

# Monitoring Services

Anchin's Regulatory Compliance and Investigations (RCI) team has an extensive background in delivering complex monitoring services to our clients. Our team is comprised of experts with experience in providing oversight in both the public and private sectors, ensuring that we can resolve any and all questions or challenges. Our clients have included public entities, Fortune 1000 corporations, Global 100 companies, public-private partnerships, healthcare networks, private ownership groups and not-for-profits. By leveraging our internal expertise, proprietary information and existing relationships with state and local governments, we can help you ensure proper oversight for your reporting needs.

## Use Cases

**CareMed:** Retained by a specialty pharmaceutical under a Corporate Integrity Agreement imposed by the Department of Health & Human Services. Our team verified claims in accordance to Medicare and Medicaid regulations. We also worked with management to correct non-compliance issues and further develop the company's quarterly compliance program.

**Downtown Taxi:** Engaged by a transportation service management entity as an External Compliance Officer to monitor and report violations of a Consent Order imposed by a state Attorney General. Our team developed and implemented systems to collect and review database reports. Furthermore, we built an internal database to track driver and fare information. Interviews with drivers and key taxi company personnel were conducted to verify transactions were conducted in accordance to regulations imposed. Our team reported violations to the state Attorney General.

**Rochester:** Retained as an independent monitor on a \$760 million multi-phase construction and revitalization project of a school district to ensure the appropriate use of loans issued to disadvantaged contractors on the project. Our team worked with the program management team to monitor the review and approval of loan applications. Next, our team was tasked to monitor the issuance of approved loan funds in accordance to state and local requirements. We then worked to ensure the compliance of repayment of loan funds to prevent violations.

**Real Estate Transaction Monitor:** Retained as the compliance monitor for an individual who has obligations under a plea and monitor agreement related to real estate transactions. He is prohibited from conducting short sales and signed into a five-year plea and monitor agreement with the District Attorney's Office. Our team reviews deed transfers, bank information and tax returns to ensure that short sales are not taking place. We also review documentation to confirm that he is not conducting business with certain individuals whom he is prohibited from working with. In addition, we conduct random on-site visits to review books and records to further make certain that short sales are not taking place.

## Integrity Monitoring

Some of our key services:

- Reviewing all requirements and obligations to develop a plan to ensure compliance and prevent violations;
- Developing systems in order to reliably track compliance with requirements for stakeholder reporting;
- Assuring continuous compliance with diverse regulatory requirements;
- Identifying and remedying compliance gaps through our monitoring and audit services;
- Monitoring the submission, processing, and report creation of non-compliance;
- Assisting stakeholders and management in processing and remedying violations; and
- Supporting stakeholders in developing effective controls and compliance programs to prevent future violations.

We focus on examining and monitoring compliance with these goals and regulations. We do this by incorporating the latest digital systems, analytical procedures, controls and processes to ensure compliance with regulations throughout the engagement. We use a phased approach to ensure that deadlines and reporting requirements are met effectively.

**Anchin's RCI team has completed monitorships for organizations with revenue levels ranging from \$3 million to in excess of several billion dollars.**

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### Contact Anchin today!



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