

OFFICE OF STATE PERSONNEL  
EMPLOYEE SERVICES DIVISION  
STATE EMPLOYEES' ASSISTANCE PROGRAM

Records Retention and Disposition Schedule

The Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

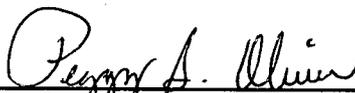
STATE EMPLOYEES' ASSISTANCE PROGRAM

do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. Public records including machine readable records not listed in this schedule are not authorized to be destroyed. The

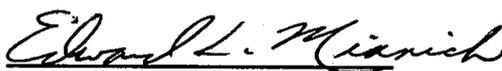
STATE EMPLOYEES' ASSISTANCE PROGRAM

agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED



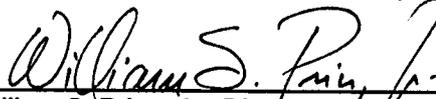
Peggy S. Oliver, Chief Records Officer  
Office of State Personnel



Edward L. Minnich, Director  
State Employees' Assistance Program



Sam W. Badgett, Director  
Employee Services Division



William S. Price, Jr., Director  
Division of Archives and History

APPROVED



Richard V. Lee, Director  
Office of State Personnel



Betty Ray McCain, Secretary  
Department of Cultural Resources

March 22, 1993

DWM

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EMPLOYEE SERVICES DIVISION  
STATE EMPLOYEES' ASSISTANCE PROGRAM

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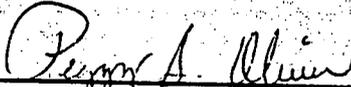
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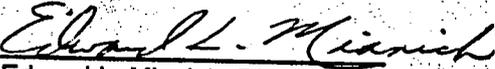
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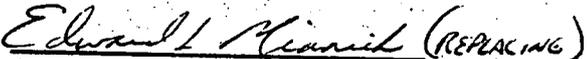
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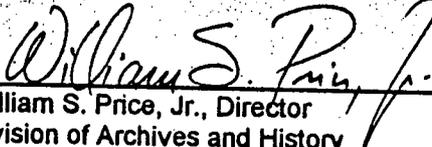
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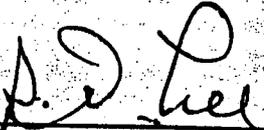
  
Peggy S. Oliver, Chief Records Officer  
Office of State Personnel

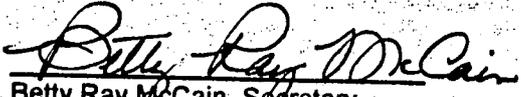
  
Edward L. Minnich, Director  
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APPROVED

  
Richard V. Lee, Director  
Office of State Personnel

  
Betty Ray McCain, Secretary  
Department of Cultural Resources

March 22, 1993

This schedule was modified to  
comply with the provisions of the  
General Schedule for State Agency Records,  
effective October 1, 2000  
Remaining items retain the  
original date shown below.

DWM

**OFFICE OF STATE PERSONNEL  
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STATE EMPLOYEES' ASSISTANCE PROGRAM**

**ITEM 35038. CASES FILE.**

Records concerning clients of the State Employees' Assistance Program. File includes completed assessment and referral forms, completed assessment summary forms, completed forms giving clients' consent to release of information, correspondence, and other related records. Clients' names, case numbers, dates of birth, social security numbers, types of problems experienced by clients, and other related data are entered into Cases Database (Electronic) File (Item 35039) and routinely updated. (Comply with applicable provisions of 25 NCAC 1J.1009, and G.S. 126-22, 126-23, 126-24, and Article 3 of G.S. 122C regarding confidentiality of records.)

DISPOSITION INSTRUCTIONS: Destroy in office by shredding 3 years after termination of counseling if no official action involving the records has been initiated. If official action has been initiated, destroy in office by shredding after completion of action and resolution of issues involved.

**ITEM 35039. CASES DATABASE (ELECTRONIC) FILE.**

Machine readable records concerning clients of the State Employees' Assistance Program. Clients' names, case numbers, dates of birth, social security numbers, types of problems experienced by clients, names of state agencies for which clients work, and other related data are entered into this electronic file. (Comply with applicable provisions of 25 NCAC 1J.1009, and G.S. 126-22, 126-23, 126-24, and Article 3 of G.S. 122C regarding confidentiality of records.)

DISPOSITION INSTRUCTIONS: Transfer 1 security copy of each floppy disk to an off-site location for backup storage. Agency representative will update periodically. Erase in office floppy disks when reference value ends.

**ITEM 35040. INDEX TO CASES FILE.**

Index cards listing clients' names, case numbers, dates of counseling, and other related information. (Comply with applicable provisions of 25 NCAC 1J.1009, and G.S. 126-22, 126-23, 126-24, and Article 3 of G.S. 122C regarding confidentiality of records.)

DISPOSITION INSTRUCTIONS: Destroy in office by shredding 3 years after termination of counseling.

**ITEM 35045. PROGRAM DEVELOPMENT FILE.**

Records concerning the development of the State Employees' Assistance Program. File includes descriptions of the program, drafts of policies, brochures, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when reference value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**ITEM 35047. REPORTS FILE.**

Six-month and end-of-fiscal-year reports submitted to personnel directors of state agencies listing numbers of clients from the agency participating in the State Employees' Assistance Program, types of problems experienced by clients, and other related information. Problems experienced by clients, names of state agencies for which clients work, and other related data are entered into Cases Database (Electronic) File (Item 35039) in order to generate these reports.

DISPOSITION INSTRUCTIONS: Transfer 1 copy of each report to the State Records Center after 5 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Destroy in office remaining reports when administrative value ends.