

## **Appendix 10**

Jackson Lewis LLP Assurance of Confidentiality

## **EMPLOYEE ASSURANCE OF CONFIDENTIALITY OF SURVEY DATA**

### **Statement of Policy**

Jackson Lewis LLP is firmly committed to the principle that the confidentiality of individual data obtained through interviews of Customer Based Organizations must be protected. This principle holds whether or not any specific guarantee of confidentiality was given at time of interview (or self-response), or whether or not there are specific contractual obligations to the client. When guarantees have been given or contractual obligations regarding confidentiality have been entered into, they may impose additional requirements which are to be adhered to strictly.

### **Procedures for Maintaining Confidentiality**

1. All Jackson Lewis LLP (JL) Assessment Team Members shall sign this assurance of confidentiality. This assurance may be superseded by another assurance for a particular project.
2. Assessment Team Members shall keep completely confidential the names of respondents, all information or opinions collected in the course of interviews, and any information about respondents learned incidentally during interviews. Assessment Team Members shall exercise reasonable caution to prevent access by others to survey data in their possession.
3. Unless specifically instructed otherwise, Assessment Team Members, upon encountering a respondent, interviewee or information pertaining to a respondent or interviewee that s/he knows personally, shall immediately terminate the activity and contact her/his supervisor for instructions.
4. Survey data containing personal identifiers in JL offices shall be kept in a locked container or a locked room when not being used each working day in routine survey activities. Reasonable caution shall be exercised in limiting access to survey data to only those persons who are working on the specific project and who have been instructed in the applicable confidentiality requirements for that project.
5. Where survey data have been determined to be particularly sensitive by the Project Manager in charge of the project or his designee, such survey data shall be kept in locked containers or in a locked room except when actually being used and attended by an Assessment Team Member who has signed this pledge.
6. When records with identifiers are to be transmitted to another party, such as for keypunching or key taping, the other party shall be informed of these procedures and shall sign an Assurance of Confidentiality form.

7. Each Project Manager, or his designee, shall be responsible for ensuring that all personnel and contractors involved in handling survey data on Assessment are instructed in these procedures throughout the period of survey performance. When there are specific contractual obligations to the client regarding confidentiality, the Project Manager, or his designee, shall develop additional procedures to comply with these obligations and shall instruct Assessment team staff, clerical staff, consultants, and any other persons who work on the project in these additional procedures. At the end of the period of survey performance, the Project Manager shall arrange for proper storage or disposition of survey data including any particular contractual requirements for storage or disposition. When required to turn over survey data to our clients, we must provide proper safeguards to ensure confidentiality up to the time of delivery.
8. Project Managers and Assistant Project Managers shall ensure that survey practices adhere to the provisions of the U.S. Privacy Act of 1974 with regard to surveys of individuals for the Federal Government. Project Managers and Assistant Project Managers must ensure that procedures are established in each survey to inform each respondent of the authority for the survey, the purpose and use of the survey, the voluntary nature of the survey (where applicable) and the effects on the respondents, if any, of not responding.

PLEDGE

I hereby certify that I have carefully read and will cooperate fully with the above procedures. I will keep completely confidential all information arising from surveys concerning individual respondents to which I gain access. I will not discuss, disclose, disseminate, or provide access to survey data and identifiers except as authorized by JL. In addition, I will comply with any additional procedures established by JL for a particular contract. I will devote my best efforts to ensure that there is compliance with the required procedures by personnel I supervise. I understand that violation of this pledge may result in disciplinary action, including dismissal. I also understand that violation of the privacy rights of individuals through such unauthorized discussion, disclosure, dissemination, or access may make me subject to criminal or civil penalties. I give my personal pledge that I shall abide by this assurance of confidentiality.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Date