

Responsible Mail reference guidelines v1.1

Reference guidelines for Responsible Mail

This reference guide will provide you with an understanding of what key attributes are needed for the Responsible Mail specification so you can ensure your mail complies with the Responsible Mail requirements. The details in this reference guide are taken from the Royal Mail's user guide which must be referred to when preparing your letters.

The full Responsible Mail specification can be found in the relevant up to date Royal Mail User Guide and Royal Mails schedules 6 and 7¹. For additional help, please ask your account manager. The Royal Mails full Responsible Mail Specification and this reference guideline are in addition to the full Royal Mail User Guide which should be used to ensure your mail complies with all guidelines, tariffs and presentation requirements.

1. Background

This reference guideline sets out the terms on which, Royal Mail agree that you may post Responsible Mail. There are two levels of Responsible Mail available - 'entry level' and 'intermediate level', the criteria for which must be satisfied in full in each case to qualify for the relevant Responsible Mail postage rates. Responsible Mail is a six working day delivery service performed Monday to Saturday. Royal Mail aim to deliver our customers mailing items on the first working day after handover and acceptance by them, from Citipost Mail.

2. Definitions and interpretation

This section explains the meaning of some words and phrases in this reference guide, defined below:

Words / phrases	Definition
ASBOF	The Advertising Standards Board of Finance or any successor body of that body from time to time
ASBOF levy	The voluntary levy on advertising mail payable to ASBOF
Entry level Responsible Mail	Mailing items that meet the requirements for entry level Responsible Mail but do not meet the requirements for intermediate level Responsible Mail, in each case as set out in this reference guideline and Royal Mail's full Schedule 7 document
Intermediate level Responsible Mail	Mailing items that meet the requirements for Responsible Mail entry level Responsible Mail and the additional requirements for intermediate level Responsible Mail, in each case as set out in this reference guideline and Royal Mail's full Schedule 7 document



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Responsible Mail	Mailing items which are declared by you as Responsible Mail and which meet the criteria for entry level Responsible Mail and/or intermediate level Responsible Mail as set out in this reference guide and Royal Mail's full Schedule 7 document
Responsible Mail discounts	The reductions on the postage payable on a mailing item which we apply to Responsible Mail, as published on the Royal Mail website and as amended from time to time under the terms of the Royal Mail access contracts for the amendment of access charges
Responsible Mail posting	A UCID ² posting containing only all entry level Responsible Mail or all Intermediate Level Responsible Mail

3. Mail piece specifications for Responsible Mail

The specifications and requirements set out in this reference guideline are in addition to the specifications and requirements contained elsewhere in the Royal Mail User Guide in reference to Royal Mail's presentation and tariff guidelines. Customers must ensure they comply with all Royal Mail guidelines in reference to their mail items.

However to specifically qualify as Responsible Mail the customer must ensure:

That all mailing items:

- Consist of a largely uniform message to all addressees of the Responsible Mail posting.
- Have the purpose of promoting the sale or use of products or services, or to encourage contribution to or support of a cause.
- Are either a letter or a large letter.
- In the case of entry level Responsible Mail, meet the requirements of section 4 and 5 below with regards to data and sourcing and recyclability.
- In the case of intermediate level Responsible Mail, meet the requirements of section 4 and 5 below with regards to data and sourcing and recyclability.
- Meet the requirements for seed mailing items set out in section 6 below.

That each Responsible Mail posting:

- Contains a minimum 4000 mailing items in a daily posting.
- Is assigned a UCID pertaining to the originating customer or customer entity, to be used in line with this contract. (For clarity, you may not mix mailing items with different mailing pack designs in containers assigned to a single UCID)².
- Is presented in containers which all contain exclusively either entry level Responsible Mail or intermediate level Responsible Mail mailing items, as the case may be.



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4. Data specifications for Responsible Mail

There are very specific guidelines around data condition, processes and management with regards to the requirements to meet the conditions of Responsible Mail. Please refer to each of the points below and ensure your mail complies with these guidelines.

For entry level Responsible mail you must comply with the following:

- Where data is not from a consent based file, you must have a documented procedure in place that is used to suppress customer and prospect data against the Mailing Preference Service (MPS) file, including MPS deceased, and each address list used by you to prepare each Responsible Mail posting must be run against these files not more than 30 days before the mailing items that use the data is delivered to the recipient (and for the purpose of this specification all references to the term 'delivered' shall mean "posted").
- Keep and maintain an internal suppression file to ensure that opt-outs are properly logged, and each Responsible Mail posting must be run against these files 30 days or less before the mailing items that use the data are handed over to Royal Mail.
- Ensure that at least 90 per cent of mailing items are fully and accurately addressed and postcoded in line with Royal Mails Postcode Address File (PAF®).

For intermediate level Responsible mail you must **also** comply with the following:

- Not more than 30 days before you hand over Responsible Mail to us, run your data against one or more commercially available and up to date deceased and goneaway file(s) (such as our 'Universal Suppression Service') and commercially available business goneaway file(s) (such as Royal Mails 'Business Changes File').
- Within three months of receipt by you, remove from your mailing lists the names and addresses for:
 - Mailing items returned to you as deceased or "goneaway" from any previous mailings.
 - Opt-outs returned to you from any previous mailings.
- Ensure that at least 95 per cent of mailing items are fully and accurately addressed and postcoded in line with our Postcode Address File (PAF®).

5. Sourcing and recyclability specifications for Responsible Mail

All Responsible Mail must comply with the following sourcing and recyclability specifications:

For entry level Responsible Mail you must comply with the following:

- All paper (envelope and contents) used must:



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- Contain recycled fibre from recovered waste paper and/or virgin fibre sourced from a forest certification scheme approved by Central Point of Expertise on Timber Procurement (CPET).
- Be produced using non-chlorinating bleaching methods, specifically, Elemental Chlorine Free (ECF), Processed Chlorine Free (PCF) and Total Chlorine Free (TCF) including oxidizing and reductive bleaching.
- All paper elements including window and padded envelopes, must be recyclable.
- Each envelope or pack outer must contain a statement and/or logo on how to recycle the mailing item.
- All paper products used in the production of the mailing items must be sourced from paper mills that operate an environmental management system which accords with the standards of BS EN ISO 14001 and/or Eco-Management and Audit Scheme (EP4AS).
- Printers, mailing houses or in-house facilities used to produce a mailing item must have a documented commitment to environmental management and a baseline for environmental performance which identifies and ensures compliance with environmental legislation and develops environmental objectives, targets and programmes.
- Each mailing item must have less than 90 per cent ink coverage.
- None of the following may be present in any mailing item:
 - Polywrap envelopes
 - Laminate finishes

For intermediate level Responsible mail you must **also** comply with the following:

- Ensure that all printers and mailing houses or in-house mailing facilities used to produce Responsible Mail maintain environmental management systems which accord with the standards of BS EN ISO 14001.
- Ensure that neither of the following is present in any mailing item:
 - Ultraviolet varnish finishes
 - Rubber based adhesives

6. Seed Mailing Items

For each Responsible Mail posting you (the customer) must provide both Royal Mail and Citipost Mail with a sample of each mailing pack design to verify conformance to the content requirement of the Responsible Mail specification. This can be provided by including us as a seed to the posting. Royal Mail and Citipost Mail retain each of the items received and use them for reference during the Royal Mail Responsible Mail audit process (which is detailed further in section 8 of this reference guideline). You (the customer) are required to provide samples or seeds that are exact reproductions of the mailing items posted in terms of both envelopes used and contents enclosed for each Responsible Mail posting. The samples or seeds must be:



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- Posted to Royal Mail and Citipost Mail at the below nominated addresses, or such other location(s) as may be notified from time to time:
 - RM Sample
Royal Mail Wholesale (immediately followed by your UCID²)
PO Box 72662
London
EW1 9LD
 - Citipost Mail
Unit 1 Langham Park
Berristow Lane
South Normanton
Derbyshire
DE55 2JL
- Included/handed over on the same date as the Responsible Mail posting is posted.

7. Failure to meet the specifications

If you (the customer) hand over a Responsible Mail posting and Royal Mail establish to their reasonable satisfaction that you have not complied with all or any of your obligations under their Schedule 7 document or that mailing items in your Responsible Mail posting do not meet the Responsible Mail specifications, Royal Mail may perform one or any of the following actions:

- Reject the Responsible Mail posting.
- Allow Citipost Mail to hand over the Responsible Mail posting on your behalf but remove the Responsible Mail discount from that Responsible Mail posting and charge you (the customer) the applicable access charges for the access service specification that those mailing items meet.
- Suspend or terminate your (the customers) right to post Responsible Mail under their Schedule 7 document, immediately on giving written notice to you or your carrier Citipost Mail.

8. Audit and non-compliance

Royal Mail must be reasonably satisfied at all times that you (the customer) can comply, and are complying, with the terms of their contract in relation to Responsible Mail including the terms of their Schedule 7 document. To satisfy them of your ability to comply and your continued compliance with those terms, you (the customer) agree, among other things, to do the following:

- Allow Royal Mail to carry out a compliance audit where necessary.
- Provide Royal Mail and Citipost Mail with seed mailing items or samples of the mailing packs.



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- Ensure your (the customers) UCID is present on the seed mail packs.

Royal Mail reserves the right to audit Responsible Mail postings with Citipost Mail, its originating customers and customer entities. Should Royal Mail audit Citipost Mail and subsequently you (the customers) mail we and you shall be expected to give all reasonable assistance with their audit process to show that the responsible mail guidelines, whether at entry level or intermediate level are/have complied with all Responsible Mail entry level or intermediate level guidelines accordingly. This may include giving Royal Mail access to Citipost Mails premises, staff, records and processes and subsequently the premises, staff, records and processes of our originating customers or customer entities where such access is reasonably required by Royal Mail for the purpose of their audits. If you require any further detail with reference to Royal Mail audits and non-compliance charges then please ask your Citipost Mail account manager, or refer to Royal Mails Schedule 7 document.

It is the responsibility of the original posting customer to ensure that all mailing items handed over to us as Responsible Mail meet the requirements of this reference guide and Royal Mail's access 7 Schedule.

9. Pricing

Only mailing items considered and accepted by Royal Mail as eligible for Responsible Mail will qualify for the Responsible Mail discount, either as entry level Responsible Mail or intermediate level Responsible Mail dependent upon which of those specifications the mailing items meet. Royal Mail reserves the right to change the Advertising Mail discount on at least ten weeks' prior written notice. Royal Mail publishes the Responsible Mail charges on the pricing page of their website, as amended from time to time. The charges for Responsible Mail as published include the Responsible Mail discount, for up to date pricing please consult your account manager.

10. Deduction of the ASBOF Levy

You (the customer) agree that Royal Mail may (so long as they are appointed to do so), collect the ASBOF levy on behalf of ASBOF on all direct mail mailing items presented as Advertising Mail under the terms of the contract. The ASBOF levy is voluntary. Royal Mail shall pass the entire value of the ASBOF Levy to ASBOF at the end of each quarter of the financial year. The value of the ASBOF levy shall be that as stated on the pricing page of the Royal Mail website, as changed from time to time. You (the customer) and Royal Mail agree that when you present mailing items as Advertising Mail with Responsible Mail, the ASBOF Levy will be applied only once and not across both access services.

You (the customer) acknowledge that Royal Mail are providing a collection service for the ASBOF levy only. If you (the customer) would like a refund of the ASBOF levy that you have paid, you must submit a written retrospective claim to ASBOF, on a quarterly or annual basis, to be sent to The



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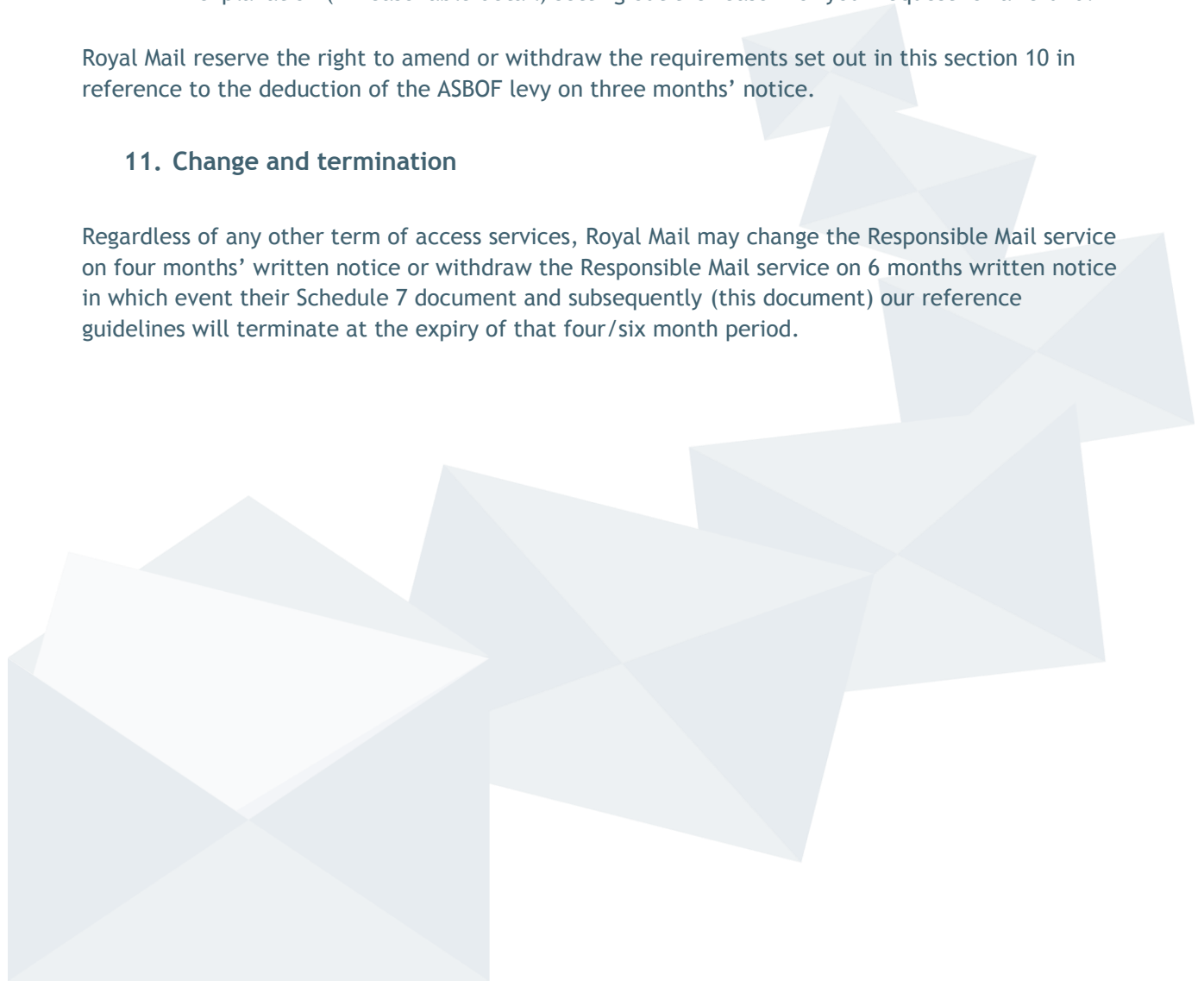
Treasurer, ASBOF, 5th Floor, 21 Berners Street, London, W1T 3LP (or such other address as may be advised from time to time), giving the following information:

- Evidence confirming that you have paid the ASBOF Levy, and confirmation of the amount paid.
- An explanation (in reasonable detail) setting out the reason for your request for a refund.

Royal Mail reserve the right to amend or withdraw the requirements set out in this section 10 in reference to the deduction of the ASBOF levy on three months' notice.

11. Change and termination

Regardless of any other term of access services, Royal Mail may change the Responsible Mail service on four months' written notice or withdraw the Responsible Mail service on 6 months written notice in which event their Schedule 7 document and subsequently (this document) our reference guidelines will terminate at the expiry of that four/six month period.



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Direct Mail message content guidance list

The list of mailing examples below is indicative and for guidance only. Each request to post Responsible Mail and Advertising Mail must be considered individually on its own merits to determine whether it can be considered to qualify as Responsible Mail and/or Advertising Mail. All mailing items to qualify must be addressed and must comprise a largely uniform message with the purpose of promoting the sale or use of products or services, or to encourage contribution to or support of a cause.

The list is not absolute or exhaustive and it to be used as a helpful guide only*

Example	DM?	Why?
1	Yes	Promoting the sale or use of products or services
2	Yes	Encourage donation to a cause
3	Yes	Promoting the sale or use of products or services
4	Yes	Promoting the use of products or services
5	Yes	Promoting the sale or use of products or services
6	Yes	Promoting the sale or use of products or services. No obligation to send
7	Yes	Promoting product/services/cause
8	Yes	Promoting the sale of products
9	Yes	Promoting the sale or use of products or services
10	Yes	Promoting a cause or the sale or use of products or services. There is no obligation on the company or charity to send the publication
11	Yes	Promoting the sale of products/services



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Example	DM?	Why?
1 A company/bank sending a statement which includes a leaflet advertising insurance	No	Primary purpose is the statement (the ad/promotion is secondary and would not happen without the fulfilment)
2 Utility bill with advertising on back for other services	No	Primary purpose is the bill (the ad/promotion is secondary and would not happen without the fulfilment)
3 A company sending personalised documents containing a level of detail that is unique to the individual, with or without advertising material e.g. insurance policy	No	Message is not uniform as it is unique to the individual (promotional material is secondary)
4 Mailing customers with a uniform message informing them of a price increase	No	Purpose is the information on prices (this is not an ad/promotion)
5 A company sending a shareholder annual report	No	Purpose is providing information not promotion
6 Membership or subscription magazines/publications, with or without advertising	No	The recipient has requested it or is expecting it (the promotional material is secondary and would not happen without the fulfilment)
7 A company/charity informing their customers/members of a change to their bank details or their VAT rate	No	Purpose is providing information
8 Fulfilment of requested tickets/invitations (e.g. purchased by the customer for an event/holiday etc.)	No	Purpose is fulfilment/transaction, not promotion
9 A school/college/society newsletter or bulletin (publications), including alumni	No	Purpose is providing information not promotion
10 A wine mail order company sending wine ordered by a customer containing leaflets advertising other services from different companies	No	Purpose is fulfilment (ad/promotion secondly and would not happen without the fulfilment)
11 Mailings of a 'public duty' nature with or without advertising. Examples include swine flu, tax or car tax reminder, VAT change reminders, council refuse collection days, etc.	No	Purpose is the execution of a public service duty not promotion
12 Marketing lifestyle/consumer survey/product/service questionnaire which is specifically seeking to gather information on a range of products/services/habits for trend analysis/data collection purposes and is not looking to further promote products/services. E.g. electoral/census	No	Purpose is to seek information/data for data collection not promotion
13 An AGM mailing informing shareholders of the AGM meeting	No	It is a legal requirement under the Companies Act for shareholders to be notified of the AGM



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14	A company sending out a loyalty/membership card to a subscribed customer	No	The loyalty/membership card has been sent as fulfilment to conclude the service that the subscriber has already responded to and purchased
15	Local utility company explaining forthcoming changes to utility ownership. e.g. water company detailing changes to ownership and responsibility of sewage/water pipes	No	Purpose is to provide clarity of boundary ownership and responsibility
16	Political party mailings which have the aim of influencing the recipient's political view point or the way in which they may vote in an election.	No	There is no elasticity for this type of political mailing and the purpose is to influence a political view point
17	Prize draw letters informing customers that they have won a prize	No	Purpose is information. It is not selling a product or service nor does the message promote a cause

¹ For Downstream Access Services through Citipost Mail the full Responsible Mail specification is detailed in the Royal Mail User Guide and their Schedule 7 document. Please refer to both the 'User Guide for Condition 9 Access Services' and the 'Access Letters User Guide'. Customers must ensure their posting complies with the most up to date Royal Mail User Guides and schedules; this 'Citipost Mail Responsible mail reference guideline' is a reference guide only.

²UCID, are unique numbers created to identify each unique customer and posting location combination. If you need any further information on UCID numbers, please ask your account manager.

