

The Case Against Complacency: How a Law Firm Uncovered Over 100 Categories of Compliance Risk

BACKGROUND

A growing U.S. consumer law firm relies on outbound calling, appointment setting, and follow-up outreach to connect prospective clients with attorneys. With approximately 250 personnel across internal and third-party teams, the firm had limited compliance resources and relied primarily on AI-driven quality assurance to monitor calls. As it prepared to adopt a more automated dialing platform, the firm sought to assess its compliance program before increasing outreach volume.

CHALLENGE

The firm maintained internal, state, and federal Do Not Call lists but lacked consistent compliance controls across its outbound operation. With compliance responsibilities falling to the head of operations, the firm faced gaps in DNC screening, documented compliance training, formal policies, and third-party oversight. As automation and call volume increased, it needed a more structured approach to compliance governance to prevent existing vulnerabilities from scaling alongside its outreach.

SOLUTION

Gryphon conducted a comprehensive manual compliance audit, Secret Shopper assessment, and document review tailored to the firm's operations. Using a purpose-built audit covering approximately 10–12 areas of state and federal telemarketing, TCPA, DNC, TSR, and related requirements, Gryphon evaluated the firm's program, categorized findings by risk severity, and paired each with an actionable recommendation.

In parallel, Gryphon used the firm's own scripts and call scenarios to test how consistently agents followed required disclosures and procedures. The team also reviewed policies, procedures, and marketing materials against applicable requirements to identify gaps and unnecessary provisions.

Finally, Gryphon modeled the firm's actual call data against Gryphon ONE to demonstrate where automated, real-time controls could address identified risks and where policy, training, and vendor oversight were still needed. Together, the engagement gave the firm a prioritized roadmap for strengthening compliance as its outreach operations scale.

Company Spotlight

INDUSTRY

LEGAL SERVICES/
CONSUMER LAW

EMPLOYEES

250

USE CASE

CONTACT COMPLIANCE
ASSESSMENT

COMPLIANCE RISK
MITIGATION

OUTBOUND OUTREACH
GOVERNANCE

REGULATORY AUDIT

CHANNELS

GENESYS DIALER

MANUAL DIALING

EMAIL

SMS

BUSINESS PROCESS

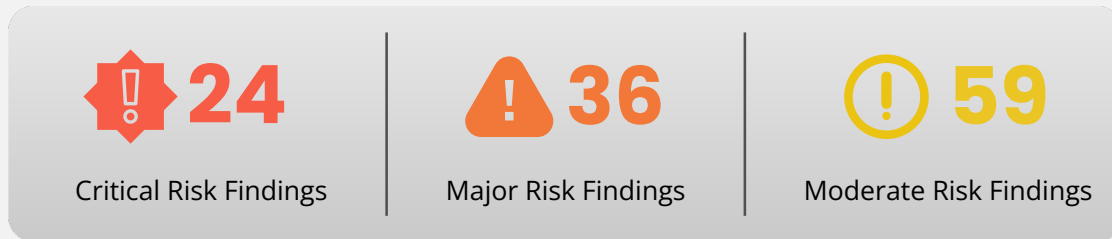
CLIENT ACQUISITION &
APPOINTMENT SETTING

INTERNAL AND
THIRD-PARTY CALL CENTER
OPERATIONS

OUTBOUND LEAD
FOLLOW-UP

RESULTS

The engagement revealed significant gaps in the firm's compliance program and provided a prioritized roadmap for remediation. Gryphon's audit identified findings across governance, regulatory controls, documentation, monitoring, and third-party oversight.



The audit surfaced nearly 120 distinct categories of risk, giving the firm greater visibility into the scope of its compliance obligations.

Every finding was paired with an actionable recommendation, providing legal and operations teams with a documented path for addressing identified gaps. The firm gained a clearer foundation for strengthening its compliance program before expanding its automated outreach.

WHY GRYPHON



Deep Regulatory Expertise

Gryphon brought specialized contact compliance expertise to an environment spanning federal and state DNC requirements, TCPA, TSR, and related obligations. Rather than applying a generic checklist, Gryphon built the assessment around the firm's actual outreach program and regulatory exposure.



Actionable Guidance

The firm received more than a list of identified gaps. Each finding was paired with a specific recommendation, giving legal and operations teams a prioritized path for remediation and helping translate complex requirements into concrete next steps.



Real-World Validation

By combining a program audit with Secret Shopper testing, document review, and analysis of actual call records, Gryphon evaluated both the firm's documented compliance program and how its processes operated in practice.



A Path from Assessment to Enforcement

Gryphon connected the audit findings to the firm's actual outreach data, demonstrating where automated compliance controls could address identified risks and where policy, training, and third-party oversight would remain essential. The assessment also established a foundation for potential future adoption of Gryphon ONE, Gryphon University, and Regulatory Advisory Services.

About Gryphon

By turning complex corporate policies and regulatory frameworks into automated, real-time controls, Gryphon enables enterprises to eliminate systemic risk while unlocking revenue growth through recovered reach across all communication channels—including voice, SMS, and AI agents. Gryphon is the Intelligent Contact Governance platform that operationalizes GRC (Governance, Risk, and Compliance) at the point of customer engagement.

Contact (866) 665-2670 or sales@gryphon.ai to learn how Gryphon ONE can benefit your organization.

