



## Board of Professional Responsibility Board Docket Files

### Core Data

<b>RDA Number:</b>	11189
<b>Effective Date:</b>	2017-03-28
<b>Record Series Abstract:</b>	Record includes all pleadings filed in a disciplinary matter under review before a hearing panel, Circuit or Chancery Court, or the Supreme Court of Tennessee, as authorized by the Board of Professional Responsibility. Other items included in this record are correspondence to and from the Executive Secretary of the Board pertaining to the disciplinary matter. All items in the record are public record except as specified confidential by Court Order or pursuant to Tennessee Supreme Court Rule 9, Section 32.
<b>Record Series Active:</b>	Yes
<b>Cut Off at End of:</b>	Other
<b>Total Retention Years:</b>	0
<b>Total Retention Months:</b>	0
<b>Retention End Action:</b>	Permanent
<b>Disposition Notes:</b>	Active paper and electronic files will be maintained by the Executive Secretary of the Board of Professional Responsibility until the conclusion of the disciplinary matter or upon exhaustion of all appeals. Upon the conclusion, the original paper documents will be reformatted as electronic files, verified and approved. Thereafter, all copied paper originals will be destroyed by state approved methods. The electronic files will be retained by the Board of Professional Responsibility permanently.
<b>RDA Signed Agency Form:</b>	2228.form.pdf



# Board of Professional Responsibility Board Docket Files

## Worksheet (A)

<b>Record Location:</b>	Board of Professional Responsibility 10 Cadillac Drive, Suite 220 Brentwood, TN
<b>File Arrangement:</b>	alpha numeric
<b>Media Format Generated:</b>	Both
<b>Media Format Generated Summary:</b>	
<b>Media Format Stored:</b>	Electronic
<b>Media Format Stored Summary:</b>	
<b>Date Range:</b>	2001 - Current
<b>Agency:</b>	Administrative Office of the Courts
<b>Allotment Code:</b>	
<b>Annual Accumulation:</b>	5 gigabytes 10 cubic feet
<b>Current Volume:</b>	355 gigabytes 124 cubic feet



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## Worksheet (B)

<b>Record Value:</b>	Legal
<b>Audit Requirements:</b>	State
<b>Information Shared Outside the State:</b>	No
<b>Shared Agencies:</b>	
<b>Essential Record:</b>	Yes - Original
<b>Confidential:</b>	No
<b>Does this record series contain sensitive information?:</b>	No
<b>Agency Retention:</b>	Permanently
<b>Retention Legal Citation:</b>	Tenn. Supreme Court Rule 9, Section 32
<b>Record Sample PDF:</b>	2228.sample.pdf



## Board of Professional Responsibility Board Docket Files

### Electronic Records Plan Inventory

<b>System Name:</b>	OnBase
<b>Hardware Description:</b>	We use a 3-OnBase server cluster as virtual machines hosted on a four (4) host cluster which is stored on a clustered file system; database is stored on another database server.
<b>Software Description:</b>	ESXi Windows 2012-A2 - OnBase - Hyper-V Windows 2012 R2 - Server 2014.
<b>System Location:</b>	Board of Professional Responsibility offices - 10 Cadillac Drive, Suite 220, Brentwood, Tennessee, in the server room; backup is on-site with additional backup stored on ASW Cloud in Virginia.
<b>Backup Procedures:</b>	Primary backup is the document management system's secondary storage. Second backup is nightly on-site to local NAS; third backup is currently to cloud on a weekly basis (to be upgraded to nightly); database is backed up every four hours.
<b>Disaster Recovery:</b>	Sufficient hardware and virtual capacity exists in order to restore and/or redeploy stored data and permit continuity of operations in accordance with our disaster recovery plans.
<b>Data Migration Description:</b>	Hyland software's OnBase data migration procedures



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### Metadata Description:

Metadata is indexed on the following key words: 102) Docket #; (103) Respondent Name OLD; (105) Private Discipline Type; (106) Reprimand Type; (107) County of Practice; (108) Rule #; (109) Verbal Description of Violation; (110) Closed #; (111) Complaint #; (112) Complainant; (113) Press Release Date; (114) Meeting Date; (115) Roster Type; (116) Term Year; (117) Revision Date; (118) Ethics Opinion Type; (119) Opinion Number; (120) Rule Number Addressed; (121) Key words(s) of Violation; (122) Date Discipline Issued; (123) Publication Date; (124) Date; (125) Topic; (126) Create/Revision Date; (127) Presentation Date; (128) Last Name; (129) First Name; (130) MI; (131) State; (132) License ID; (133) Case Participation Year; (134) Year; (Mult.); (135) Attorney Name; (136) Organization Name; (137) Document Type; (MISC-2); (138) Document Name; (139) Vendor Name; (140) Payment Date; (141) Memo Date; (142) Pleading Type; (143) Appellate Brief; (144) Evidence Issues; (145) Keywords of Argument (146) Department; (147) Type of Document; (149) Document Type (IF); (151) New Requests; (154) MISC - Document Type; (155) Registration Type; (157) AD Num; (158) Document Type; (BMM); (159) Rule 44 Organization; (160) Reference; (162) Respondent FN; (163) Respondent LN; (164) Respondent MI; (165) Respondent Suffix; (166) Respondent County Practice; (167) Respondent County/Practice; (Test); (168) Suffix; (169) Respondent County/Practice; (170) BPR #; (171) Document Type; (MISC); (172) Public Discipline Type; (173) Complainant FN; (174) Complainant LN; (175) Complainant MI; (176) Complainant Suffix; (177) Sent to CAP; (178) Status; (179) Form Name; (180) Misc.; (181) 2Complainant FN; (182) 2Complainant LN; (183) 2Complainant MI; (184) 2Complainant Suffix; (185) 3Complainant FN; (186) 3Complainant LN; (187) 3Complainant MI; (188) 3Complainant Suffix; (189) Alpha; (190) Description (PV); (191) Account Name; (192) CorpAtty; (193) Docket # (FD); (194) Closed # (FD); (195) Correspondence Type; (196) Month (RG); (197) Cause of Suspension; (198) Film Description 1; (199) Film Description 2; (202) Month (MR); (204) Document Type (AAC-2); (211) Bank Account; (217) Return Form; (218) Document Type (AAC-1); (223) Petty Cash Documents; (224) Document Type (AC); (231) Correspondence; (232) Month; (234) Document; (235) Year; (236) Start Date; (237) End Date; (238) Record Type; (239) Days; (240) Hours; (241) Comp Time; (242) Meeting Type; (243) Retired Reason; (244) Application; (245) Project Name; (246) Product; (247) Vendor; (248) Related BOPR Docket #; (249) Court & Case #; (250) Date Filed; (251) Date Closed; (252) Party; (253) Type; (254) Other; (255) Reference #; (256) Purchase Order #; (257) Complaint Closed Reason; (258) Complaint Source; (259) Docket Sheet #; (261) Title; (262) .Respondent FN; (263) .Respondent LN; (265) .Respondent MI; (266) .Respondent Suffix; (267) .BPR #; (268) .Complainant FN; (269) .Complainant LN; (270) .Complaint #; (272) .Docket #.



## Board of Professional Responsibility Board Docket Files

### RDA Comments

<b>Records Management Division (RMD)</b>	<b>2017-03-02</b> No recommended changes.
<b>Tennessee State Library and Archives</b>	<b>2017-03-02</b> No recommended changes.
<b>Comptroller Audit Review</b>	<b>2017-03-06</b> We have reviewed RDA 11189 from an audit standpoint. We concur with the recommended retention and disposition specifications.
<b>Agency Records Officer</b>	<b>2017-03-06</b> Thank you!
<b>RMD Director</b>	<b>2017-03-10</b> RDA 11189 is a request to revise an RDA. The retention period will remain permanent. The format will remain paper/electronic. The Total Retention, Disposition Notes, and Worksheet have been updated. Recommend approval of request to revise RDA 11189.
<b>Public Records Commission</b>	<b>2017-03-28</b> PRC approves RDA 11189