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Asterisk as a Compliance Toolkit

Anatomy of an FTC DNC Solution

Telephony Compliance is key necessity
Many types of organizations

- Financial Services (Banks, Hedge Funds, Brokerage Houses)
- Contact Centers
- Government
- Healthcare Providers

Overview

- Today virtually every industry in the United States is subject to some type of state or federal regulation. Some regulations oversee practices, such as telemarketing, that are used by businesses in multiple industries, and some are industry-specific, such as the Health Insurance Portability and Accountability Act (HIPAA).

Overview

Many companies are also required to perform internal audits by external compliance officers for quality assurance & investor relations purposes

Regulations Overview

- **Do Not Call Implementation Act**
- **Sarbanes Oxley Act**
- **HIPAA**
- **Gramm-Leach-Bliley Act**

Do-Not-Call Implementation Act

- On June 27, 2003, the U.S. [Federal Trade Commission](#) (FTC) opened the **National Do Not Call Registry** in order to comply with the Do-Not-Call Implementation Act.
- The registry is intended to give U.S. consumers an opportunity to limit the [telemarketing](#) calls they receive.

Do-Not-Call Implementation Act

- Originally, phone numbers remained on the registry for a period of five years, but are now permanent due to the Do-Not-Call Improvement Act of 2007, effective February 2008

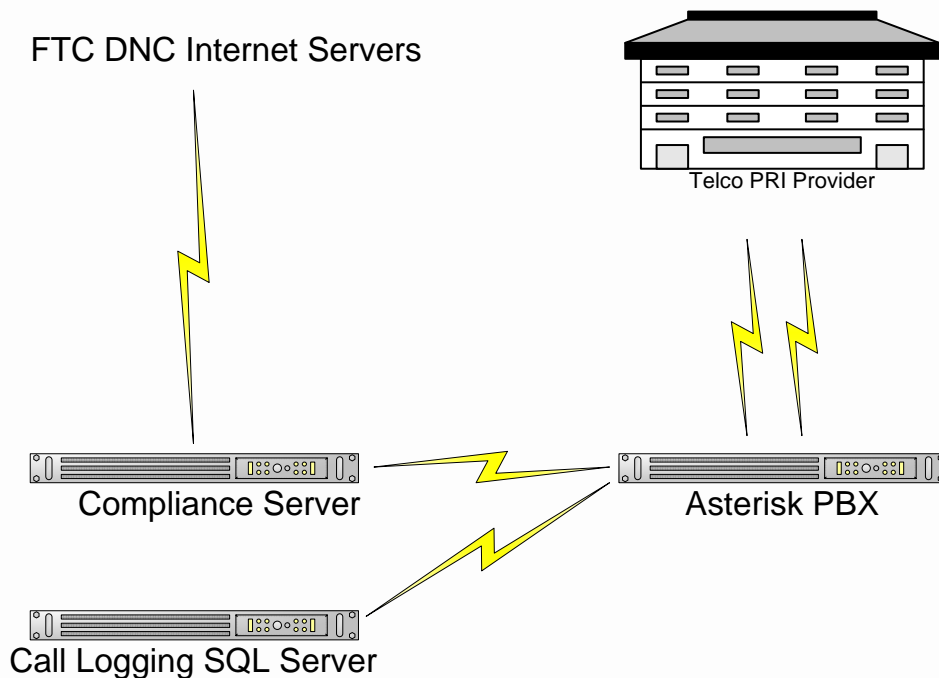
Do-Not-Call Implementation Act

- Telemarketers required to verify their call lists against this database of callers who do not wish to be contacted.
- Exceptions:
 - Existing Customers
 - Charities
 - Political Campaigns

Do-Not-Call Implementation Act

- The challenge:
 - Creating real-time call scrubbing solution with complex rule sets, integrated call records and call recording
 - **Fines for failing to comply with the TSR can be as high as \$11,000 for each violation committed.

DNC Basic Architectural Overview

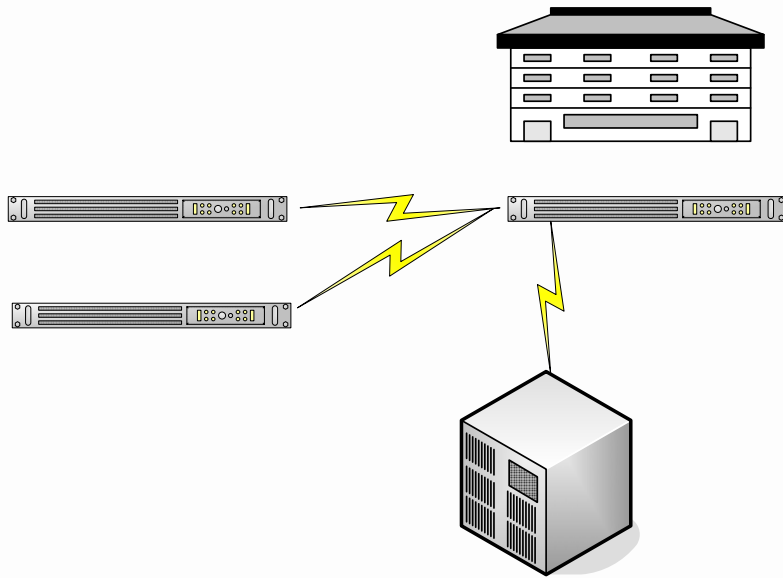


Overview

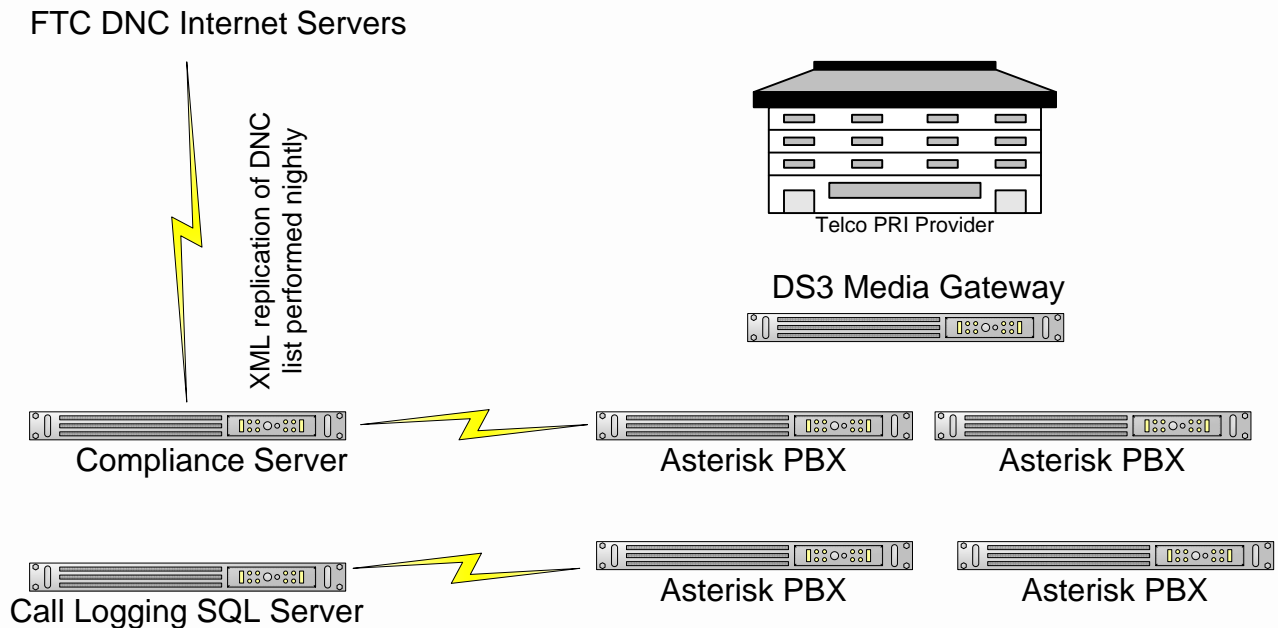
- Call Setup & Management performed by Asterisk PBX
- Compliance Rule Sets & Lists Kept on Compliance Server
- Call Logging Performed on SQL Server

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DNC Solution with Legacy PBX



DNC Solution – Scaling Out



Overview

Multiple Asterisk PBX terminate calls to DS3 media gateway. Compliance & Logging Server allow for easy growth in call managers.

Sample Call Flow Analysis

Call Flow Overview

1-Users or Dialer dial outbound calls

2-AGI Script triggers following query

a-is destination number customer?

b-is destination number on white list?

if either A or B are true, calls are passed to the PTSN

Otherwise call is blocked. Caller has one chance to override call by entering override pin number.

c-call initiates and writes records to SQL Server

d-call recording is moved to SQL Server at end of

business day to be linked to record on NAS Server

Features

- Call Recording
- Full Integration of CDRs and Blacklist bounce records
- Powerful Administrator reporting via Crystal Reports, Jasper or Cognos
- Open Standards based solution allows for simple interface design & boundless telephony customization

Conclusion

- Asterisk makes an incredibly flexible Compliance toolkit given it's:
 - Open Standards interoperability
 - AGI Scripting Interface
 - Flexible dial plan capabilities
 - RealTime Engine
 - Ability to log to ODBC
 - Extensive vendor & community support