

ANA ETHICS COMPLIANCE REPORT



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COMPLIANCE REPORT



REPORTING PERIOD:
2020



QUESTIONS? CONTACT:
ETHICS@ANA.NET

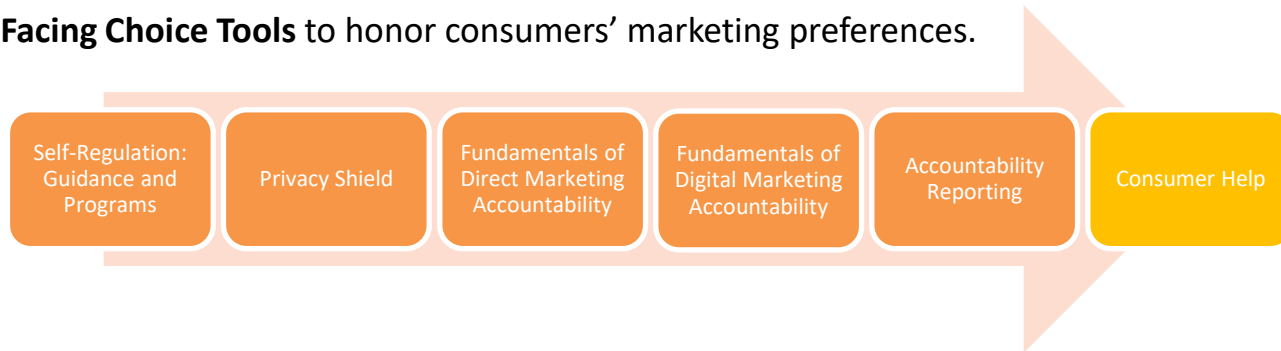
ANA Accountability

Best Practices & Compliance Resources Background

Accountability advances industry growth vital to our future. ANA is a leader in self-regulation through a series of programs designed to advance responsible marketing and advertising. Ethical marketing is good business.

Go beyond what is legal – do what is right. ANA is pleased to offer you a robust data accountability tool kit to ensure your marketing plans follow purposeful accountability standards and best practices while also boosting your brand reputation by providing enhanced transparency and trust in the marketing process.

- **Industry Standard Guidelines and Principles** set a high bar for responsible marketing yet are flexible enough to address ongoing challenges in technology, markets, consumer interest and new business practices;
- **Committees** to participate, knowledge-share and learn;
- **Compliance Resources** for all modes of marketing: direct mail, online advertising, email, text, voice; and
- **Consumer-Facing Choice Tools** to honor consumers' marketing preferences.



ANA Accountability: Key Compliance Findings

13,589 consumer inquiries processed by ANA Accountability staff in 2020:

- 6,790 general marketing ethical inquiries, and
- 6,799 online/Interest-based ad inquiries

Top consumer concerns: honoring consumers' marketing preferences in direct mail and online advertising.

- Consumers continue to seek more control in the amount and types of promotional mail and online display ads they receive.

Majority of consumers contact ANA by:

- Emailing and submitting online complaint forms for issues regarding online ads, and
- Calling for issues regarding direct marketing and ethics questions.

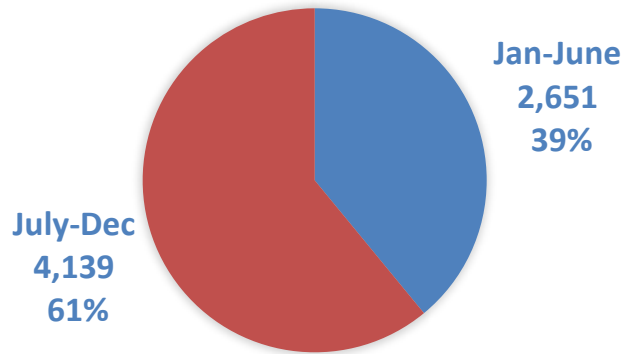
Key take-aways for businesses:

- Provide clear, honest terms and conditions for your advertising practices, and
- Provide choice in what types of marketing messages consumers receive and honor those choices.
- Key tip:** Privacy protection is vital. Make sure your privacy policy contains a clear point of contact for consumers to express their marketing preferences. Review your privacy policy periodically to update your terms and keep up-to-date with state, federal and global regulations and laws which may have specific notice requirements.

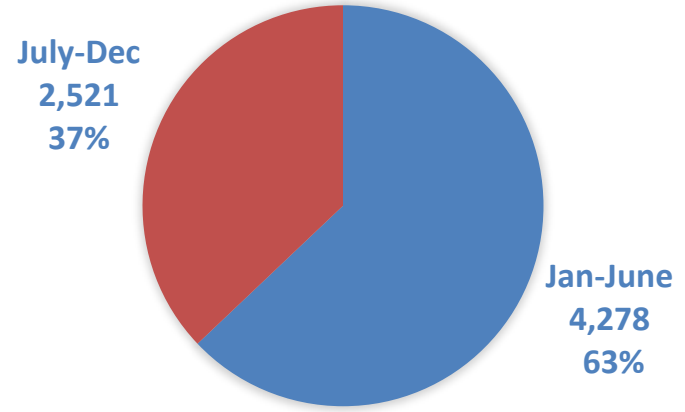


Total Inquiries Processed by ANA Accountability

GENERAL MARKETING ETHICS ISSUES



ONLINE AD INQUIRIES



- Processed nearly 13,600 inquiries for 2020.
- Evenly split to 6,800 inquiries for each half of the year but focus on inquiries changed.
- First half of the year: 63% online ad inquiries and second half of the year 61% marketing ethics inquiries.



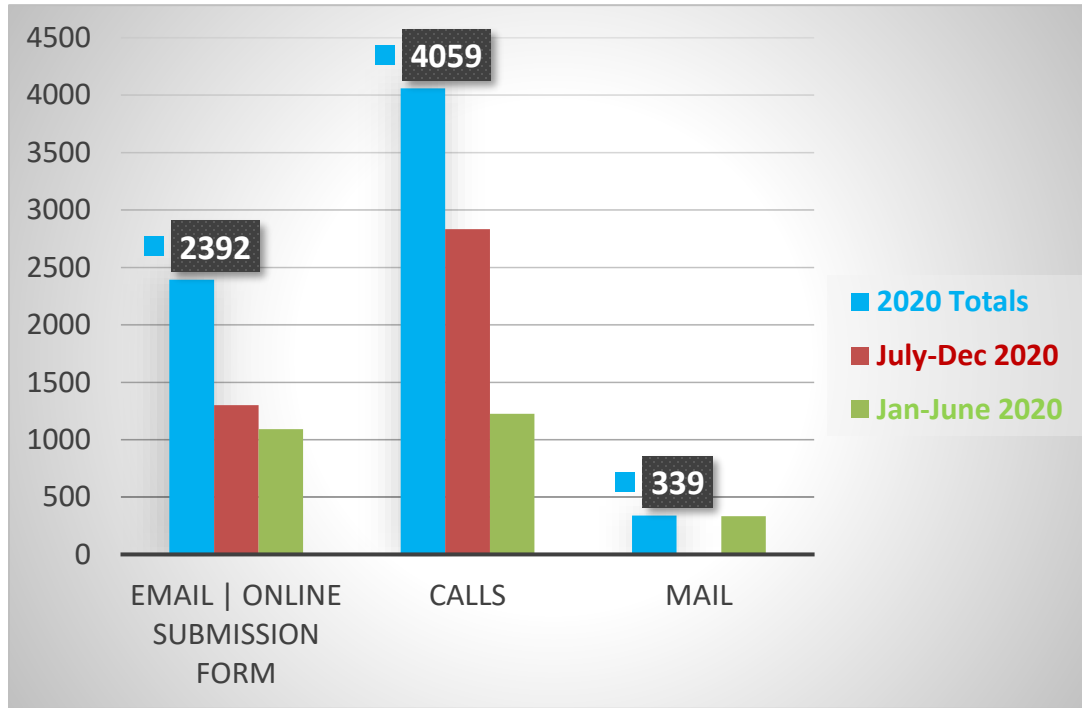
CONSUMER INQUIRIES - DIRECT MARKETING & ETHICS

Reporting Period Covered:

January – December 2020



How Are Consumers Contacting ANA?



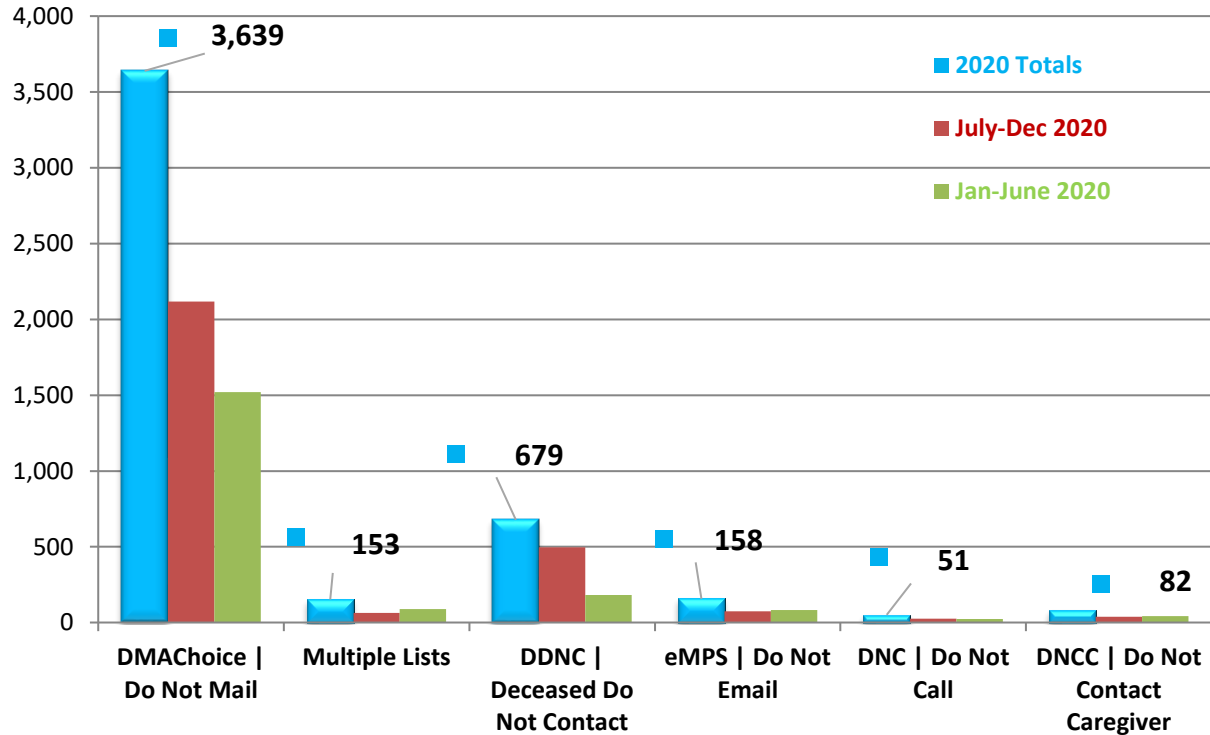
- **2020 Reporting Period**

- 6,790 general marketing ethics consumer inquiries received for 2020
 - 35% reach ANA via email; 60% telephone and 5% mail.
 - Elderly, special needs, disadvantaged prefer more in-depth instruction.
 - We saw an uptick in consumer inquiries in the second half of 2020:
 - July-Dec 2020: 4,139 inquiries
 - Jan-June 2020: 2,651 inquiries
- 6,799 online ad consumer inquiries received for 2020, and this reporting is reflected in slides 11-16. These inquiries are received via online forms and email.

The reporting in this chart reflects consumer inquiries about general marketing ethics issues, does not include online ad or Interest-Based Advertising (IBA) inquiries – an additional 6,799 IBA consumer inquiries were received via email/online forms.

Preference Services: Consumer Inquiries

2020 Reporting

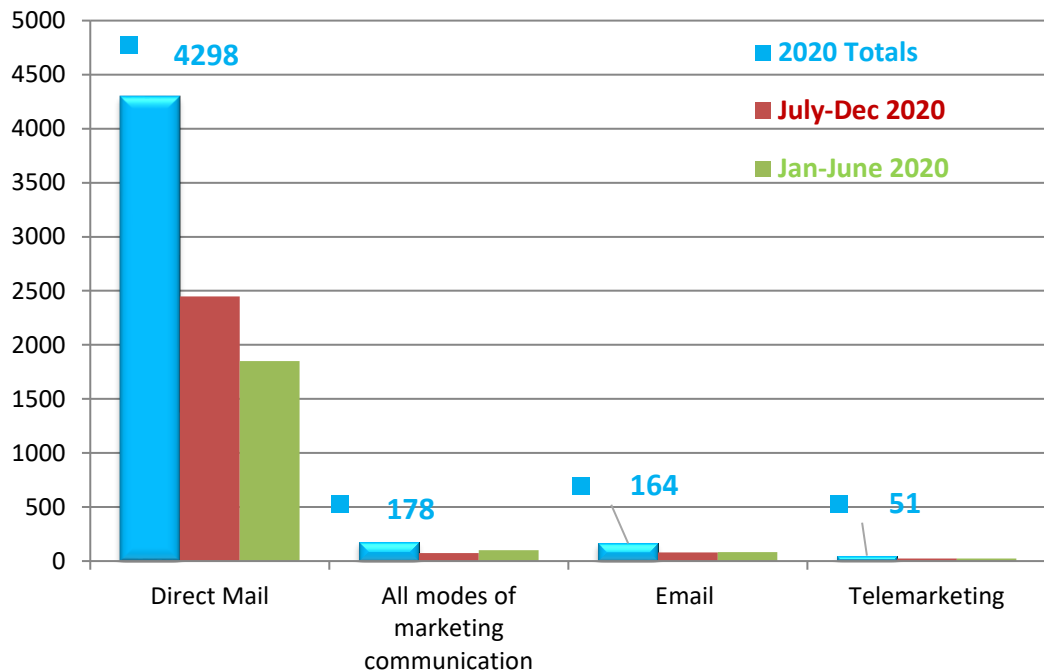


- Consumers are most interested in tools to better manage the **promotional mail** offers they receive.
- ANA offers preference services to assist consumers in managing mail, email and calls.
 - DMAChoice is the most requested tool – to help consumers have more control over the promotional prospect mail offers they receive.
 - Additional tools offered: caretakers for individuals and family members of the deceased seek to remove loved ones' information.



By Marketing Channel: Consumer Inquiries

2020 Reporting



**Online ad inquiries reporting is handled through a separate IBA complaint process and captured in a separate chart.*

- The majority of consumer inquiries ANA receives involve the direct mail channel:
 - Name/address removal from general mailing lists
 - Company-specific mailings
 - Pre-screened offers
 - Misdirected mail
 - Deceptive offers
 - Sweepstake mailings
 - Resident mail





Digital Advertising: Behavioral Data and Other Digital Consumer Concerns

2020 Reporting Period



Fundamentals of Digital Marketing Accountability

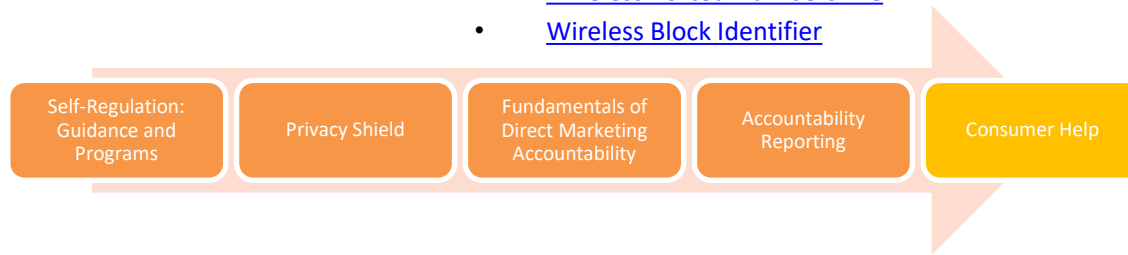
[The Digital Advertising Alliance](#) has created an industry-supported program and tools to guide companies on the appropriate notice and choice they should be providing to consumers to help them better manage their online interest-based ad experience. ANA serves as a founding member and as one of the DAA compliance partners. As the compliance arm to the DAA opt-out tool, we address consumer inquiries in this space. The following pages outline the types of issues consumers are concerned about – consumers are very concerned about online ads displayed on their smartphones due to limited display area—this trend continues.

Interest-Based Online Advertising

- [Guidelines for Ethical Business Practice: Digital Marketing](#)
- [Digital Advertising Alliance’s \(DAA\) Self-Regulatory Program for Interest-Based Advertising](#)
- [IBA Data Compliance Checklist](#)
- [Tips to Create a Privacy Policy](#)

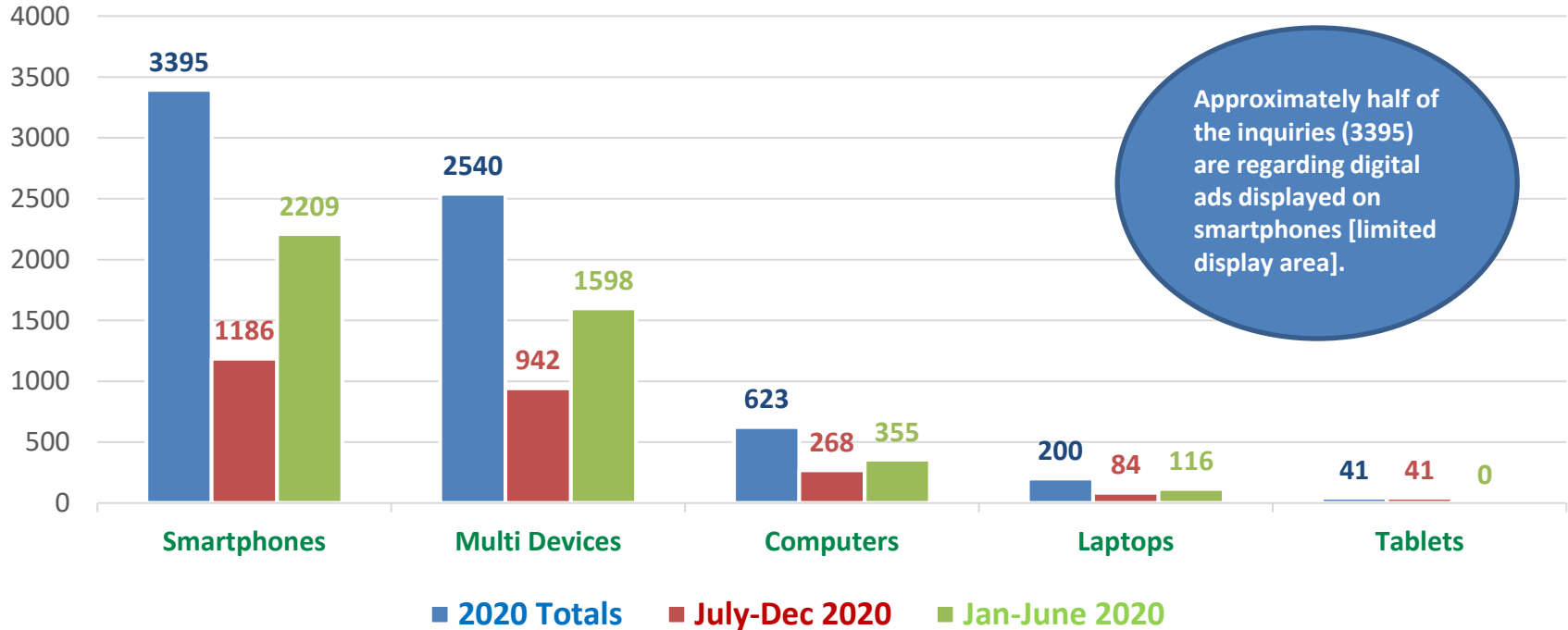
Email and Mobile Marketing Compliance

- [Guidelines for Ethical Business Practice: Mobile Marketing](#)
- [A Digital Marketer’s Guide to Canada’s Anti-Spam Law “CASL”](#)
- [CAN-SPAM Act](#)
- [Email Preference Service \(eMPS\) Subscriber Information](#)
- [EEC Global Email Marketing Compliance Guide](#)
- [ANA Email Experience Council](#)
- [Wireless Ported Numbers File](#)
- [Wireless Block Identifier](#)



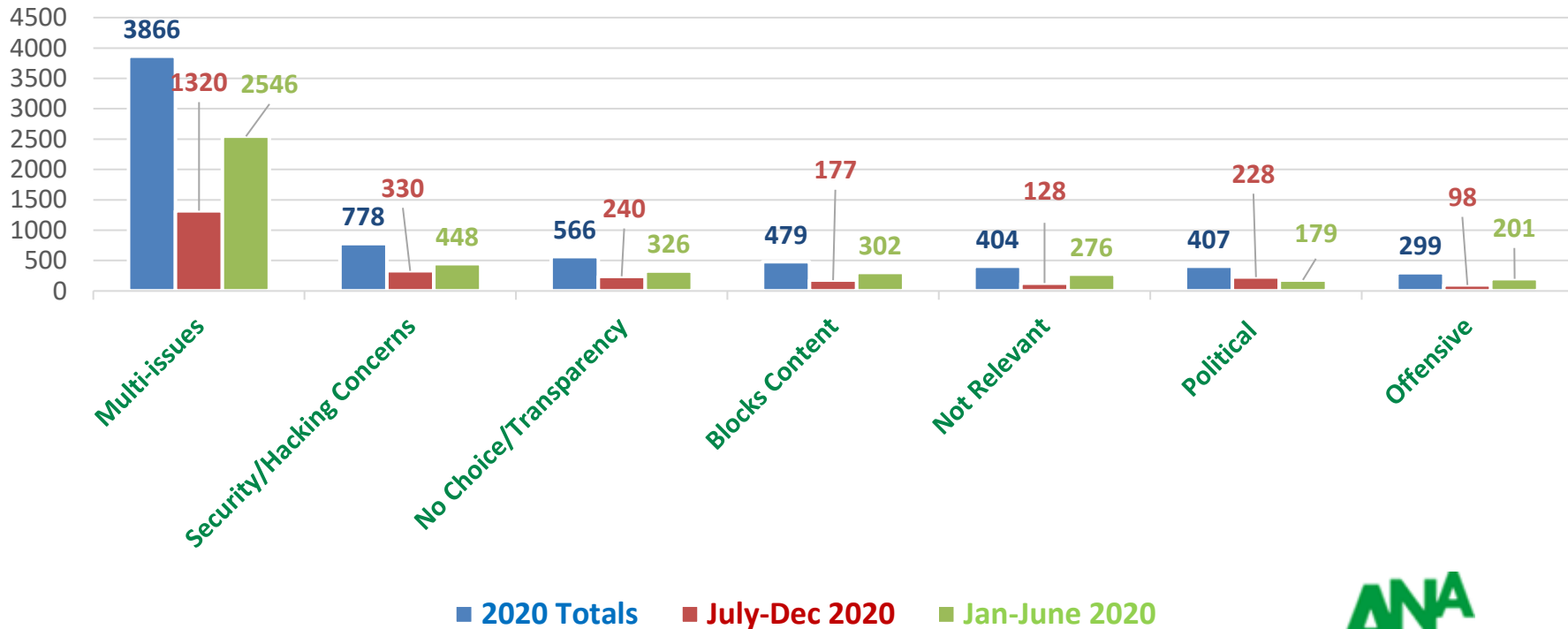
IBA Inquiry by Device

2020 Reporting



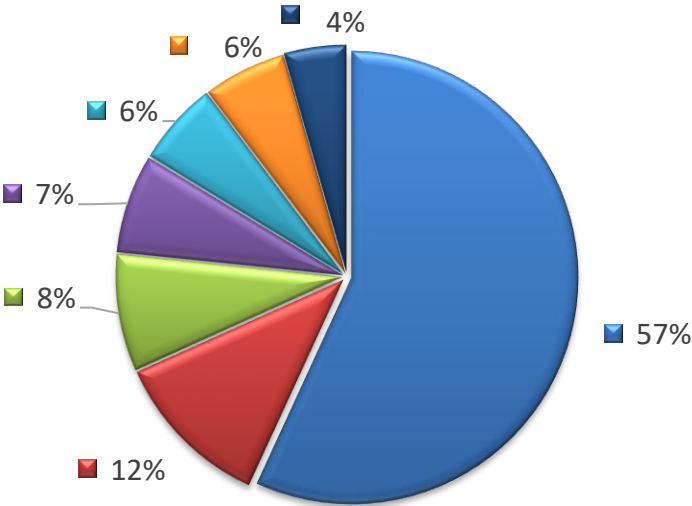
Categories of IBA Concerns

2020 Reporting



Categories of Online Ad Concerns

Online Ad Inquiries: 2020



- *Multi-Issues
- No Choice/Transparency
- Political
- Offended by Content
- Security/Hacking
- Blocks Content
- Not Relevant

Received **6799** consumer online ad inquiries in 2020.

*Multi-Issues – refers to consumers who have concerns regarding two or more of the listed categories.

Next area of concern for consumers involved issues related to hacking, security or identity theft.



Evergreen Consumer Issues

- Problems with, or in need of education on how to opt out of future advertising
- IBAs temporarily unavailable or system-wide failure
- No pop-up ads or any ads, especially on cell phones
- Ads blocking content
- Hacking/ID theft issues
- Ads interfering with online games/content/news/movies
- Offended by content of ads: sexual in nature or orientation; wrong gender; health
- Not relevant for the user
- Uptick in inquiries/complaints about online political ads – since it was an election year. The concerns were mainly regarding content or placement of ads – not in reference to the new DAA transparency/disclosure requirements for election ads.



CASEWORK FOR 2020:

CITED FOR NON-COMPLIANCE WITH ETHICAL BUSINESS PRACTICES FAILURE TO CORRECT PRACTICES



Online Ad Compliance Issues	Direct Mail Compliance Issues
<i>Just Fashion Now: Sept 2020</i>	<i>Safe Step Walk In Tub: Sept 2020</i>
<u>See Jan-June 2020 Report for additional information on cases below:</u>	
OilandEnergyInvestor.com	Vacation Consulting Services
Slim Tea	Team One Chrysler
Banyan Hills Publishing	CDJR
Netgear	JFQ Lending

Online Ad Issues

- **JustFashionNow | support@justfashionnow.com**
 - ***Issue:*** Consumer charged for full price of item immediately (after viewing online ad of product) – without being told it was on back-order.
 - ***Violation:*** Fulfillment (product availability and shipment requirements) and accessibility (clear terms) [September 2020]

Direct Mail Compliance Issues

- **SafeStep Walk In Tub | Nashville, TN**
 - ***Issue:*** Name removal process doesn't follow industry practices for internal preference processes and refers consumers to ANA for handling the opt-outs.
 - ***Violation:*** Accessibility (clear terms); not honoring consumer choices for name removal [September 2020]

ANA Accountability Resources

GUIDELINES

- [Guidelines for Ethical Best Practice](#)
- [Public Report of Non-Compliance](#)

INDUSTRY COMPLIANCE RESOURCES

- [Self-Regulation: Guidance and Programs](#)
- [ANA Privacy Shield Dispute Resolution Services](#)

CONSUMER COMPLIANCE RESOURCES

- [Consumer Help](#)
- [Choice – consumer mail management service](#)
- [Digital Advertising Alliance \(DAA\) online interest-based ad choice tool](#)
- [ANA Privacy Shield Dispute Resolution Services for Consumers](#)

TO FILE A COMPLAINT: direct mail, email, calls, or online ads

CONTACT US:

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