



**LIGHTHOUSE**  
Lab Services

# CLIENT CODE OF CONDUCT



**Date:** February 2023

Making Quality Lab Testing More Accessible

## Client Code of Conduct (Code)

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At Lighthouse, we believe that the best work comes from a collaborative, professional relationship with each of our Clients. Lighthouse operates in accordance with its own Code of Business Conduct and Ethics and expects all of our Clients to abide by the following Client Code of Conduct. As such, we each agree to engage in this relationship in good faith and to conduct ourselves in accordance with the highest standards of ethical conduct and in full compliance with all applicable laws and regulations.

Quality laboratory testing provided by ethical laboratories advances better outcomes for patients and provides value to the system as a whole. We are grateful for your efforts to conduct your operations with integrity and look forward to working together.

## Statement of Client Ethics

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### *Integrity.*

Clients shall not engage in corruption, extortion, embezzlement, or bribery to obtain an unfair or improper advantage. Client shall abide by all applicable healthcare fraud and abuse laws, anti-corruption laws and regulations of the jurisdictions in which it operates.

### *Conflicts of Interest.*

Clients shall ensure that they do not create or encourage conflicts of interest. Fundamentally, Clients must not offer any gift or invitation of substantial value to Lighthouse employees.

### *Protection of Patients.*

Client shall operate in a way that promotes overall patient well-being and accessible treatment. Clients are expected to treat patient health information in compliance with The Health Insurance Portability and Accountability Act of 1996 (HIPAA) and to accurately record information regarding all laboratory services, business activities, labor, health and safety, and environmental practices and shall disclose such information, without falsification or misrepresentation, to all appropriate parties. Appropriate means to safeguard data must be available.

### *Protection of Intellectual Property.*

Client shall respect intellectual property rights and safeguard customer information. Client shall manage technology and know-how in a manner that protects intellectual property rights.

### *Fair Business Standards.*

Standards of fair business, advertising and competition are to be upheld.

## Client Compliance Program Requirements

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Clients shall implement and/or maintain a compliance program that facilitates compliance with this Code and all applicable laws and regulations. Clients shall perform periodic evaluations of their facilities and operations to ensure compliance with this Code and all applicable laws. Clients shall maintain documents and records to evidence such compliance.

See the [\*Office of Inspector General's 1998 Compliance Program Guidance for Clinical Laboratories\*](#) for an initial set of compliance program requirements.

## Corrective Action Process

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Clients shall maintain and implement procedures for timely correction of any deficiencies or violations identified by an internal or external audit, assessment, inspection, investigation, or review.

## Lighthouse Intellectual Property

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Our intellectual property is an invaluable asset that must be protected at all times. Our intellectual property includes our trademarks, trade names, brands, designs, logos, copyrights, inventions, patents, and trade secrets. Clients are not permitted to use our intellectual property without our prior written authorization.

## Specific Areas of Client Commitment

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Lighthouse's services are focused on helping Clients perform quality laboratory testing. We enter engagements only in reliance on each Client's promise to perform quality laboratory testing with integrity and in compliance with all applicable laws and regulations. Listed below are some of the areas outside of the scope of Lighthouse's services.

### ***Responsible Utilization and Management of the Laboratory.***

Each Client, as the licensee and operator of Client's laboratory (as those terms are defined in the Clinical Laboratory Improvement Amendments of 1988 (CLIA) and other applicable laws and regulation) shall, through appropriate processes, procedures, policies, and oversight, ensure the responsible management, operation, and utilization of the Client's laboratory in compliance with all relevant state and federal laws and regulations regarding the installation and operation of the laboratory, including, but not limited to, federal and state laboratory statutes and regulations, compliance with all payor rules and regulations, CLIA and state laboratory quality analogs; Criminal False Claims Statute, 42 U.S.C. §1320a-7b(a); the Anti-Kickback Statute, 42 U.S.C. §1320a-7b(b); Stark II, 42 U.S.C. §1395nn; the Civil Monetary Penalties Law, 42 U.S.C. §1320a-7a; the Federal False Claims Act, 31 U.S.C. §3729; the Eliminating Kickbacks in Recovery Act, 18 U.S.C. § 220; and applicable state laws and regulations relating to healthcare fraud and abuse.

See [\*Supplementary Topics in Laboratory Compliance on the Ethics and Compliance\*](#) tab on our website.

## **General Business Operations.**

Lighthouse responsibilities are limited to specifically contracted services. Other than as expressly described in an applicable contract, the following areas are beyond the scope of Lighthouse's services and are the sole responsibility of the Client: sales, marketing, billing, coding, credentialing, payor contracting, general compliance, employment matters or compensation, OSHA compliance, licensure/accreditation, and medical record documentation.

## **Medical Records.**

Each Client is solely responsible for implementing and maintaining systems, policies, and procedures for recording and maintaining complete, accurate records, and clinical notes reflecting the services furnished in the Client's laboratory, including any records as required by law or any third-party payor. Each Client is responsible for ensuring that these records are maintained in accordance with relevant standards of care, laws, and regulations.

## **Decision-making.**

Each Client, as the owner, licensee, and operator of that Client's laboratory (as defined in CLIA and other applicable laws and regulations), shall exercise final and exclusive responsibility and liability for all administrative and managerial decisions that affect the operations of the laboratory, including, but not limited to, oversight of all the laboratory's personnel and activities, and final oversight and approval over all contract, policies and procedures.

## **Oversight.**

Client shall designate and properly manage appropriate internal oversight personnel who shall have and execute the responsibility for ensuring proper scientific decision-making and determinations that the Client is testing appropriately ordered and medically necessary tests in accordance with applicable statutes, regulations, and rules, and that all billing is done in compliance with applicable laws, regulations, standards of practice, payor rules, policies, guidelines or protocols, and industry standards.

## **Licensure.**

Client has ultimate administrative, professional and financial authority, control and direction of Client's laboratory operations, and shall maintain all necessary licenses, accreditations, certifications, permits and contracts in connection with such operations. Client shall comply at all times with any and all licensing and certification requirements, state and federal statutes and regulations applicable to Client and Client's laboratory operations.

## **Clinical Care.**

Clinical decisions with respect to Client's laboratory operations are wholly outside of Lighthouse's services. No aspect of Lighthouse's services are intended to subordinate, usurp, or otherwise diminish Client's or ordering providers' sole authority and discretion with respect to all clinical decision-making for its patients. Lighthouse shall not have involvement in professional judgment of Client or any medical professionals, or any physician or specialist consulting at the request of an ordering physician,

**Client is responsible for all clinical decisions regarding laboratory operations.**

or any other clinician at, or associated with, Client. Without limitation of the foregoing, no provision in any Lighthouse agreement is intended, nor shall it be construed, to place a duty or responsibility on Lighthouse for any medical decisions rendered and reported to ordering physicians and other users of Client's laboratory operations; nor are any of Lighthouse's services intended to be, nor are they deemed to involve or constitute, the practice of medicine.

### ***Laboratory Space.***

Client is solely responsible for all aspects associated with its laboratory space, storage, medical waste disposal, and cleaning, as well as appropriately upfitted utilities and ventilation necessary to operate its laboratory in compliance with state and federal laws and regulations. From time to time, Lighthouse or equipment vendors or manufacturers may make recommendations for requirements for accommodating the laboratory's operations, and Client is responsible for ensuring those recommendations are implemented appropriately for the Client's laboratory.

### ***Laboratory Safety.***

Client shall properly safeguard and control its premises, processes, and systems inside and outside of its Laboratory and ensure the laboratory and the surrounding premises are a safe worksite compliant with the Occupational Safety and Health Administration (OSHA) and other applicable workplace safety requirements, including proper provision of personal protective equipment, eyewashes, and other reasonably necessary or required safety equipment.

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