



August 29, 2019

Vincent Piña
Executive Assistant
Texas Optometry Board
333 Guadalupe St, Suite 2-420
Austin, TX 78701

Re: Agency records retention schedule approved for use.

Dear Mr. Piña,

Your agency's records retention schedule is approved for use as of August 27, 2019. Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please ensure that all old copies of the schedule are superseded with this recertified copy.

Your approved retention schedule provides you with continuing authorization to dispose of agency records according to its terms. Please note that state regulations (13 TAC §6.8) require documentation of the final disposition of records by your agency. This requirement may be met by maintaining a disposition log or other evidence of the records series titles, dates covered, volume, and date of disposition. The destruction of any records of your agency not on your schedule requires special authorization from us.

Each agency schedule must be reviewed, updated and submitted for recertification annually for the first two years after the initial approval of the schedule and every five years thereafter. The deadline for submission of your schedule for its next recertification is the last working day of August 2024.

During a certification period, changes may need to be made to your schedule. State regulations (13 TAC §6.4) also allow for the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, or if you have any other questions, please contact the Government Information Analyst assigned to your agency, Erica Siegrist at 512-463-6623 or esiegrist@tsl.texas.gov.

Your efforts in developing a records retention schedule are appreciated. It not only helps to ensure the integrity of your recordkeeping practices, but it is also essential to the success of your records management program.

Sincerely,

Craig Kelso
Director and State Records Administrator

cc: Agency head

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

P.O. Box 12927
Austin, Texas
78711-2927

www.tsl.texas.gov

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Assistant State Librarian
Gloria Meraz

TSLAC

*Preserving yesterday
Informing today
Inspiring tomorrow*



STATE OF TEXAS
Records Retention Schedule Certification

SLR 105C

Form SLR 105 or SLR 122 must accompany all submissions of this form.

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 514

Agency Name Texas Optometry Board

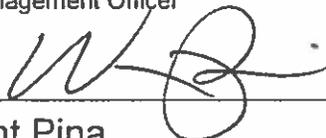
(Check one)

- Initial Certification - Form SLR 105
- Recertification - Form SLR 105
- Amendment - Form SLR 122

I hereby certify that this records retention schedule was prepared in accordance with Texas Government Code, Chapter 441, Subchapter L.

(Check one)

- Agency Head
- Records Management Officer

Signature 

Name (Print or type) Vincent Pina

Date 04/23/2019

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office
(For the exclusive use of the State Auditor's Office)

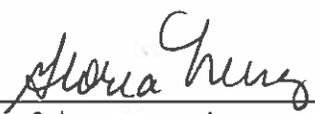
Signature _____

Name (Print or type) _____

Date _____

Not Required at This Time

Texas State Library and Archives Commission
(For the exclusive use of the State Library and Archives Commission)

Signature 

Name (Print or type) Glorcia Meraz

Date 8/27/19

Cert/Recert No. 9 Amendment No. _____

CAUTION

A state record whose retention period has expired may not be destroyed if any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record is initiated; its destruction shall not occur until the completion of the action and the resolution of all issues that arise from it.

A state record whose retention period expires during any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record may not be destroyed until the completion of the action and the resolution of all issues that arise from it.





STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2017-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end
 FE – Fiscal year end
 LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

1. Agency Code: 514		2. Agency Name: Texas Optometry Board									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
1.01		Archives	Records which document significant agency functions, programs, and/or procedures.	PM					A	Paper records transferred to Texas State Library and Archives Commission (TSLAC) when no longer have any administrative value.	
1.02	1.1.058	Board Meeting Records		PM					A	Retain paper copy five years, then digitally. Paper copy forwarded to TSLAC for archival requirement.	
1.02(a)	1.1.060	Audio or Videotapes of Open Meetings		AC			90	AC=Official approval of written minutes of the meeting by governing body.			
1.02(b)	1.1.061	Meeting Notes		AC			90	AC=Approval of the formal minutes by the governing body.			
1.02(c)	1.1.062	Meetings - Supporting Documentation			2				A	Kept electronically and/or microfilm. Microfilm copy forwarded to TSLAC for archival requirement.	
1.03	1.1.006	Complaint/Investigation Files		AC	2			AC=Final disposition of complaint.		Complaints that are subject of litigation, see item number 1.1.048.	
1.04	1.1.067	Reports and Studies (Non-Fiscal)			3				R		
1.05	1.1.007	Correspondence - Administrative			4				R		
1.06	1.1.008	Correspondence - General			2						



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1.07	1.1.048	Litigation Files (Hearings/Licensee)		AC	1			AC=As applicable, decision of an agency not to file a lawsuit; dismissal of a lawsuit; or final decision of a court (or of a court of appeal, if applicable) in a lawsuit.	R		
1.08		Opticianry Matters		AC	2			AC=After matter is closed.		Includes letters and complaints between Board and optical companies.	
1.09	1.3.001	State Agency Publication		AC	2			AC=Superseded or obsolete.		CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code §441.101-441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention.	
1.10	1.1.074	Sunset Review Report and Documentation		AC	3			AC=After the subsequent Sunset Review.	R		
1.11	1.2.005	Records Retention Schedule (SLR 105)		US						Original retained by TSLAC.	



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					Years	Months	Days				
1.13	1.1.070	Agency Rules, Policies and Procedures - Final		AC	3			AC=Completion of termination of program, rules, policies, or procedures.	R		
1.14	1.1.020	Public Information Requests - Not Exempted		AC	1			AC=Date request fulfilled.			
1.15	1.1.021	Public Information Requests - Exempted		AC	2			AC=Date of notification that records are exempt.			
1.16	1.1.057	Transitory Information		AC				AC=Purpose of record has been fulfilled.			
1.17	1.1.064	Agency Performance Measures Documentation		FE	3						
1.18	1.1.066	Biennial or annual Agency Reports (Narrative)		AC	6			AC=September 1 of odd-numbered calendar years.	A	Archival requirement met by sending copy of the report to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
1.19	1.1.071	Agency Rules, Policies and Procedures - Working Files		AC	3			AC=Completion or termination of program, rules, policies or procedures.	R		
2.01		Automated Files - Applications		AC	5			AC=After applicant becomes licensed.			
2.02		Automated Files - Examination Text Records		AC	5			AC=After date of the examination.		Used for building new exams.	
2.03		Automated Files - Examination Results		PM						Becomes part of Master Record upon passage of Board Exam.	



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					Years	Months	Days				
2.04 (a)		Licensee Master Files		AV							
2.04 (b)		Licensee Master Files		PM						Kept in paper and microfilm. Paper copy maintained in office until no longer of administrative value, then destroyed. Microfilm stored at TSLAC.	
2.05		Renewal Application Forms (Current)		AC	1			AC=After end of current renewal year.		Imaged after closed plus one (1) year. Hard copy destroyed.	
2.06		Renewal Application Forms (Prior Year)		AC	25			AC=After end of current renewal year.		94-514-001 (1 prior year to current year). Original kept at agency, duplicate stored at TSLAC for total period of 25 years.	
2.07		Continuing Education Attendance Verifications Report		AC	5			AC=After end of renewal period.		Imaged after closed and maintained electronically.	
2.08		Approved Continuing Education Course Report		AC	1			AC=After end of renewal period.			
2.10		Cancelled Licensee Records (Current)		AC	3			AC = After licensee record has been cancelled by the Board.		Imaged after closed plus three (3) years, then hard copy destroyed.	
2.11		Cancelled Licensee Records (Prior years)		AC	50			AC = After licensee record has been cancelled by the Board.		94 - 514 - 002 (1 prior year to current year). Original kept at agency, duplicate stored at TSLAC for a total period of 50 years.	
2.12		Deceased Licensee Records (Current)		AC				AC = After notified as Deceased.		Imaged after closed. Paper destroyed.	



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					Years	Months	Days				
3.10	3.1.023	Position/Job Description		AC	4			AC = Superseded or eliminated.			40 TAC 815.106(i).
3.11	3.2.009	State Deferred Compensation		AC	5			AC=Distribution Plan filed & completed.			
3.12	3.2.010	Human Resource Information System (HRIS) Reports		AC	4			AC = Report completed.			
3.13	3.3.026	Agency Staffing Reports (Full Time Equivalent Reports to State Auditor)		US	3						
3.14	3.1.019	Performance Appraisals			2						29 CFR 1602.32(c).
3.15	3.1.001	Applications for Employment - Not Hired	(Includes applications, resumes, letters of reference, etc.)		2						29 CFR 1602.31
3.16	3.1.002	Applications for Employment - Hired	(Includes applications, resumes, letters of reference, etc.)	AC	5			AC=Termination of employment.			
3.17	3.4.002	Leave Status Reports	(Provides employee leave status information for each position.)	FE	3						
3.18	3.4.006	Time Cards and Time Sheets			4						40 TAC 815.106(i)
3.19	3.4.007	Time Off and Sick Leave Requests		FE	3						
3.20	3.1.018	Grievance Records		AC	2			AC=Final decision on the grievance.			
3.21	3.1.031	Employee Benefits - Other Than Insurance		AC	2			AC=Until superseded or termination of employment.			



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3.22	3.2.001	Employee Deduction Authorizations		AC	4			AC=After termination of employee or after amendment, expiration or termination of authorization, whichever sooner.			
3.23	3.2.008	Direct Deposit Application/Authorization		US							
3.24	3.3.024	Personnel Policies and Procedures		US	3						
4.01	4.2.002	Cash Receipts	(Includes fee receipts for permits, licenses, renewals, etc.)	FE	3						
4.03	4.2.005	Purchase Vouchers	(Requisitions, orders, receiving reports, invoices, statements, etc.)	FE	3						
4.05	4.5.001	Worksheets for preparing Annual Financial Report		FE	3						
4.05A	4.5.003	Annual Financial Report		AC	6			AC = September 1 of odd - number calendar years.		Archival requirement met by sending copy of the report to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
4.07	1.1.068	Reports on Performance Measures		AC	6			AC = September 1 of odd-numbered calendar years.			
4.08	1.1.002	Audits		AC	7			AC = Publication or Release of final audit findings.	A	State Auditor's Office retains permanent record copy.	



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4.09	1.1.004	Legislative Appropriation Requests		AC	6			AC = September 1 of odd-numbered calendar years.	A	Agency retains record copy. Archival requirement met by sending copy of the report to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
4.10	4.7.001	Accounting Policies and Procedures Manual		US	3						
4.11	5.4.013	Disaster Preparedness and Recovery Plan		US							
4.12	5.2.008	Equipment History File; Equipment Service Agreement		LA	3						
4.13	5.2.014	Inventory - Annual Physical		FE	3						
4.14	4.4.001	General Ledger and Subsidiary Ledgers		FE	3						
4.15	1.1.055	Strategic Plans		AC	6			AC = September 1 of odd-numbered calendar years.	A	Archival requirement met by sending copy of the report to be Texas State Publications Depository Program, Texas State Library and Archives Commission.	
4.16	1.2.010	Records Disposition Log			10						
4.17	1.2.008	Request for Authority to Dispose of State Records (RMD 102) Agency Copy		FE	3					Original is retained by the Texas State Library and Archives Commission.	



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4.18	4.1.007	Transfers or Budget Revisions		FE	3						
4.19	4.2.004	Encumbrance Vouchers		FE	3						
4.20	4.2.007	Expenditure Vouchers		FE	3						
4.21	4.5.002	Internal Fiscal Management Reports		FE	3						
4.22	4.5.007	USAS Reports - Daily		AC				AC = Receipt and reconciliation of monthly reports.			
4.23	4.5.008	USAS Reports - Monthly		AC				AC = Receipt and reconciliation of annual reports.			
4.24	4.5.009	USAS Reports - Annual		FE	3						
4.25	4.6.002	Reconciliations		FE	3						
4.26	4.7.003	Returned Checks/Warrants/Drafts (Uncollectable)		AC	3			AC=After deemed uncollectible.			
4.27	4.5.006	Annual Operating Budget		FE	3						
5.01 a)	5.1.001	Contracts and Leases Executed, renewed, or amended on or after September 1, 2015.		AC	7			AC = Expiration or termination of the instrument according to its terms.			Government Code, 441.1855
5.01 b)	5.1.001	Contracts and Leases Executed, renewed, or amended on or before August 31, 2015		AC	4			AC = Expiration or termination of the instrument according to its terms.			Government Code, 441.1855
5.02	5.1.005	Postage Records		FE	3						