Bureau can cancel the title's registration.
- (d) The Bureau may approve an application to register a title prior to the publication of the launch issue provided that the requisite registration and annual subscription fees are paid in advance.

10. TRANSFER OF A TITLE TO ANOTHER MEMBER

The Bureau may cancel the registration of a title unless within 30 days of the transfer of a title to another member the following terms have been fulfilled:-

- i. the previous owner has notified the Bureau of the transfer. This requirement may be waived if the Bureau is satisfied that there are reasons why the previous owner is unable to notify the Bureau of the transfer.
- ii. all outstanding fees or subscription charges have been paid to the Bureau.
- iii. the new owner has completed a Permanent Information Form, agreed to maintain the title in continuous Bureau certification and paid the relevant subscription fee that is applicable for the appropriate period. The new owner is then required to comply with all the terms of Section 6 relating to publicity. The onus is on the new owner to ensure that the records specified by the Audit Rules for the membership category exist for the whole audit period and will be available for audit/inspection.

11. TRANSFER OF A TITLE TO A NON-MEMBER

- (a) Registration shall cease immediately upon the transfer of a title to a non-member.
- (b) The right to use a Bureau logo ceases at 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 9.
- (d) ABC can decide whether a short period audit must be undertaken in addition to the normal audit.
- (e) When an application has been approved, the publicity rules in Section 6 relating to an applicant will apply.

12. MERGER OF TITLES OR CHANGE IN THE NAME OF A TITLE

The Bureau may cancel the registration of a title unless within 30 days of the merger of two titles or a change in the name of a title the following terms have been fulfilled:-

- i. the merger or change in name has been notified to the Bureau on a Permanent Information Form.
- ii. the member has agreed to maintain the title in continuous Bureau certification and paid the subscription fee applicable for the time being.

13. RE-LAUNCH INVOLVING MATERIAL CHANGE TO A TITLE

In cases where there is a re-launch involving a material change to a registered title during an audit period, the Bureau may permit the member to undertake up to two consecutive short period audits of the title in addition to the normal audit. For the purposes of this paragraph, a material change means a change in:

- i. geographical distribution;
- ii. frequency;
- iii. circulation/distribution size by more than 50% of the latest Bureau certified figure;
- iv. target market.

14. RESIGNATION

- (a) The Bureau will allow a member to resign a title from registration provided that the following terms have been fulfilled:
 - i. the member notifies the ABC of the resignation before the expiry date of the current certificate
 - ii. there is no complaint in process against the title
 - iii. the audit of the current certificate has been completed
 - iv. there is no inspection outstanding against the title

If any of these terms are not fulfilled, the Bureau will cancel the registration of the title.
- (b) Where the terms in 14 (a) have been fulfilled and a member has resigned a title from registration, the member ceases to have the right to use the ABC logo on any material connected with the title from the date when the resignation has been accepted by the Bureau, but is entitled to use the current certificate until its expiry date.

15. RE-REGISTRATION

- (a) A member or non-member may apply at any time for a title to be re-admitted for registration provided that all outstanding Bureau invoices have been paid and any certificate issued prior to resignation required no further inspection or audit.
- (b) If the Bureau has cancelled registration of a title in accordance with the Byelaws, the title cannot be re-registered until 12 months from the date of the cancellation and cannot apply for a retrospective audit.
- (c) The Bureau may impose such prior conditions as to reports, inspections and otherwise as it thinks fit and the Council shall re-admit such member upon compliance with such conditions to the satisfaction of the Bureau.
- (d) Any member who re-registers a title with the Bureau following cancellation for non-payment of fees must pay the monies previously outstanding before the Bureau can accept the registration. Payment of the audit fee prior to audit shall also be required by the Bureau.
- (e) In cases where the same media owner re-registers a title for certification, the first audit must be undertaken within 6 months of the application being approved.

16. COPYRIGHT OF CERTIFICATE AND BUREAU DATA

The copyright of the Bureau Circulation Certificate of a Title rests jointly with the owner of the title and the Bureau. The Bureau shall

be free to use and publish the information provided to it by a member without restriction. The Bureau will provide copies of circulation certificates to all enquirers.

17. NOTICES AND COMMUNICATIONS

Every communication or notice given under these Byelaws (including under the Complaints Procedure) shall be served in a manner consistent with the Articles of Association. In particular, any such communication or notice communication addressed to the Bureau shall be served either personally by leaving the communication or notice at the Bureau's registered office during working hours at Saxon House, 211 High Street, Berkhamsted, Herts HP4 1AD or by sending it through the post in a first class prepaid letter to that address. A communication or notice to be given by the Bureau shall be served either personally on the member by leaving the communication or notice at its address as appearing on the Register of Members or by sending it through the post in a prepaid letter to such address. Any member described in the Register of Members by an address not within the United Kingdom who shall have supplied the Bureau with an address within the United Kingdom shall be entitled to have communications and notices served upon him at such address either by personal delivery or by postal delivery. Any communication or notice served personally shall be treated as served on the day of service. Any communication or notice, if sent by first class post, shall be deemed to have been served on the day following that on which the letter containing the same is put into the post, and in proving such service it shall be sufficient to prove that the letter containing the communication or notice was properly addressed and posted as a prepaid letter.

APPENDIX TWO - MARKET SECTOR CLASSIFICATIONS WITH ANNUAL REPORTING CYCLES

Market Sector	Mandatory Reporting Period	Market Sector	Mandatory Reporting Period
Accountancy	June	Education	June
Adhesives and Sealants	December	Electrical Appliances	June
Advertising	June	Electrical Industry	December
Aeronautical	December	Electronics	December
Agriculture & Farming	June	Energy	December
Amusement Caterers, Showmen & Market Traders	June	Engineering – Capacity	December
Architecture	June	Engineering – Design	December
Audio-Visual	June	Engineering – General	December
Automation and Industrial Systems	December	Engineering - Metalworking and Machinery	December
Bakers and Bakers' Supplies	December	Engineering - Works & Maintenance	December
Banking	June	Environment	June
Boating, Yachting & Nautical	June	Estate & Estate Management	June
Book Trade	December	Expatriates	June
Boot & Shoe Trade	June	Exports	December
Building	June	Factories	December
Business Management	June	Fashion & Clothing	June
Business, Finance, Politics & Current Affairs	June	Finance & Investment	June
Camping & Caravanning	June	Finishing	December
Catering	June	Fire	June
Ceramics	December	Fish Selling	June
Chemical Engineering	June	Fishing – Commercial	June
Chemical Industry	December	Flooring	June
Chemistry & Chemicals	June	Flower & Fruit Trade	June
Church & School Equipment	December	Food & Canning	December
Cinema, Entertainment, Film & Theatre	June	Food & Drink	June
Civil Service & Diplomatic	June	Footwear	December
Cleaning	December	Forecourt Retail	June
Coal	December	Framing	June
Commerce & Trading	December	Freight	December
Commodities	December	Furnishings	December
Communications	December	Garden Supplies, Equipment & Centres	June
Communications Directories	December	Gardening & Plants	June
Computers	December	Gas	December
Computers & Computer Games	December	General Interest	June
Confectionery	June	Gifts	June
Conferences & Exhibitions	June	Glass	December
Converting	December	Grain, Seed & Feeding Stuffs Trade	December
County, Town & Local Interest	June	Greeting Cards	June
Dairy & Milk Industries	December	Grocery Trade	June
Defence	December	Hairdressing & Beauty	June
Dentistry	June	Hardware & Ironmongery Trades	December
Design	June	Health	June
Diesel	December	Heating, Ventilating & Air Conditioning	December
Diplomatic & International Affairs	June	Hiring Plant & Equipment	June
Disabled	June	Horticultural	June
Distribution	December	Hospitals	June
Do-It-Yourself	June	Housewares	June

APPENDIX TWO - MARKET SECTOR CLASSIFICATIONS WITH ANNUAL REPORTING CYCLES

[cont.]

Market Sector	Mandatory Reporting Period	Market Sector	Mandatory Reporting Period
Industrial Development	December	Public Sector & Local Government	June
Industrial Distribution	December	Public Works, Construction & Civil Engineering	June
Industrial Services	December	Publishing	December
Infoterial	June	Purchasing	December
Insurance	June	Radio & Television	June
Jewellery, Watch & Clock Trade	December	Railways	December
Journalism & Publishing	June	Refrigeration	December
Labelling	December	Retailing	June
Landscaping	June	Retirement	June
Laundry	June	Royalty	June
Leather Trade	December	Safety & Accident Prevention	December
Legal	June	Sciences	December
Leisure	June	Security & Crime Prevention	June
Library Journals	June	Sewing & Clothing Machinery	December
Marketing	June	Shipping & Marine	December
Materials Handling	December	Shopfitting & Display	June
Meat Trade	December	Social Services & Welfare	June
Medical	June	Societies & Organisations	June
Metal Industries	December	Soft Drinks	December
Mining & Quarrying	December	Sports & Leisure Trade	June
Motor Trade	June	Staff Journals	December
Motorcycles & Motorcycling	June	Stationery Trade	June
Motoring	June	Superstores	June
Music	June	Surveying	June
Music, Musical Instruments & Recorded Music	June	Tableware	June
Newsagents	June	Tailoring	June
Nucleonics	June	Technical Information Services	June
Nursing	June	Telecommunications	December
Oil & Petroleum	December	Television, Video & Radio	June
Opticians	June	Textiles	December
Packaging & Bottling	December	Timber, Forestry & Woodworking	December
Paints & Varnishes	December	Tobacco	December
Paper	December	Toilet Goods	December
Perambulators & Nursery Goods	June	Town Planning	June
Perfumery & Cosmetics	December	Toys	June
Personnel Management	June	Trade Unions	June
Pet Trade	June	Training	June
Pharmaceutical	December	Trains & Railways	December
Photography	June	Transport	December
Plant & Construction Equipment	June	Travel	June
Plastics	December	Travel & Holidays	June
Plumbing	June	Vending	June
Police Service	June	Veterinary	June
Ports, Terminals & Dredging	December	Waste Reclamation & Salvage	December
Poultry	June	Water	December
Printing	December	Wine & Spirit Trade	June
Production Control	December		

APPENDIX THREE - ABC GEOGRAPHIC REGIONS FOR REPORTING PURPOSES

Regions of the UK - Summary

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

Counties of the UK within regions

East Anglia	Cambridgeshire Norfolk Suffolk	South West	Channel Islands Cornwall Devon Dorset Gloucestershire Isles of Scilly Somerset Wiltshire
East Midlands	Derbyshire Leicestershire Lincolnshire Northamptonshire Nottinghamshire	Yorkshire	East Yorkshire North Yorkshire South Yorkshire West Yorkshire
London		Northern Ireland	Antrim Armagh Down Fermanagh Londonderry Tyrone
Midlands	Hereford & Worcester Shropshire Staffordshire Warwickshire West Midlands	Scotland	Borders Central Dumfries & Galloway Fife Grampian Highlands & Islands Lothian Strathclyde Tayside
North West	Cheshire Isle of Man Lancashire Merseyside	Wales	Clwyd Dyfed Gwent Gwynedd Mid Glamorgan Powys South Glamorgan West Glamorgan
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		

Countries of the World by ABC Region

The Analysis of Countries of the World by ABC Region will be found in the last three pages of the ABC return. A detailed list of the countries of the world can also be obtained from the ABC website www.abc.org.uk

Converting Post Codes on Mailing lists to ABC Geographical Regions

For publishers completing a Geographical Analysis showing UK Counties or UK Regions, copies need to be claimed according to ABC regions. The following notes provide guidance on analysing your mailing list and translating postcodes on that list to ABC regions. You will need to follow two stages, firstly to convert postcode to Royal Mail County name and then to convert Royal Mail County Name to ABC Format.

1. Post Code to Royal Mail County Name. This can be done using a Royal Mail product called 'Post Town Gazetteer', this lists outward postcode (first half of the postcode) against Royal Mail County name (plus some additional data). It is important to ensure that you have an up to date version of this file, as postcodes will change over time. A Post Town Gazetteer can be purchased via Royal Mails website. www.royalmail.com <<http://www.royalmail.com>>
2. Royal Mail County Name to ABC Format. This can be done using the ABC County conversion table shown below. This lists the Royal Mail County name (from the file above) against the ABC County name and ABC Region name.

ABC COUNTY CONVERSION TABLE

Royal Mail County Name	ABC County	ABC Region	Royal Mail County Name	ABC County	ABC Region
ABERDEENSHIRE	GRAMPIAN	SCOTLAND	ESSEX	ESSEX	SOUTH EAST
ANGUS	TAYSIDE	SCOTLAND	FIFE	FIFE	SCOTLAND
ARGYLL	STRATHCLYDE	SCOTLAND	GLOUCESTERSHIRE	GLOUCESTERSHIRE	SOUTH WEST
AVON	SOMERSET	SOUTH WEST	GWENT	GWENT	WALES
AYRSHIRE	STRATHCLYDE	SCOTLAND	GWYNEDD	GWYNEDD	WALES
BANFFSHIRE	GRAMPIAN	SCOTLAND	HAMPSHIRE	HAMPSHIRE	SOUTH EAST
BEDFORDSHIRE	BEDFORDSHIRE	SOUTH EAST	HEREFORDSHIRE	HEREFORD & WORCESTER	MIDLANDS
BERKSHIRE	BERKSHIRE	SOUTH EAST	HERTFORDSHIRE	HERTFORDSHIRE	SOUTH EAST
BERWICKSHIRE	BORDERS	SCOTLAND	INVERNESS-SHIRE	HIGHLAND	SCOTLAND
BUCKINGHAMSHIRE	BUCKINGHAMSHIRE	SOUTH EAST	ISLE OF ARRAN	STRATHCLYDE	SCOTLAND
CAITHNESS	HIGHLAND	SCOTLAND	ISLE OF BARRA	STRATHCLYDE	SCOTLAND
CAMBRIDGESHIRE	CAMBRIDGESHIRE	EAST ANGLIA	ISLE OF BENBECULA	STRATHCLYDE	SCOTLAND
CHANNEL ISLES	CHANNEL ISLANDS	SOUTH WEST	ISLE OF BUTE	STRATHCLYDE	SCOTLAND
CHESHIRE	CHESHIRE	NORTH WEST	ISLE OF CANNA	HIGHLAND	SCOTLAND
CLACKMANNANSHIRE	CENTRAL	SCOTLAND	ISLE OF COLL	HIGHLAND	SCOTLAND
CLEVELAND	CLEVELAND	NORTHERN	ISLE OF COLONSAY	STRATHCLYDE	SCOTLAND
CLWYD	CLWYD	WALES	ISLE OF CUMBRAE	STRATHCLYDE	SCOTLAND
CORNWALL	CORNWALL	SOUTH WEST	ISLE OF EIGG	HIGHLAND	SCOTLAND
COUNTY ANTRIM	ANTRIM	NORTHERN IRELAND	ISLE OF GIGHA	HIGHLAND	SCOTLAND
			ISLE OF HARRIS	HIGHLAND	SCOTLAND
COUNTY ARMAGH	ARMAGH	NORTHERN IRELAND	ISLE OF IONA	STRATHCLYDE	SCOTLAND
			ISLE OF ISLAY	STRATHCLYDE	SCOTLAND
COUNTY DOWN	DOWN	NORTHERN IRELAND	ISLE OF JURA	STRATHCLYDE	SCOTLAND
			ISLE OF LEWIS	STRATHCLYDE	SCOTLAND
COUNTY DURHAM	DURHAM	NORTHERN	ISLE OF MAN	ISLE OF MAN	NORTH WEST
COUNTY FERMANAGH	FERMANAGH	NORTHERN IRELAND	ISLE OF MULL	STRATHCLYDE	SCOTLAND
			ISLE OF NORTH UIST	STRATHCLYDE	SCOTLAND
COUNTY LONDONDERRY	LONDONDERRY	NORTHERN IRELAND	ISLE OF RUM	HIGHLAND	SCOTLAND
			ISLE OF SCALPAY	STRATHCLYDE	SCOTLAND
COUNTY TYRONE	TYRONE	NORTHERN IRELAND	ISLE OF SKYE	HIGHLAND	SCOTLAND
			ISLE OF SOUTH UIST	STRATHCLYDE	SCOTLAND
CUMBRIA	CUMBRIA	NORTHERN	ISLE OF TIRREE	STRATHCLYDE	SCOTLAND
DERBYSHIRE	DERBYSHIRE	EAST MIDLANDS	ISLE OF WIGHT	ISLE OF WIGHT	SOUTH EAST
			ISLES OF SCILLY	ISLES OF SCILLY	SOUTH WEST
DEVON	DEVON	SOUTH WEST	KENT	KENT	SOUTH EAST
DORSET	DORSET	SOUTH WEST	KINCARDINESHIRE	GRAMPIAN	SCOTLAND
DUMFRIESSHIRE	DUMFRIES & GALLOWAY	SCOTLAND	KINROSS-SHIRE	FIFE	SCOTLAND
DUNBARTONSHIRE	STRATHCLYDE	SCOTLAND	KIRKCUDBRIGHTSHIRE	GRAMPIAN	SCOTLAND
DYFED	DYFED	WALES	LANARKSHIRE	STRATHCLYDE	SCOTLAND
EAST LOTHIAN	LOTHIANS	SCOTLAND	LANCASHIRE	LANCASHIRE	NORTH WEST
EAST SUSSEX	EAST SUSSEX	SOUTH EAST	LEICESTERSHIRE	LEICESTERSHIRE	EAST MIDLANDS

ABC COUNTY CONVERSION TABLE

Royal Mail County Name	ABC County	ABC Region	Royal Mail County Name	ABC County	ABC Region
LINCOLNSHIRE	LINCOLNSHIRE	EAST MIDLANDS	WEST GLAMORGAN	WEST GLAMORGAN	WALES
			WEST Lothian	Lothians	SCOTLAND
LONDON	LONDON	LONDON	WEST MIDLANDS	WEST MIDLANDS	MIDLANDS
MERSEYSIDE	MERSEYSIDE	NORTH WEST	WEST SUSSEX	WEST SUSSEX	SOUTH EAST
MID GLAMORGAN	MID GLAMORGAN	WALES	WEST YORKSHIRE	WEST YORKSHIRE	YORKSHIRE
MIDDLESEX	MIDDLESEX	SOUTH EAST	WESTERN ISLES	HIGHLAND	SCOTLAND
MIDLothian	Lothians	SCOTLAND	Wigtownshire	DUMFRIES & GALLOWAY	SCOTLAND
MORAYSHIRE	HIGHLAND	SCOTLAND	WILTSHIRE	WILTSHIRE	SOUTH WEST
NAIRNSHIRE	HIGHLAND	SCOTLAND	WORCESTERSHIRE	HEREFORD & WORCESTER	MIDLANDS
NORFOLK	NORFOLK	EAST ANGLIA			
NORTH HUMBERSIDE	EAST YORKSHIRE	YORKSHIRE			
NORTH YORKSHIRE	NORTH YORKSHIRE	YORKSHIRE			
NORTHAMPTONSHIRE	NORTHAMPTONSHIRE	EAST MIDLANDS			
NORTHUMBERLAND	NORTHUMBERLAND	NORTHERN			
NOTTINGHAMSHIRE	NOTTINGHAMSHIRE	EAST MIDLANDS			
ORKNEY	HIGHLAND	SCOTLAND			
OXFORDSHIRE	OXFORDSHIRE	SOUTH EAST			
PEEBLESSHIRE	BORDERS	SCOTLAND			
PERTSHIRE	CENTRAL	SCOTLAND			
POWYS	POWYS	WALES			
RENFREWSHIRE	STRATHCLYDE	SCOTLAND			
ROSS-SHIRE	HIGHLAND	SCOTLAND			
ROXBURGHSHIRE	BORDERS	SCOTLAND			
SALOP	SHROPSHIRE	MIDLANDS			
SELKIRKSHIRE	BORDERS	SCOTLAND			
SHETLAND	HIGHLAND	SCOTLAND			
SHETLAND ISLANDS	HIGHLAND	SCOTLAND			
SHROPSHIRE	SHROPSHIRE	MIDLANDS			
SOMERSET	SOMERSET	SOUTH WEST			
SOUTH GLAMORGAN	SOUTH GLAMORGAN	WALES			
SOUTH HUMBERSIDE	LINCOLNSHIRE	EAST MIDLANDS			
SOUTH YORKSHIRE	SOUTH YORKSHIRE	YORKSHIRE			
STAFFORDSHIRE	STAFFORDSHIRE	MIDLANDS			
STIRLINGSHIRE	CENTRAL	SCOTLAND			
SUFFOLK	SUFFOLK	EAST ANGLIA			
SURREY	SURREY	SOUTH EAST			
SUTHERLAND	HIGHLAND	SCOTLAND			
TYNE AND WEAR	TYNE & WEAR	NORTHERN			
WARWICKSHIRE	WARWICKSHIRE	MIDLANDS			

RULE BOOK UPDATES

ABC will periodically supply you with updates to this rule book. Please ensure you are always working to the latest rules.



Audit Bureau of Circulations Ltd
Saxon House 211 High Street
Berkhamsted Herts HP4 1AD

Tel 01442 870800
Fax 01442 200703

abcpost@abc.org.uk
www.abc.org.uk

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