

# Oregon State Archives

## Records Retention Schedule

Edition: December 2023

Schedule Number: 2023-0006

**Agency:** Oregon Board of Optometry

### Program Description

The Oregon Board of Optometry is responsible for the licensure of doctors of optometry (optometrists/optometric physicians) and enforcement of the statutes and administrative rules governing the practice of optometry in Oregon.

The Board of Optometry is composed of five volunteer members who are appointed by the Governor and confirmed by the Oregon Senate. Four of the members are actively licensed Oregon optometric physicians and one is a public member.

The agency investigates and prosecutes violations of laws as they apply to optometrists and acts on complaints filed with the agency and upon information obtained while monitoring the profession. The agency has broad investigatory powers, including authority to subpoena documents and take testimony. It may take administrative action against persons or entities that violate ORS Chapter 683. It also can suspend or revoke a license to work as an optometrist in Oregon.

The Board meets approximately every 12 weeks to review cases and to make rulings on a case- by-case basis. The Board can either dismiss the case or issue a preliminary finding of violation. If a preliminary finding of violation is issued, a settlement may be negotiated. All settlements are approved by the Board.

If a hearing is requested, it is adjudicated through the Office of Administrative Hearings in the Employment Department. Collections of fines are performed by agency staff and the Department of Revenue and private collection agencies in accordance with Legislative Fiscal Office procedures and continue until paid.

The Executive Director of the Board of Optometry is appointed by the Board with the approval of the Governor to oversee the administration of the agency and the handling of complaints. The Executive Director makes the initial assessment of complaints received by the agency and establishes if the complaint will be investigated based upon the jurisdictional scope of the agency. Investigations are conducted in accordance with Oregon Revised Statutes Chapters 676 and 683.

Board staff receive and process license and renewal applications and maintain licensed optometrist records. In addition, staff correspond with licensees, the public and other agencies about the program and provide historical information on licensees. License fees received are processed in the agency's licensing database and monies are recorded in the agency's financial management system. Board staff also provide direct customer assistance and information about applicable laws and related topics.

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### Agency Records

#### 001 Complaint and Disciplinary Records, Individual

- (a) Retain audio records 4 years or until transcribed, destroy
- (b) Retain records of investigations leading to discipline 50 years or until the death of licensee, whichever is later, destroy
- (c) Retain records of investigations not leading to discipline 25 years after case close, destroy

### State Agency General Records Retention Schedule Records

*Includes but is not limited to:*

- Administrative Records (OAR 166-300-0015)
- Board and Commission Records (OAR 166-300-0017)
- Facilities/Property Records (OAR 166-300-0020)
- Financial Records (OAR 166-300-0025)
- Information Management Records (OAR 166-300-0030)
- Payroll Records (OAR 166-300-0035)
- Personnel Records (OAR 166-300-0040)
- Risk Management Records (OAR 166-300-0045)

### Systems of Record

- OBO Licensing System
- Quickbooks