

# Privia Quality Network VII Ltd. (PQN VII) Compliance Plan

Original Date: December 4, 2019

Reviewed Date: April 2026

|                                                                                |          |
|--------------------------------------------------------------------------------|----------|
| <b>Introduction.....</b>                                                       | <b>3</b> |
| PQN VII Compliance Plan.....                                                   | 3        |
| Section I: Compliance Officer Role & Responsibilities.....                     | 3        |
| Section II: Mechanisms for Identifying and Addressing Compliance Concerns..... | 4        |
| Identifying Compliance Concerns.....                                           | 4        |
| Addressing Compliance Concerns.....                                            | 5        |
| Section IV: Education & Training.....                                          | 7        |
| Section V: Reporting to Law Enforcement.....                                   | 7        |
| Section VI: Review and Approval of Compliance Plan.....                        | 7        |
| Section VII: Compliance Contact Information.....                               | 7        |

## Introduction

### PQN VII Compliance Plan

The purpose of the Compliance Program (“Program”) is to establish practices and procedures to ensure that PQN VII is following applicable federal and state laws, and regulatory requirements. This document, along with any related compliance policies and procedures, collectively comprise PQN VII’s Compliance Program. The Program is intended to prevent, detect, and correct non-compliant operational practices, and improper and/or unethical conduct impacting the ACO.

The Program establishes the framework for legal and ethical compliance and is intended to provide reasonable assurance that PQN VII:

- A. Has established practices and procedures to ensure compliance with applicable federal and state laws, and regulatory requirements.
- B. Requires ACO employees, participants, professionals, and other individuals or entities providing functions or services related to ACO activities, follow the ACO’s policies and procedures.
- C. Satisfies the conditions of participation in government health care programs and the terms of its contractual arrangements.
- D. Promotes self-auditing and monitoring activities, and provides for, in appropriate circumstances, voluntary disclosure of violations of laws and regulations.
- E. Maintains open lines of communication for reporting non-compliance.
- F. Detects and deters criminal conduct or other forms of misconduct by directors, officers, employees, medical staff, agents, and contractors, that may expose PQN VII to civil or criminal liability.
- G. Ensures any improper and/or unethical behavior is identified, reported, and corrected as soon as it is identified.
- H. Provides appropriate and required education and training.

### Section I: Compliance Officer Role & Responsibilities

PQN VII has named and selected a Compliance Officer who is not legal counsel to the ACO and who reports directly to the ACO’s Board of Directors. The Compliance Officer is responsible for the implementation, oversight, and management of the compliance program, and ensuring the ACO maintains compliance with all applicable laws and

regulations. Additional duties of the Compliance Officer include:

- Development and maintenance of policies and procedures
- Monitoring and oversight of operational areas
- Addressing deficiencies and compliance issues, as needed
- Involving other areas such as the Legal Department, if needed
- Responding to alleged violations of rules, regulations, policies, and procedures by evaluating or recommending the initiation of investigative procedures and developing and overseeing a system for uniform handling of such violations
- Identifying potential areas of compliance vulnerability and risk
- Acting as the liaison between ACO and regulatory bodies
- Assisting counsel and management with coordination of and response to government audits and/or investigations of PQN VII
- Ensuring education and training of ACO related individuals
- Providing a compliance report containing compliance activities and requirements as well as potential areas of concern to the Board of Directors, at least annually, or more often, if needed
- Establishing and providing direction and management of the Compliance and Ethics Line. Monitors a log/tracking system for all confidential disclosures through the Compliance and Ethics Line
- Ensuring proper reporting of violations or potential violations to duly authorized enforcement agencies as appropriate and/or required
- Ensuring compliance with applicable CMS marketing, anti-kickback/inducement, fraud and abuse, HIPAA, and record retention requirements

## Section II: Mechanisms for Identifying and Addressing Compliance Concerns

### Identifying Compliance Concerns

Policies and Procedures – In order to articulate PQN VII's compliance and ethical standards and its commitment to comply with applicable law, PQN VII has established compliance policies (reporting compliance concerns, non-retaliation, education, and training, etc.) and operational policies based on operational functions. These policies describe compliance expectations and describe how to report, investigate, and resolve issues. The Compliance Officer is responsible for ensuring that appropriate policies are in place to address the goals and standards outlined in this Compliance Plan, and that those policies and procedures are reviewed as needed, but no less frequently than

annually. Compliance Policies & Procedures will be made available to all ACO related individuals. When significant changes are made, appropriate ACO related individuals will be notified and/or trained on the new processes, as needed. Documentation of any training will be maintained in accordance with applicable record retention standards.

Monitoring & Oversight Program - The Compliance Officer will work to maintain a Monitoring & Oversight Program. This program will be used to ensure compliance with the ACO's policies and procedures. The Monitoring and Oversight Program may include passive continuous monitoring and reporting, as well as formal proactive monitoring and auditing of operational areas. Formal auditing will be prioritized based on risk to the organization and will include document review, as well as review of actual processes. The Compliance Officer will provide reports to the Board of Directors.

### Addressing Compliance Concerns

Corrective Action Plans (CAP) – When issues are identified, the Compliance Officer will work with the impacted operational areas to develop a Corrective Action Plan, if needed. Any CAP will include creation and documentation of internal controls, and policies and procedures to correct the issue and decrease the chances of recurrence. The CAP will also include a plan for monitoring, to ensure the implemented changes are effective, which may include additional training, as well as recommendations for disciplinary action and sanctions, as appropriate. The Compliance Officer will report CAPs to the Board of Directors.

Disciplinary Actions – When it is found an individual violated a relevant law and/or regulation established by governmental agencies, and/or policies as established by the ACO, the individual may be subject to disciplinary action in accordance with PQN VII policies and procedures or any relevant contractual arrangement. This discipline could result in termination of employment or other contractual arrangement. PQN VII may also report such violations to applicable regulatory or licensing authorities.

### **Section III: Methods for Reporting to Compliance**

To have an effective Compliance Program, ACO Related Individuals must have access to a means by which they may anonymously report suspected non-compliant activities. In addition, they must understand that they will not be retaliated against if they report such activities. Failure to report suspected unethical or unlawful conduct is harmful to

the integrity of the ACO and is a potential violation of the compliance plan. This policy is outlined in the ACO's policies and procedures, as well as the Compliance Training, which are distributed to every ACO Related individual.

#### Reporting Directly to the Compliance Officer

ACO Related Individuals are instructed that the Compliance Officer is available to receive any reports regarding potential compliance issues on a confidential basis. These reports may be made by calling or emailing the Compliance Officer directly. Where possible, the Compliance Officer will maintain the confidentiality of the individual making the report. If it is not possible to maintain confidentiality, the Compliance Officer will inform the reporter of the reason for sharing, and the extent to which their information will need to be shared.

#### Reporting through ACO Supervisory Channels

ACO individuals and employees are also instructed that they may contact their immediate supervisor when non-compliant activity is suspected. The supervisor will then report to the Compliance Officer for further investigation and reporting to PQN VII's Board of Directors, as appropriate.

#### Anonymous Reporting via Hotline

An anonymous hotline is also available for all PQN VII individuals and beneficiaries. This hotline is available 24 hours a day, 7 days a week, and allows for individuals to call and report potential compliance concerns anonymously. The information is published below.

#### Reporting through the Compliance Email Address

ACO individuals can email any concerns about potentially non-compliant activity to: [compliance@priviahealth.com](mailto:compliance@priviahealth.com).

#### Investigation & Follow Up

The Compliance Officer will conduct appropriate investigations and follow-up based on reports received. The activities undertaken may vary based on the facts of the report, but will include, at a minimum, the interview of any individuals related to the incident. The Compliance Officer will maintain a log detailing the report, the investigation, and any disciplinary or corrective actions. The Compliance Officer will include this log in its report to the Board of Directors.

## Section IV: Education & Training

PQN VII provides compliance training for the ACO, its Participants, and Providers/Suppliers, upon entrance into the ACO, and on an annual basis, thereafter. The training emphasizes the ACO's commitment to making compliance with federal and state requirements a top priority. This training includes, but is not limited to, training on the ACO Compliance Program, Privacy Requirements, and Fraud, Waste, and Abuse (FWA) laws.

The Compliance Officer is responsible for ensuring appropriate documentation of training completions and retention of training records. The Compliance Officer is also responsible for ensuring that this training is reviewed and updated as needed, but no less often than annually.

The ACO understands the importance of informal compliance communication to ensure consistent reminders and education related to Compliance. The Compliance Officer may conduct informal training and education programs, using newsletters or emails used to remind ACO individuals and beneficiaries of compliance resources and reporting obligations.

## Section V: Reporting to Law Enforcement

It is the policy of PQN VII to ensure all probable violations of law are reported to an appropriate law enforcement agency. If, during any compliance monitoring or investigation, it is found that any ACO individual has undertaken activity that would constitute a probable violation of law, the Compliance Officer will work with the Legal Department to ensure the appropriate law enforcement agencies are notified in a timely manner.

## Section VI: Review and Approval of Compliance Plan

Since laws and regulations are constantly implemented and modified, it is imperative that this Compliance Plan be reviewed and modified periodically. The PQN VII Compliance Officer will review the Compliance Plan no less than annually to ensure that it adheres to any new or modified laws and regulations. Any changes to the Compliance Plan will be reviewed and approved by the Board of Directors.

## Section VII: Compliance Contact Information

ACO Compliance Officer: Stephanie Clark

ACO Compliance Officer Email: [stephanie.clark@priviahealth.com](mailto:stephanie.clark@priviahealth.com)

Compliance Email Address: [compliance@priviahealth.com](mailto:compliance@priviahealth.com)

Compliance and Ethics Line: 877-851-8048