



**[Presenter: Julie Gibson, DQA/Trainer]**

Latonia briefly touched on Submission Error Notifications and error management during her presentation earlier. The Case Administrators are authorized by chambers to issue Submission Error Notifications, or “SENS” as well call them, to notify filers that something needs to be corrected.

## SUBMISSION ERROR NOTIFICATIONS

SUBMISSION ERROR NOTIFICATION: **Reaffirmation** - The attorney for the debtor signed Part C of the agreement but failed to check the box certifying the debtor is able to make the required payment. If this was an oversight, refile the document marked *Amended* within 10 days to avoid the matter being set for hearing. Please take immediate action to correct the error(s) noted herein. (Re: [12](#) Reaffirmation Agreement.) Date action required on reaffirmation agreement: 10/30/2017. (Davis, Lisa)

This is an example of one of our Submission Error Notifications. All Submission Error Notifications contain a **brief explanation** as to the problem and most of them contain **instructions to correct the error**, if needed.

They also contain a **link to the document** that needs to be fixed which is helpful if the deficient item was filed using a generic filing event such as "Amended Document."

## SUBMISSION ERROR NOTIFICATIONS (“SENS”)

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- Refile Not Required
- Filing Fee Due
- Service Related (163)
- Refiling Required (522)

We have several standard Submission Error Notifications, all but one of which requires action on the filer’s part to correct a problem. Each event contains a list of the most common errors of a certain type. The four most common are:

The “**Refile Not Required**” Submission Error Notification is to advise that there is a problem with the pleading but that due to time constraints, the document or pleading will be processed anyway. This is to let you know that something needs to be done differently next time. We don’t issue too many of these, comparatively speaking, and have only issued 18 of them in the past six months.

The SEN for “**Filing Fee Due**” is self-explanatory. The court will not take action on the issue and failure to pay the required filing fee will result in the matter being referred to the judge for further action. We have issued 64 of these notifications in the past six months.

The next two are service related notifications and notifications which advise you that the document or pleading must be refiled correctly before we can proceed. We have issued almost 700 SENs of these two types over the past six months and these two notifications types are our primary focus today.

The Submission Error Notifications related to service issues and the one to notify you that refile of a document is required are comprised of checkbox lists of nearly 50 common errors from which the Case Administrators select. They may also add text, usually as directed by chambers, to notify you of a not as common problem that needs to be fixed.

Of the frequent errors, the following are the top 5:

## SUBMISSION ERROR NOTIFICATIONS – TOP 5

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### 5. *Incomplete PDF*

- *The PDF document appears to be missing pages or other required information, i.e., the form appears to be missing critical information*

### 4. *Document Filed in Wrong Case*

- *The PDF document has a different debtor name and/or case number than the case in which it was filed*

**(5) Incomplete PDF:** The PDF document appears to be missing pages or other required information. That is, the form is missing critical information that must be provided before we can process it.

**(4) Document Filed in Wrong Case:** The PDF document has a different debtor name and/or case number than the case in which it was filed.

We also have a related notification for those documents filed in a bankruptcy case when they should have been filed in the related adversary proceeding, and vice versa. This is a fairly common error too, although not nearly as common as documents erroneously filed in an unrelated case.

## SUBMISSION ERROR NOTIFICATIONS – TOP 5

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### 3. *Incorrect Filing Event Used*

- *The filing event selected for docketing must match the PDF that is attached to the entry.*

### 2. *Incomplete or No Certificate of Service*

- *The document contains no Certificate of Service nor was one filed separately*  
- *OR - the document does not contain a complete list of the names and addresses of mail recipients and/or names and email addresses of electronic recipients*

**(3) Incorrect Filing Event Used:** The filing event selected must match the PDF that is attached during docketing. Many of the filing events in CM/ECF perform actions in the background such as setting or terminating deadlines, notifying Janet of the need to set a hearing, collecting statistics for reporting to Congress, and many, many other possibilities. Failure to use the correct filing event may also cause problems if there is to be an order entered on the pleading down the road.

**(2) Incomplete or No Certificate of Service:** The document contains no Certificate of Service or the Certificate of Service is not complete. To correct this problem, you may amend your original document to include a Certificate of Service or you may file a separate Certificate of Service and relate it to your original filing. Failure to certify that appropriate service has been made may result in cancellation of a hearing, the document being stricken from the case, or a motion being denied for lack of service.

Failure to certify proper service of an order will result in the Case Administrator referring the matter to chambers for action.

## SUBMISSION ERROR NOTIFICATIONS – TOP 5

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### *I. Document Not Signed/Not Properly Signed*

- *Main document must be signed as well as the Certificate of Service*

**And finally, our most common Submission Error Notification is to advise that the document is not signed or not properly signed.** In the past six months, we have entered over 160 Submission Error Notifications for lack of, or inadequate signatures. All pleadings and proofs of claim must be signed and if a certificate of service is contained within or attached to the document, it must be signed separately.

## SUBMISSION ERROR NOTIFICATIONS

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SUBMISSION ERROR NOTIFICATION: **Reaffirmation** - The attorney for the debtor signed Part C of the agreement but failed to check the box certifying the debtor is able to make the required payment. If this was an oversight, refile the document marked *Amended* within 10 days to avoid the matter being set for hearing. Please take immediate action to correct the error(s) noted herein. (Re: [12](#) Reaffirmation Agreement.) Date action required on reaffirmation agreement: 10/30/2017. (Davis, Lisa)

If you receive an SEN and are unable to determine what you should do to resolve the issue, please call the Case Administrator who entered it. Her name will be in parenthesis at the end of the docket entry.

