Office of the Superintendent of Bankruptcy Canada
An Agency of Industry Canada

Bureau du surintendant des faillites Canada
Un organisme d'Industrie Canada

E-Filing from A to Z

Division Office Work Flow

eFiling
A Smart Use of Technology

Canada

OSB • BSF
Protecting the Integrity of the Insolvency System
Protéger l'intégrité du système d'insolvabilité

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This publication is also available electronically on the OSB Intranet site at the following address:
http://icweb.ic.gc.ca/epic/intranet/icosb-bsf.nsf/intro

Aussi offert en français sous le titre *Le dépôt électronique de A à Z*.

100% recycled material

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What to do when…

Forms and documents

System administrator functions

Welcome to E-Filing!

E-Filing has been called the future of bankruptcy administrations — and with good reason. Trustees tell us it's simple, fast and easy. One trustee has said that next to computerization itself, e-filing is the single biggest improvement in the consumer bankruptcy administration process in two decades.

Our goal, in providing this new and updated manual, is to make it as easy as possible for you, too. We've introduced features that allow you to find what you need, as quickly as you need it.

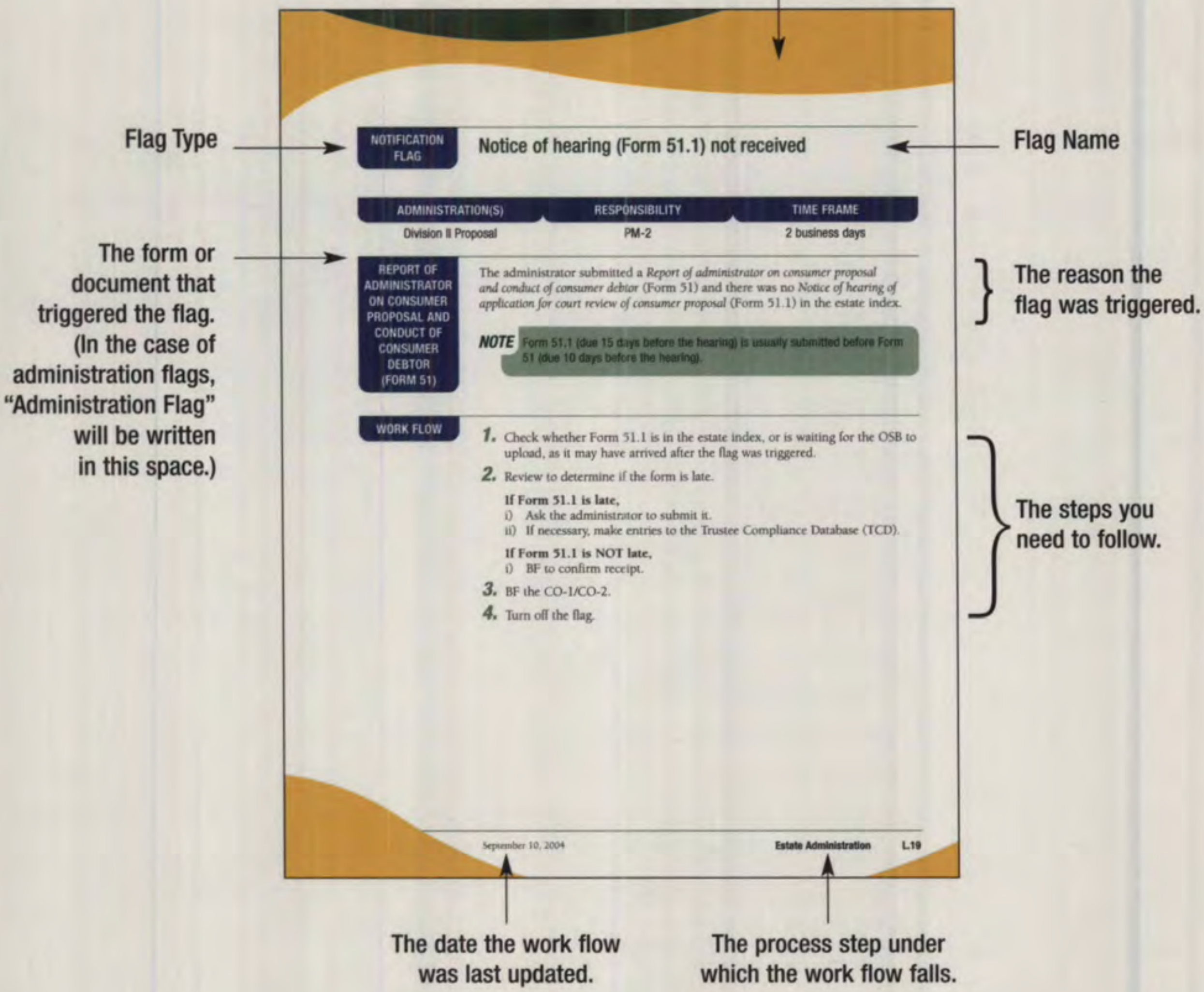
Our goal, in providing this new and updated manual, is to make it as easy as possible for you, too.

New features make it easy!

The new manual has been designed around you and what you need to work quickly and efficiently:

- ***Fully alphabetized indexes*** — You can now find it easily in one of three indexes located at the *front* of the book. Depending on your needs or style of work, the new manual allows you to search for a specific work flow by flag name, by form or softcopy document submitted or by subject.
- ***Improved colour-coding*** — To make it easier for you, we've colour-coded the pages and the tabs to match the flags.
- ***Easy-to-understand work flow pages*** — Although the structure of the manual remains the same, we've fine-tuned the format of the work flow pages, making them easier than ever to understand and use (*see* Figure 1).
- ***Important notes*** — Throughout the manual, you will find highlighted notes that bring attention to important issues.
- ***Flag Responsibility Reference Guide*** — Included with the manual is a new desk-top Reference Guide that enables you to see at a glance who is responsible for turning a flag off.
- ***Parallel editions*** — For those of you who go back and forth between the English and French manuals, it will be helpful to know that the number of the first page of any work flow is the same in both languages.

Figure 1



Those are just the highlights, of course. Here is a closer look at what's inside:

In **Section A, Index by forms**, you will find a very helpful index by *form* names while **Section B, Index by flag names** offers another approach.

In **Section C, Full index**, you will find a complete, alphabetized index that allows you to search for a work flow by flag, form or subject or search, by subject, for any other information contained in the book.

Section D, Manual Review, outlines all flags and related work flows for manual reviews.

Sections E through J cover work flows related to **Action flags** while **Sections K through P** cover all work flows related to **Notification flags** during all stages of the process.

Section Q, Other Work Flows, has been set aside to cover all other work flows not specific to Manual Review, Action or Notification flags.

Section R, How the System Works, looks at the practical aspects of how the system works.

You will likely find **Section S, What to do When...**, particularly helpful. It deals with, among other things, unusual situations such as what to do when the system shuts down or what to do when dealing with joint filings.

Section T, Forms and Documents, provides additional information on prescribed forms and softcopy documents, while **Section U, System Administrator Functions**, speaks to the functions of the both local and head-office system administrators.

Finally, **Section V, Glossary**, contains a list of terms.

E-Filing Flags

Manual-Review Flags
These flags indicate that the submission must be manually reviewed by an official receiver.

Action Flags
These flags indicate that an action must be taken before the flag can be turned off.

Notification Flags
These flags indicate that the submission must be reviewed; action may or may not be necessary.

Administration Flags
or
Unlike other flags, these are raised against the administration itself and are not attached to a specific document. An administration flag may be either an action flag or a notification flag.

Staying current

As the e-filing system continues to evolve, updates will be posted on the OSB Intranet. Whenever an update is issued, you will be contacted by email. Periodically, new printed pages will be sent to you.

The current manual is also available online as a fully searchable PDF document. Special features of this electronic manual include indexes in which each item is linked from the index item to its respective page. Other links are also highlighted throughout the document.

Help is never far away

The more you use the manual, the more familiar you will become — and the better you'll get at using it. But if you do need further assistance, please contact the e-filing coordinator in your office.

We welcome your suggestions

This new manual has been developed in consultation with OSB employees who use the e-filing system. However, we are always looking for ways to improve the manual and make using it even easier. If you have any suggestions, please let us know by contacting **OSB Workflow/Processus BSF** (the address can be found in your Outlook address book).

Index by forms

NOTE Please note that the following flag may apply to **any softcopy document**:
- Document conversion failed, F1

The following flags may apply to **any softcopy document or prescribed form:**
- Submission against an annulled bankruptcy, L14
- File changed from paper, P1

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Manual Review

D – Manual Review

MANUAL REVIEW FLAG

Trustee license flagged for manual review

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The DAS has determined that all of the trustee/administrator's initial filings must be manually reviewed by a PM-2 before they are accepted or rejected.

NOTE The filing will remain in the manual review folder until all manual review flags are turned off **and** the filing has been accepted or rejected. If the filing is accepted, don't forget to send a certificate of appointment (*see* "Generate certificate of appointment" work flow, p. E.1) or certificate of filing (*see* "Generate certificate of filing" work flow, p. E.2).

WORK FLOW

1. Review the filing and, if necessary, BF the CO-1/CO-2.
2. Either accept or reject the filing once all manual review flags are turned off.

   To reject the filing,

   i) Inform the trustee that the filing will be rejected.

   ii) If necessary, make entries to the Trustee Compliance Database (TCD).

   iii) Reject the filing.

NOTE When a filing is rejected, the e-filing system deletes the temporary file and advises the trustee/administrator by email that the filing has been rejected. No reason is given for the rejection of the filing in the email; trustees/administrators who want more information may email the division office directly.

MANUAL REVIEW FLAG

Debtor has a non Canadian address

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The trustee/administrator submitted an initial filing. The *Estate Information Summary* (EIS) indicates that the debtor has a non-Canadian address.

NOTE The filing will remain in the manual review folder until all manual review flags are turned off **and** the filing has been accepted or rejected. If the filing is accepted, don't forget to send a certificate of appointment (*see* "Generate certificate of appointment" work flow, p. E.1) or certificate of filing (*see* "Generate certificate of filing" work flow, p. E.2).

WORK FLOW

1. Determine whether the debtor is eligible to file a summary administration or Division II proposal under the BIA.

If the debtor is eligible to file,

i) Accept the filing once all manual review flags are turned off.
ii) BF the CO-1/CO-2.

NOTE The debtor's non-Canadian address populates IMPACT in the "memo" field, not to the "estate profile" screen. The trustee/administrator's address will populate the "estate profile" screen as an "in care of."

▶

MANUAL REVIEW FLAG

Debtor has a non Canadian address *(continued)*

WORK FLOW *(continued)*

If the debtor is NOT eligible to file,

i) Inform the trustee/administrator that the filing will be rejected.
ii) If necessary, make entries to the Trustee Compliance Database (TCD).
iii) Reject the filing once all manual review flags are turned off.

NOTE When a filing is rejected, the e-filing system deletes the temporary file and advises the trustee/administrator by email that the filing has been rejected. No reason is given for the rejection of the filing in the email; trustees/administrators who want more information may email the division office directly.

MANUAL REVIEW FLAG

Trustee has chosen division office – new or missing postal code

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The e-filing system was unable to select a division office based on the debtor's postal code because the postal code is either missing or not "mapped" (linked) to a division office. The trustee/administrator selected a division office.

NOTES This flag will be triggered only when the trustee/administrator can file in more than one division office.

The filing will remain in the manual review folder until all manual review flags are turned off **and** the filing has been accepted or rejected. If the filing is accepted, don't forget to send a certificate of appointment (*see* "Generate certificate of appointment" work flow, p. E.1) or certificate of filing (*see* "Generate certificate of filing" work flow, p. E.2).

WORK FLOW

1. Determine whether the trustee/administrator selected the correct division office.

If the division office is CORRECT,

i) Accept the file once all manual review flags are turned off.

If the division office is INCORRECT,

i) Inform the trustee/administrator that the filing will be rejected and must be resubmitted to the correct division office.
ii) If necessary, make entries to the Trustee Compliance Database (TCD).
iii) Reject the filing once all manual review flags are turned off.

NOTE When a filing is rejected, the e-filing system deletes the temporary file and advises the trustee/administrator by email that the filing has been rejected. No reason is given for the rejection of the filing in the email; trustees/administrators who want more information may email the division office directly.

2. Report the new or missing postal code to the Help Desk.

MANUAL REVIEW FLAG

Trustee has chosen division office – postal code not mapping to jurisdiction

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The division office selected by the e-filing system did not fall within the trustee/administrator's licensed jurisdiction. The trustee/administrator, when presented with the drop-down list of offices linked to his/her licence, overwrote the e-filing system's choice of division office.

NOTES This flag will be triggered only for trustees/administrators who can file in more than one division office.

The filing will remain in the manual review folder until all manual review flags are turned off **and** the filing has been accepted or rejected. If the filing is accepted, don't forget to send a certificate of appointment (*see* "Generate certificate of appointment" work flow, p. E.1) or certificate of filing (*see* "Generate certificate of filing" work flow, p. E.2).

WORK FLOW

1. Determine whether the trustee/administrator selected the correct division office.

If the division office is CORRECT,

i) Accept the filing once all manual review flags are turned off.
ii) Report postal code to Help Desk.

▶

MANUAL REVIEW FLAG

Trustee has chosen division office – postal code not mapping to jurisdiction *(continued)*

WORK FLOW *(continued)*

If the division office is INCORRECT,

i) Inform the trustee/administrator that the filing will be rejected and must be resubmitted to the correct division office.
ii) If necessary, make entries to the Trustee Compliance Database (TCD).
iii) Reject the filing once all manual review flags are turned off.

NOTES If the correct division office is in the trustee's jurisdiction, report the postal code to the Help Desk. If the correct division office is not in the trustee's jurisdiction, do not report postal code to help desk.

When a filing is rejected, the e-filing system deletes the temporary file and advises the trustee/administrator by email that the filing has been rejected. No reason is given for the rejection of the filing in the email;trustees/administrators who want more information may email the division office directly.

MANUAL REVIEW FLAG

Trustee has overwritten division office – postal code mapping did not fail

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The trustee/administrator overwrote an acceptable division office selected by the e-filing system.

NOTE The filing will remain in the manual review folder until all manual review flags are turned off **and** the filing has been accepted or rejected. If the filing is accepted, don't forget to send a certificate of appointment (*see* "Generate certificate of appointment" work flow, p. E.1) or certificate of filing (*see* "Generate certificate of filing" work flow, p. E.2).

WORK FLOW

1. Determine whether the trustee/administrator selected the correct division office.

If the division office is CORRECT,

i) Accept the filing once all manual review flags are turned off.
ii) Report the postal code error to Help Desk.

NOTE If the division office is correct based on the debtor's address then the postal code mapping must have been wrong.

If the division office is INCORRECT,

i) Inform the trustee/administrator that the filing will be rejected and must be resubmitted to the correct division office.
ii) If necessary, make entries to the Trustee Compliance Database (TCD).
iii) Reject the filing once all manual review flags are turned off.

NOTE When a filing is rejected, the e-filing system deletes the temporary file and advises the trustee/administrator by email that the filing has been rejected. No reason is given for the rejection of the filing in the email; trustees/administrators who want more information may email the division office directly.

MANUAL REVIEW FLAG

E-filing selected division office – new or missing postal code

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The e-filing system selected the division office based only on the trustee/administrator's licence information because of a postal code look-up failure.

NOTE The filing will remain in the manual review folder until all manual review flags are turned off and the filing has been accepted or rejected. If the filing is accepted, don't forget to send a certificate of appointment (see "Generate certificate of appointment" work flow, p. E.1) or certificate of filing (see "Generate certificate of filing" work flow, p. E.2).

WORK FLOW

1. Determine whether the e-filing system selected the correct division office.

If the division office is CORRECT,

i) Accept the filing once all manual review flags are turned off.

If the division office is INCORRECT,

i) Inform the trustee/administrator that the filing will be rejected and must be resubmitted to the correct division office.
ii) If necessary, make entries to the Trustee Compliance Database (TCD).
iii) Reject the filing once all manual review flags are turned off.

NOTE When a filing is rejected, the e-filing system deletes the temporary file and advises the trustee/administrator by email that the filing has been rejected. No reason is given for the rejection of the filing in the email; trustees/administrators who want more information may email the division office directly.

2. Report the new or missing postal code to the Help Desk.

MANUAL REVIEW FLAG

E-filing selected division office – postal code not mapping to jurisdiction

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The e-filing system selected the division office based only on the trustee/administrator's licence information because the postal code mapping did not fall within the trustee/administrator's licensed jurisdiction.

NOTE The filing will remain in the manual review folder until all manual review flags are turned off **and** the filing has been accepted or rejected. If the filing is accepted, don't forget to send a certificate of appointment (*see* "Generate certificate of appointment" work flow, p. E.1) or certificate of filing (*see* "Generate certificate of filing" work flow, p. E.2).

WORK FLOW

1. Determine whether the e-filing system selected the correct division office.

If the division office is CORRECT,

i) Accept the filing once all manual review flags are turned off.

If the division office is INCORRECT,

i) Inform the trustee/administrator that the filing will be rejected and must be resubmitted to the correct division office.
ii) If necessary, make entries to the Trustee Compliance Database (TCD).
iii) Reject the filing once all manual review flags are turned off.

2. Report the new or missing postal code to the Help Desk.

NOTE When a filing is rejected, the e-filing system deletes the temporary file and advises the trustee/administrator by email that the filing has been rejected. No reason is given for the rejection of the filing in the email; trustees/administrators who want more information may email the division office directly.

MANUAL REVIEW FLAG

Verify previous Div II status with trustee

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The trustee submitted a summary administration and the e-filing system detected a Division II proposal prior to court or deemed court approval. There is no *Notice of status of consumer proposal* (Form 52) in the estate index. Because there is a five-day window for the trustee to send Form 52, it may be that the proposal has been withdrawn, refused or rejected but the OSB has not received notice prior to the filing of the summary administration.

NOTES The e-filing system will make any appropriate cross-references. This flag is to ensure that Form 52 is received, if required, and the coding and dates are appropriate. The official receiver would never reject the assignment based on this flag alone.

The file will remain in the manual review folder until all manual review flags are turned off **and** the file has been accepted or rejected. If the file is accepted, don't forget to send a certificate of appointment (*see* "Generate certificate of appointment" work flow, p. E.1).

Review any other action and notification flags and make any necessary changes to IMPACT before generating the certificate of appointment in IMPACT. This may include dealing with other flags and turning them off before sending the certificate of appointment.

WORK FLOW

1. Check whether Form 52 is in the estate index, as it may have arrived since the flag was triggered.

▶

MANUAL REVIEW FLAG

Verify previous Div II status with trustee *(continued)*

WORK FLOW *(continued)*

2. If Form 52 is not in the estate index, contact the administrator to determine the status of the proposal.

If Form 52 is not required,

i) Accept the assignment when all manual review flags are turned off.

NOTE The e-filing system will:

- Code the assignment Voluntary assignment following Div II proposal (22).
- Enter the date of initial bankruptcy event (DIBE) and date of proceeding as the date the proposal was filed.
- Update the proposal to Withdrawn Div II proposal before approval (33).

If Form 52 is required,

i) Ask the administrator to submit Form 52 and BF to confirm receipt. If the form is late, make entries to the Trustee Compliance Database (TCD).

ii) When you receive Form 52 (or have sufficient information to warrant accepting the file), and all manual review flags are turned off, accept the assignment.

iii) If the proposal has been withdrawn, rejected by creditors or refused by the court, check the date of the withdrawal/rejection/refusal to determine the appropriate DIBE and date of proceeding. The e-filing system will always set the DIBE and date of proceeding to the date the proposal was filed. You must go into IMPACT to change the dates to the date the summary administration was accepted if the proposal was withdrawn, rejected or refused prior to court approval.

NOTE The acceptance of Form 52 on the Division II file after the summary file has been placed into manual review will not change the dates, but will update the estate type code.

3. Turn off the flag.

MANUAL REVIEW FLAG

Verify status of previous petition

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The trustee/administrator submitted a summary administration or a Division II proposal for a debtor against whom a Petition for receiving order (01) is pending.

Because the OSB does not always receive timely updates regarding petitions, and to check the accuracy of OSB data, you must check the status of the petition before deciding whether to accept the summary administration or Division II proposal.

NOTES The file will remain in the manual review folder until all manual review flags are turned off **and** the file has been accepted or rejected. If the file is accepted, don't forget to send a certificate of filing (*see* "Generate certificate of filing" work flow, p. E.2) or a certificate of appointment (*see* "Generate certificate of appointment" work flow, p. E.1).

Review any other action and notification flags and make any necessary changes to IMPACT before generating the certificate of appointment or certificate of filing in IMPACT. This may include dealing with other flags and turning them off before sending the certificate of appointment or certificate of filing.

SUMMARY ADMINISTRATION WORK FLOW

1. Determine the status of the petition.

   If the petition is pending (Petition for receiving order (01) or Petition inactive (04)),
   i) Contact the trustee and tell him/her why you are rejecting the assignment.
   ii) Reject the assignment when all manual review flags are turned off.

   If the petition has been dismissed or withdrawn,
   i) In IMPACT, update the estate type code to Petition dismissed or withdrawn (02).
   ii) Accept the assignment when all manual review flags are turned off.

   If the petition has been granted and the bankrupt is discharged,
   i) In IMPACT, update the estate type code to Petition granted (03).
   ii) Accept the assignment when all manual review flags are turned off.
   iii) Update the date of initial bankruptcy event (DIBE) to the date the summary administration was accepted.
   iv) Manually cross-reference the assignment and the receiving order.
   v) If necessary, make entries to the Trustee Compliance Database (TCD).

▶

MANUAL REVIEW FLAG

Verify status of previous petition *(continued)*

SUMMARY ADMINISTRATION WORK FLOW *(continued)*

If the petition has been granted and the bankrupt IS NOT discharged,

i) Contact the trustee and tell him/her why you are rejecting the assignment.
ii) In IMPACT, update the estate type code to Petition granted (03).
iii) Reject the assignment.

2. Turn off the flag.

DIVISION II WORK FLOW

1. Determine the status of the petition.

> ***NOTES*** **The e-filing system will back-date the DIBE to the date of the filing of the petition and the date of proceeding will be the date the Division II proposal was filed.**
>
> **Check whether any previous petitions were filed, as the DIBE should be the earliest date a petition was filed against the debtor. The e-filing system will look to the most recent petition date.**

If the petition is pending (Petition for receiving order (01) or Petition inactive (04)),

i) Accept the filing when all manual review flags are turned off. Do not update the petition code in IMPACT.

If the petition has been dismissed or withdrawn,

i) In IMPACT, update the estate type code to Petition dismissed or withdrawn (02).
ii) Accept the filing when all manual review flags are turned off.
iii) Update the DIBE to the date the summary was accepted.

If the petition has been granted and the bankrupt is discharged,

i) In IMPACT, update the estate type code to Petition granted (03).
ii) Accept the filing when all manual review flags are turned off.
iii) Update the DIBE to the date the petition was filed.

If the petition has been granted and the bankrupt IS NOT discharged,

i) Contact the administrator and tell him/her why you will be rejecting the filing, and ask that he/she resubmit the documents electronically, this time including the prior proceeding information (estate number for the bankruptcy) on the *Estate Information Summary* (EIS).
ii) Reject the filing.

2. Turn off the flag.

MANUAL REVIEW FLAG

Verify inactive status of petition

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The trustee/administrator submitted a summary administration or Division II proposal for a debtor against whom there is an outstanding inactive petition (Petition inactive (04)). Because "inactive" is not a legal status, but rather a status given by the DAS to clean up inventory, it is necessary to check the actual status of the petition to ensure that it has not resulted in a receiving order or been dismissed or withdrawn. It may be necessary to update the petition status in IMPACT.

NOTES The file will remain in the manual review folder until all manual review flags have been turned off **and** the file has been accepted or rejected. If the file is accepted, don't forget to send a certificate of filing (*see* "Generate certificate of filing" work flow, p. E.2) or a certificate of appointment (*see* "Generate certificate of appointment" work flow, p. E.1).

Review any other action and notification flags and make any necessary changes to IMPACT before generating the certificate of appointment or certificate of filing in IMPACT. This may include dealing with other flags and turning them off before sending the certificate of appointment or certificate of filing.

SUMMARY ADMINISTRATION WORK FLOW

1. Determine the status of the petition.

If the petition is pending (Petition for receiving order (01) or Petition inactive (04)),

i) Contact the trustee and tell him/her why you are rejecting the assignment.
ii) Reject the assignment when all manual review flags are turned off.

If the petition has been dismissed or withdrawn,

i) In IMPACT, update the estate type code to Petition dismissed or withdrawn (02).
ii) Accept the assignment when all manual review flags are turned off.

If the petition has been granted and the bankrupt is discharged,

i) In IMPACT, update the estate type code to Petition granted (03).
ii) Accept the assignment when all manual review flags are turned off.
iii) Update the date of initial bankruptcy event (DIBE) to the date the summary administration was accepted.
iv) Manually cross-reference the assignment and the receiving order.
v) If necessary, make entries to the Trustee Compliance Database (TCD).

▶

MANUAL REVIEW FLAG

Verify inactive status of petition *(continued)*

SUMMARY ADMINISTRATION WORK FLOW *(continued)*

If the petition has been granted and the bankrupt IS NOT discharged,

i) Contact the trustee and tell them why you are rejecting the assignment.
ii) In IMPACT, update the estate type code to Petition granted (03).
iii) Reject the assignment.

2. Turn off the flag.

DIVISION II WORK FLOW

1. Determine the status of the petition.

NOTES The e-filing system will back-date the DIBE to the date of the filing of the petition and the date of proceeding will be the date the Division II proposal was filed.

Check whether any previous petitions were filed, as the DIBE should be the earliest date a petition was filed against the debtor. The e-filing system will look to the most recent petition date.

If the petition is pending (Petition for receiving order (01) or Petition inactive (04)),

i) Accept the filing when all manual review flags are turned off. Do not update the petition code in IMPACT.

If the petition has been dismissed or withdrawn,

i) In IMPACT, update the estate type code to Petition dismissed or withdrawn (02).
ii) Accept the filing when all manual review flags are turned off.
iii) Update the DIBE to the date the summary was accepted.

If the petition has been granted and the bankrupt is discharged,

i) In IMPACT, update the estate type code to Petition granted (03).
ii) Accept the filing when all manual review flags are turned off.
iii) Update the DIBE to the date the petition was filed.

If the petition has been granted and the bankrupt IS NOT discharged,

i) Contact the administrator and tell him/her why you will be rejecting the filing, and ask that he/she resubmit the documents electronically, this time including the prior proceeding information (estate number for the bankruptcy) on the *Estate Information Summary* (EIS).
ii) Reject the filing.

2. Turn off the flag.

MANUAL REVIEW FLAG

Verify status of receiving order

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The trustee/administrator submitted a summary administration or Division II proposal for a debtor. The *Estate Information Summary* (EIS) indicates a previous petition (Petition granted (03)), but the trustee/administrator has not supplied an estate number for a receiving order. You need to determine whether there is a receiving order and, if there is, whether the bankrupt has been discharged.

NOTES The e-filing system will return a submission if the trustee/administrator provides only one estate number and it relates to a petition. This flag is triggered when there is a proceeding that pre-dates the petition.

The file will remain in the manual review folder until all manual review flags are turned off **and** the file has been accepted or rejected. If the file is accepted, don't forget to send a certificate of appointment (*see* "Generate certificate of appointment" work flow, p. E.1) or a certificate of filing (*see* "Generate certificate of filing" work flow, p. E.2).

Review any other action and notification flags and make any necessary changes to IMPACT before generating the certificate of appointment or certificate of filing in IMPACT. This may include dealing with other flags and turning them off before sending the certificate of appointment or certificate of filing.

SUMMARY ADMINISTRATION WORK FLOW

1. Determine the status of the petition and the receiving order.

If the petition has been granted (Petition granted (03)) and the bankrupt is discharged,

i) Accept the assignment after all manual review flags are turned off. The e-filing system will use the current date as the date of filing, date of proceeding and date of initial bankruptcy event (DIBE), and will cross-reference the petition and the assignment.
ii) Manually cross-reference the assignment and receiving order.
iii) If necessary, make entries to the Trustee Compliance Database (TCD).

If the petition has been granted (Petition granted (03)) and the bankrupt IS NOT discharged,

i) Contact the trustee and tell him/her why you are rejecting the assignment.
ii) Reject the assignment.

MANUAL REVIEW FLAG

Verify status of receiving order *(continued)*

SUMMARY ADMINISTRATION WORK FLOW *(continued)*

If the petition is pending,

i) In IMPACT, update the estate type code to Petition pending (01) or Petition inactive (04).

ii) Contact the trustee and tell him/her why you will be rejecting the assignment.

iii) Reject the assignment when all manual review flags are turned off.

If the petition has been dismissed or withdrawn,

i) In IMPACT, update the estate type code to Petition dismissed or withdrawn (02).

ii) Accept the assignment when all manual review flags are turned off.

2. Turn off the flag.

DIVISION II WORK FLOW

1. Determine the status of the petition and the receiving order.

NOTE The system will back-date the DIBE to the date of the filing of the petition and the date of proceeding will be the date the Division II proposal was filed.

If the petition has been granted (Petition granted (03)) and the bankrupt is discharged,

i) Accept the filing when all manual review flags are turned off.

ii) Manually cross-reference the Division II proposal to the receiving order.

If the petition has been granted (Petition granted (03)) and the bankrupt IS NOT discharged,

i) Inform the administrator that you will be rejecting the filing because the e-filing system needs the estate number for the receiving order to correctly process the proposal.

ii) Ask the administrator (if the administrator is also a trustee) to resubmit electronically including the estate number for the receiving order (if the bankruptcy is a summary administration).

iii) Reject the filing.

NOTE The estate type code Div II proposal by a bankrupt (65) does not message back to the e-filing system (i.e., the e-filing system can't tell that there's an undischarged bankruptcy). The e-filing system would therefore give the proposal a new estate number rather than updating the bankruptcy code to 65. Because of this, it is necessary to reject the proposal.

▶

MANUAL REVIEW FLAG

Verify status of receiving order *(continued)*

DIVISION II WORK FLOW *(continued)*

If the petition is inactive or pending,

i) In IMPACT, update the estate type code to Petition inactive (04) or Petition pending (01).
ii) Accept the filing when all manual review flags are turned off.
iii) Update the DIBE to the date the petition was filed.

If the petition has been dismissed or withdrawn,

i) In IMPACT, update the estate type code to Petition dismissed or withdrawn (02).
ii) Accept the proposal after all manual review flags are turned off.

2. Turn off the flag.

MANUAL REVIEW FLAG

Summary administration submitted before Div II has been updated to annulled

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The trustee submitted a summary administration for a bankrupt with a current Division II proposal with a *Court order annulling the consumer proposal (non bankrupt)* (Form 53.1) in the estate index. The proposal's status in IMPACT has not been updated to "annulled." This may be simply because the flag on Form 53.1 has not been dealt with yet. There was no *Notice to creditors and report to official receiver on annulment of the consumer proposal of a consumer debtor who was not a bankrupt* (Form 53) in the estate index (the e-filing system automatically updates the estate when Form 53 is submitted).

NOTES **The file will remain in the manual review folder until all manual review flags are turned off and the file is accepted or rejected. If the file is accepted, don't forget to send a certificate of appointment (*see* "Generate certificate of appointment" work flow, p. E.1).**

Review any other action and notification flags and make any necessary changes to IMPACT before generating the certificate of appointment in IMPACT. This may include dealing with other flags and turning them off before sending the certificate of appointment.

WORK FLOW

1. Check the estate index as Form 53 may have arrived since the flag was triggered.
2. Accept the assignment when all manual review flags are turned off. The e-filing system will code the summary administration as Voluntary assignment following Div II proposal (22).
3. Update the date of initial bankruptcy event (DIBE) and date of proceeding to the date the summary administration was accepted.
4. Update the Division II estate type code to Court annulment – Div II proposal by a debtor – ineligible (84) and the discharge type code to Failed proposal (11) if Form 53 isn't in the estate index.
5. Turn off the flag.

MANUAL REVIEW FLAG

Three or more debtors listed on EIS

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The administrator submitted a Division II proposal that is a joint filing with three or more debtors. This flag is to ensure that all debtors included in the filing are eligible to file a Div II proposal.

NOTES The file will remain in the manual review folder until all manual review flags are turned off **and** the file has been accepted or rejected. If the file is accepted, don't forget to send a certificate of filing (*see* "Generate certificate of filing" work flow, p. E.2).

Review any other action and notification flags and make any necessary changes to IMPACT before generating the certificate of filing in IMPACT. This may include dealing with other flags and turning them off before sending the certificate of filing.

WORK FLOW

1. Check each debtor's eligibility.
2. Accept the filing when all manual review flags are turned off.
3. Turn off the flag

MANUAL REVIEW FLAG

Date of birth does not match previous proceeding

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The trustee/administrator submitted a summary administration or Division II proposal that includes on the *Estate Information Summary* (EIS) an estate number for a previous proceeding for the debtor. The previous proceeding is not a petition or a receivership, and has not been absolutely discharged. The dates of birth on the two estates do not match.

The purpose of this flag is to determine whether these proceedings are for the same debtor.

NOTES The file will remain in the manual review folder until all manual review flags are turned off **and** the file has been accepted or rejected. If the file is accepted, don't forget to send a certificate of appointment (*see* "Generate certificate of appointment" work flow, p. E.1) or a certificate of filing (*see* "Generate certificate of filing" work flow, p. E.2).

Review any other action and notification flags and make any necessary changes to IMPACT before generating the certificate of appointment or certificate of filing in IMPACT. This may include dealing with other flags and turning them off before sending the certificate of appointment or certificate of filing.

WORK FLOW

1. Determine whether the proceedings are for the same debtor by comparing the two estates.

If the proceedings are for the same debtor,

i) Accept the assignment/filing when all manual review flags are turned off.

▶

MANUAL REVIEW FLAG

Date of birth does not match previous proceeding *(continued)*

WORK FLOW *(continued)*

If the proceedings are for different debtors,

i) Contact the trustee/administrator and tell him/her why you will be rejecting the filing and ask that he/she resubmit the estate electronically after they have removed the incorrect previous proceeding information from the EIS.

ii) Reject the assignment/filing.

2. If necessary, make entries to the Trustee Compliance Database (TCD).

3. Turn off the flag.

NOTE The file **must** be rejected in this case because the e-filing system will connect the estates using update codes when it should be two separate estates.

Initial Filing

ACTION FLAG

Generate certificate of appointment

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

ADMINISTRATION FLAG

This action flag is a reminder to generate the certificate of appointment electronically in IMPACT. It is triggered after all manual review flags have been turned off and the file has been accepted by the official receiver (PM-2).

WORK FLOW

1. Review any other action and notification flags and make any necessary changes to IMPACT. (This may include dealing with other flags and turning them off.)
2. Click on the **send to e-file** button on the document review screen to send the certificate of appointment from IMPACT to the e-filing system. The certificate of appointment will be added to the estate index in the e-filing system and be sent to the trustee by e-mail.

NOTE Don't use the **send to e-file** function if there are **joint debtors** and not all should receive a certificate of appointment (the send to e-file function will upload the certificate to all estates). Instead, generate the certificate in WordPerfect and upload it to the correct estates.

3. Turn off the flag.

ACTION FLAG

Generate certificate of filing

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

ADMINISTRATION FLAG

This action flag is a reminder to generate the certificate of filing electronically in IMPACT. It is triggered after all other manual review flags have been turned off and the file has been accepted.

WORK FLOW

1. Review any other action and notification flags and make any necessary changes to IMPACT. (This may include dealing with other flags and turning them off.)
2. Clicking on the **send to e-file** button on the document review screen to send the certificate of filing from IMPACT to the e-filing system. The certificate of filing will be added to the estate index in the e-filing system and be sent to the administrator by email.
3. Turn off the flag.

ACTION FLAG

Alert

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

ALERT

The trustee/administrator has entered comments in the "Trustee/Administrator Alert to OSB" (e.g., warning of a potentially violent person or indicating that the debtor's address should not be added to the name search database).

WORK FLOW

1. Identify the issue.
2. If necessary, BF the CO-1 or CO-2.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

ACTION FLAG

Trustee has overwritten court division – postal code mapping did not fail

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	CR	2 business days

ESTATE INFORMATION SUMMARY (EIS)

When uploading the initial filing, the trustee/administrator chose a court district other than that selected by the e-filing system.

WORK FLOW

1. Determine whether the court district chosen by the trustee/administrator is appropriate by checking the division number on the certificate of appointment/certificate of filing. If there is a question about the locality of the debtor, BF the PM-2.

If the court district is not appropriate,

i) Update IMPACT.

ii) Click on the **send to e-file** button on the document request screen to forward the amended certificate to the trustee/administrator.

If the court district is appropriate,

i) Contact the Help Desk to report the postal code error.

2. Turn off the flag.

ACTION FLAG

Trustee has chosen court division – new or missing postal code

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	CR	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The trustee/administrator chose a court district because the e-filing system failed to make a selection because the postal code is either missing or new.

WORK FLOW

1. Determine whether the court district chosen by the trustee/administrator is appropriate by checking the division number on the certificate of appointment/certificate of filing.

If the court district is not appropriate,

i) Update IMPACT.
ii) Click on the **send to e-file** button on the document request screen to forward the amended certificate to the trustee/administrator.
iii) Contact the Help Desk to report the new or missing postal code.

If the court district is appropriate,

i) Contact the Help Desk to report the new or missing postal code.

2. Turn off the flag.

ACTION FLAG

Trustee has chosen court division – postal code not mapping to jurisdiction

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	CR	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The trustee/administrator chose a court district other than that selected by the e-filing system because the postal code does not fall within his/her licensed jurisdiction.

WORK FLOW

1. Determine whether the court district chosen by the trustee/administrator is appropriate by checking the division number on the certificate of appointment/certificate of filing.

If the court district is not appropriate,

i) Update IMPACT.

ii) Click on the **send to e-file** button on the document request screen to forward the amended certificate to the trustee/administrator.

If the court district is appropriate,

i) Contact the Help Desk to report the postal code error.

2. Turn off the flag.

ACTION FLAG

E-filing selected court division – new or missing postal code

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	CR	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The e-filing system selected the court division based on the trustee/administrator's licensing information alone, because the postal code is either missing or new.

WORK FLOW

1. Determine whether the court division chosen by the e-filing system is appropriate by checking the division number on the certificate of appointment/certificate of filing.

If the court district is not appropriate,

i) Update IMPACT.
ii) Click on the **send to e-file** button on the document request screen to forward the amended certificate to the trustee/administrator.
iii) Contact the Help Desk to report the new or missing postal code.

If the court district is appropriate,

i) Contact the Help Desk to report the new or missing postal code.

2. Turn off the flag.

ACTION FLAG

E-filing selected court division – postal code not mapping to jurisdiction

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	CR	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The e-filing system selected a court division based on the trustee/administrator's licensing information alone because the postal code does not fall within the trustee/administrator's licensed jurisdiction.

WORK FLOW

1. Determine whether the court division chosen by the e-filing system is appropriate by checking the division number on the certificate of appointment/certificate of filing.

   If the court division is not appropriate,
   i) Update IMPACT.
   ii) Click on the **send to e-file** button on the document request screen to forward the amended certificate to the trustee/administrator.

   If the court division is appropriate,
   i) Contact the Help Desk to report the postal code error.

2. Turn off the flag.

ACTION FLAG

Creditor meeting requested

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The *Estate Information Summary* (EIS) indicates a first meeting of creditors. The system will not populate the meeting information to IMPACT.

NOTE The automatic certificate of appointment/certificate of filing generated by the e-filing system will include information about the meeting of creditors. The "chairperson" defaults to "trustee/administrator."

WORK FLOW

1. In IMPACT, enter the meeting information.
2. BF the CO-1/CO-2 to review the meeting information and proceed as per office procedure.
3. If there is a change to the meeting information, i.e., the CO-1/CO-2 has decided to chair the meeting, or he/she has changed the date of the meeting, enter the changes in IMPACT.
4. If changes were made in IMPACT, click on the **send to e-file** button on the document request screen to forward the amended certificate to the trustee/administrator.
5. Turn off the flag.

ACTION FLAG

Examination requested

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2 and CR	2 business days

ESTATE INFORMATION SUMMARY (EIS)

On the *Estate Information Summary* (EIS), the trustee/administrator has asked for a s. 161 official receiver examination.

WORK FLOW

PM-2

1. Review the flag and BF the CO-1/CO-2.

If an examination is scheduled,

i) Input the time, date and location in IMPACT as per office procedure.
ii) Generate a notice of examination in IMPACT and mail the notice to the bankrupt and a copy to the trustee/administrator.

If an examination is not scheduled,

i) If necessary, make entries to the Trustee Compliance Database (TCD).

2. Turn off the flag.

CR

1. Digitize (using a scanner or fax/modem) and upload the notice of examination to the e-filing system.

ACTION FLAG

Potential conflict of interest

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The trustee/administrator indicated on the *Estate Information Summary* (EIS) that there is a ss. 13.3(2) conflict of interest.

WORK FLOW

1. Review the nature of the conflict.

   If the conflict is the result of a dual appointment,
   i) A cross-reference in IMPACT may be required.

   If the conflict is the result of any person related to the debtor,
   i) A cross-reference in IMPACT may be required.

2. If necessary, BF the CO-1/CO-2.
3. Turn off the flag.

ACTION FLAG

Previous bankrupt

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	CR	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The trustee indicated on the *Estate Information Summary* (EIS) that the debtor has been previously bankrupt. For division offices that use the estate number as the court number, the e-filing system automatically populates IMPACT with the court number (estate number). **This work flow is for division offices that do not use the estate number as the court number and must issue a certificate with a court number**.

WORK FLOW

1. Issue a court number to the estate and enter the number in IMPACT.
2. Click on the **send to e-file** button on the document request screen to forward the amended certificate to the trustee.
3. Turn off the flag.

ACTION FLAG

NAICS code required

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	CR or PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The *Estate Information Summary* (EIS) indicates business debts of more than 50% of total debts. In this case, the OSB must input the NAICS code in IMPACT.

WORK FLOW

1. In IMPACT, access the debtor's file and enter the appropriate NAICS code. If the nature of the business is not reflected on the EIS, contact the trustee/ administrator for the information.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

ACTION FLAG

Verify no previous debts exist on current Div II

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The administrator submitted a Division II proposal indicating a previous annulled or deemed annulled Division II proposal for the same debtor. The administrator answered "yes" to the administrator screen question "have all previous debts been paid off?"

WORK FLOW

1. Compare the liabilities on the two estates' *Statement of affairs* (Form 79) to ensure none are common to both proposals.
2. If necessary, contact the previous administrator for more information.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. If necessary, BF the CO-1/CO-2.
5. Turn off the flag.

ACTION FLAG

Language of the debtor different than previous proceeding

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The administrator uploaded a "Div II proposal by a bankrupt" (65) and the language of the debtor on the *Estate Information Summary* (EIS) doesn't match the language indicated on the bankruptcy. The e-filing system will ignore the language on the EIS and keep the original language of the estate.

WORK FLOW

1. Ask the administrator for the correct language for the Division II proposal.

If the language on the EIS is wrong,

i) If necessary, make entries to the Trustee Compliance Database (TCD).

If the language on the EIS is right,

i) Ask the Help Desk to update the language of the estate in the e-filing system.

2. Turn off the flag.

NOTE The language of the entire estate will be changed, with the exception of any text entered by the trustee for the bankruptcy. To print documents in the original language, you need to:

i) Ask the Help Desk to change the estate back to the original language.
ii) Print the documents.
iii) Ask the Help Desk to change the language back.

ACTION FLAG

Estate name different than previous proceeding

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The administrator uploaded a "Division II proposal by a bankrupt" (65). The estate name on the new *Estate Information Summary* (EIS) does not match the name of the bankrupt on the existing estate. The new information will not overwrite what is in IMPACT.

WORK FLOW

1. Determine the debtor's legal name.
2. Update IMPACT, entering a legal name change as an alias, or updating the profile if the name was incorrect on the original bankruptcy documents.
3. If the name in the profile is changed, send a new certificate of filing.
4. If necessary, make entries to the Trustee Compliance Database (TCD).
5. Turn off the flag.

ACTION FLAG

Court order required for Div II filing, previous failed Div II

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The administrator submitted a Division II proposal that indicates a previous failed Division II proposal. The administrator answered no to the administrator screen question "have all previous debts been paid off?" A court order is required before the debtor can file another Division II proposal.

WORK FLOW

1. Determine whether the softcopy court order is in the estate index or is waiting for the OSB to upload.

   If the court order has not been received,

   i) Ask the administrator to submit it and BF to confirm receipt. If the administrator is unable to provide a court order, BF the CO-1/CO-2.

2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

Estate Administration

ACTION FLAG

Document conversion failed

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	CR	1 business day

ALL SOFTCOPY DOCUMENTS

The trustee/administrator uploaded a softcopy document that the e-filing system could not convert to pdf format.

WORK FLOW

1. Ask the Help Desk whether the file can be converted to pdf format.

If the file can't be converted to pdf,

i) Ask the trustee/administrator to resubmit it in a softcopy format compatible with the e-filing system **or** in hardcopy (for digitizing (using a scanner or fax/modem) and uploading to the e-filing system by the OSB).

NOTE Consult Informatics if you need help to find a compatible format.

2. Turn off the flag.

ACTION FLAG

Submission of change of debtor name

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	CR	2 business days

CHANGE OF NAME (SOFTCOPY)

The trustee/administrator uploaded a softcopy document advising that the debtor's name has changed.

WORK FLOW

1. In IMPACT, access the debtor's file.
2. If this is a legal name change, enter the new name in the estate profile and enter the former name as an alias.

NOTE The OSB requires either a sworn affidavit from the trustee/administrator or a court order to change a debtor's name.

3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

ACTION FLAG

Submission of change of debtor date of birth

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	5 business days

CHANGE OF BIRTH DATE (SOFTCOPY)

The trustee/administrator or the OSB uploaded a softcopy document that corrects the debtor's date of birth.

WORK FLOW

1. Update IMPACT.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

ACTION FLAG

Submission of minutes of first meeting of creditors

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	CR	5 business days

MINUTES OF FIRST MEETING OF CREDITORS (SOFTCOPY)

The trustee/administrator uploaded the *Minutes of first meeting of creditors* (softcopy).

WORK FLOW

1. Enter the minutes in IMPACT.
2. BF the PM-2/CO-1 to review the minutes and, if necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

ACTION FLAG

Submission of request for change of status

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

REQUEST FOR CHANGE OF STATUS (SOFTCOPY)

The trustee submitted a request to change the e-file from a summary administration to an ordinary administration.

WORK FLOW

1. BF the CO-1/CO-2 to review the request.
2. Turn off the flag.

NOTE **The CO-1/CO-2 must notify the CR if the request is approved. (*See* "Changing a file from electronic to paper" work flow, p. Q.4)**

ACTION FLAG

Submission of request for examination of bankrupt

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	CR	2 business days

REQUEST FOR AN OFFICIAL RECEIVER EXAMINATION OF THE BANKRUPT (SOFTCOPY)

The trustee submitted a request for an official receiver examination of the bankrupt.

WORK FLOW

1. BF the CO-1/CO-2 and proceed as per office procedure.
2. Turn off the flag.

ACTION FLAG

Form 60 submission

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	CR	2 business days

REQUEST FOR MEDIATION MADE BY TRUSTEE (FORM 60)

The trustee submitted a *Request for mediation made by trustee* (Form 60).

WORK FLOW

1. BF the DAS for an assessment of the request and the appointment of a mediator.
2. Turn off the flag.

ACTION FLAG

Subsequent Form 65 submission

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

MONTHLY INCOME AND EXPENSE STATEMENT OF THE BANKRUPT AND THE FAMILY UNIT (FORM 65)

The trustee/administrator submitted a subsequent *Monthly income and expense statement of the bankrupt and the family unit* (Form 65) after the initial filing.

SUMMARY ADMINISTRATION WORK FLOW

1. Determine whether the form contains an amendment or a material change.

   If there is a material change,
   i) Enter the new data and any details in the text box in IMPACT.

   NOTE Do not overwrite the original amounts.

   If it contains an amendment,
   i) Overwrite the original amounts in IMPACT.

2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

DIVISION II PROPOSAL WORK FLOW

1. Review the form.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

ACTION FLAG

Form 88 submission

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	CR	2 business days

NOTICE OF HEARING AND TRUSTEE'S REPORT TO THE COURT AFTER THREE YEARS (FORM 88)

The OSB has asked the trustee to report to the court that he/she has not fully administered an estate within three years (s. 34). The OSB and any inspectors must be notified of the court hearing date. The trustee must also attach a preliminary *Statement of receipts and disbursements* (SRD) (Form 13) to a *Notice of hearing and trustee's report to the court after three years* (Form 88) for the court. By submitting Form 88, the trustee is notifying the OSB of the court hearing date.

NOTE The preliminary SRD will not populate IMPACT.

WORK FLOW

1. Verify that a preliminary SRD has been uploaded.
2. BF the CO-1/CO-2 with the time and date of the court hearing.
3. Turn off the flag.

ACTION FLAG

Submission of application to court

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

APPLICATION TO COURT (SOFTCOPY)

The trustee/administrator or the OSB uploaded an *Application to court* (softcopy). This could be an application for any non-standard court matters.

WORK FLOW

1. Review the document.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, make entries to the "memo" field in IMPACT.
4. BF the CO-1/CO-2.
5. Turn off the flag.

ACTION FLAG

Update IMPACT, deemed court approval

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	CR	2 business days

ADMINISTRATION FLAG

It has been 60 days since the initial filing of the Division II proposal. The following forms are not in the estate index:

- *Notice of meeting of creditors to consider consumer proposal* (Form 50)
- *Report of administrator on consumer proposal and conduct of consumer debtor* (Form 51)
- *Notice of hearing of application for court review of consumer proposal* (Form 51.1)
- *Notice of status of consumer proposal* (Form 52)

The proposal is therefore "deemed approved" and IMPACT must be updated to reflect this status.

WORK FLOW

1. In IMPACT, enter the court approval date in the field "Date of approval (or deemed approval)." Entering the date will automatically update the button "Court approval" to "yes."
2. Turn off the flag.

ACTION FLAG

Submission of court order annulling bankruptcy

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

COURT ORDER (SOFTCOPY)

Either the trustee or the OSB uploaded a court order annulling the bankruptcy.

WORK FLOW

1. In IMPACT,
   i) Enter the court date under "date of proceeding."
   ii) Enter the new estate type – Bankruptcy annulled – court annulment (81). This will message back to the e-filing system.

2. Review the court order to determine whether a prior proceeding is affected (e.g., a Division II proposal is reinstated). If a prior proceeding is affected, ensure that all information has been captured and the coding on the Division II has been updated.

3. Turn off the flag.

NOTE When a *Statement of receipts and disbursements* (SRD) is received for an annulled bankruptcy, the system will not require a bankrupt discharge code. Except for the *Certificate of compliance and deemed discharge of trustee* (Form 16), all other documents received on the annulled bankruptcy will trigger a flag in the estate index, but will not populate IMPACT.

ACTION FLAG

Report of conduct (Form 51) received less than 10 days in advance of hearing date

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

REPORT OF ADMINISTRATOR ON CONSUMER PROPOSAL AND CONDUCT OF CONSUMER DEBTOR (FORM 51)

The administrator is late submitting a *Report of administrator on consumer proposal and conduct of consumer debtor* (Form 51). Form 51 is due at least 10 days before the court date on the *Notice of hearing of application for court review of consumer proposal* (Form 51.1) in the estate index.

WORK FLOW

1. If necessary, make entries to the Trustee Compliance Database (TCD).
2. BF the CO-1/CO-2.
3. Turn off the flag.

ACTION FLAG

Report of conduct (Form 51) submission, creditor meeting indicated, no minutes attached/on file

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

REPORT OF ADMINISTRATOR ON CONSUMER PROPOSAL AND CONDUCT OF CONSUMER DEBTOR (FORM 51)

The administrator submitted a *Report of administrator on consumer proposal and conduct of consumer debtor* (Form 51). Form 51 has a creditor's meeting date but the minutes were not attached and there were no minutes in the estate index.

WORK FLOW

1. Check whether the minutes are in the estate index, or waiting for the OSB to upload, as they may have arrived after the flag was triggered.
2. If the minutes have not arrived, ask the administrator to submit the minutes and BF to confirm receipt.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

ACTION FLAG

Hearing date set less than 15 days in advance

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

NOTICE OF HEARING OF APPLICATION FOR COURT REVIEW OF CONSUMER PROPOSAL (FORM 51.1)

The administrator submitted a *Notice of hearing of application for court review of consumer proposal* (Form 51.1) with a court date less than 15 days from receipt of the form. This date is outside the parameters allowed.

WORK FLOW

1. If necessary, make entries to the Trustee Compliance Database (TCD).
2. BF the CO-1/CO-2.
3. Turn off the flag.

ACTION FLAG

Proposal refused by court

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	5 business days

NOTICE OF STATUS OF CONSUMER PROPOSAL (FORM 52)

The administrator submitted a *Notice of status of consumer proposal* (Form 52) indicating that the proposal was refused by the court.

NOTE In this case, Form 52 will populate IMPACT.

WORK FLOW

1. Check whether there is a softcopy *Court order* refusing the proposal in the estate index, or waiting for the OSB to upload.

   NOTE This order is not Form 53.1 or Form 54.1

   If the order is missing,

   i) Ask the administrator to submit it and BF to confirm receipt.

2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

ACTION FLAG

Proposal withdrawn after deemed court approval

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

NOTICE OF STATUS OF CONSUMER PROPOSAL (FORM 52)

The administrator submitted a *Notice of status of consumer proposal* (Form 52) indicating that the proposal was withdrawn. Form 52 was submitted more than 71 days (45 + 21 + 5) after the date of filing, so the proposal may have been deemed approved.

WORK FLOW

1. Confirm whether the proposal has court approval.
2. Ask the administrator when the proposal was withdrawn.
3. If necessary, update the estate type code in IMPACT to Withdrawn Div II proposal before approval (33)
4. If necessary, make entries to the Trustee Compliance Database (TCD).
5. Turn off the flag.

ACTION FLAG

Report on annulment (Form 54) received

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	5 business days

REPORT TO OFFICIAL RECEIVER ON ANNULMENT OF THE CONSUMER PROPOSAL OF A CONSUMER DEBTOR WHO WAS A BANKRUPT (FORM 54)

The administrator submitted a *Report to official receiver on annulment of the consumer proposal of a consumer debtor who was a bankrupt* (Form 54). The current administration will now be a bankruptcy.

NOTE There may be no action required other than to review the report. Form 54 will update the necessary codes and dates in IMPACT and a certificate of appointment will be sent automatically.

WORK FLOW

1. Review the estate.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

ACTION FLAG

Review amended Div II

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

CONSUMER PROPOSAL (FORM 47)

The administrator submitted a subsequent *Consumer proposal* (Form 47) in either xml or softcopy or the OSB has uploaded in softcopy. The administrator or the OSB user were asked to check one of the following statements:

This is a correction:

- the terms of the proposal have not changed;
- the terms of the proposal have been altered; the original proposal has not yet been sent to the creditors.

This is an amendment to the terms of the proposal:

- these amended terms were accepted at a creditor's meeting;
- these amended terms have not yet been accepted by the creditors.

NOTE The e-filing system will send the certificate of filing where appropriate.

WORK FLOW

1. Review the proposal, comparing it with the original.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

ACTION FLAG

Amended Div II, creditor meeting requested. Data entry required

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

CONSUMER PROPOSAL (FORM 47) (SOFTCOPY)

An OSB user uploaded an amended *Consumer proposal* (Form 47) (softcopy) prior to a meeting of creditors. The amended Form 47 will not populate IMPACT with the meeting information.

This flag and the flag to request an updated *Estate Information Summary* (EIS) will always be triggered when an amended form 47 is uploaded by the OSB.

NOTE This work flow should be done with the "Request an updated EIS" work flow (*see* p. F.21)

WORK FLOW

1. Determine the date of the meeting of creditors and whether a CO-1/CO-2 will chair the meeting.
2. In IMPACT, enter the estate type code – Amended or re-instated Div II proposal (32) and the meeting information.
3. Click on the **send to e-file** button on the document request screen to forward the amended certificate to the trustee.
4. If necessary, make entries to the Trustee Compliance Database (TCD).
5. BF the CO-1/CO-2 with the meeting information.
6. Turn off the flag.

ACTION FLAG

Request an updated EIS

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

CONSUMER PROPOSAL (FORM 47) (SOFTCOPY)

An OSB user uploaded an amended *Consumer proposal* (Form 47) (softcopy). This flag is triggered to remind the OSB user to have the administrator submit to the estate the xml *Estate Information Summary* (EIS), which must include the updated terms of the proposal.

NOTE **This work flow should be done with the "Amended Div II, creditor meeting requested. Data entry required" work flow (*see* p. F.20)**

WORK FLOW

1. Ask the administrator to submit a new EIS (in xml format) and BF to confirm receipt.
2. Turn off the flag.

ACTION FLAG

Meeting date is outside the parameters

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	CR or PM-2	2 business days

CONSUMER PROPOSAL (FORM 47)

The administrator submitted an amended *Consumer proposal* (Form 47). The date of the meeting of creditors on the accompanying *Estate Information Summary* (EIS) is either too soon or too late after the filing of Form 47 i.e., it is outside the parameters allowed. The meeting information on the EIS will not populate IMPACT.

NOTE This work flow should be done with the "After meeting date corrected, generate amended certificate of filing" work flow (*see* p. F.23)

WORK FLOW

1. Contact the administrator to set a correct meeting date.
2. In IMPACT, enter the meeting information.
3. BF the CO-1/CO-2.
4. If necessary, make entries to the Trustee Compliance Database (TCD).
5. Turn off the flag.

ACTION FLAG

After meeting date corrected, generate amended certificate of filing

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	CR or PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

After a meeting date that is within the parameters has been established, and IMPACT has been updated with the correct meeting information, a certificate of filing must be issued.

NOTES This flag will be triggered only if the amendment to the proposal has not yet been reviewed by the creditors.

This work flow should be done with the "Meeting date is outside the parameters" work flow (*see* p. F.22).

WORK FLOW

1. Click on the **send to e-file** button on the document request screen to generate the amended certificate.
2. Turn off the flag.

ACTION FLAG

Request updated EIS, Div II amended at meeting

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

MINUTES OF FIRST MEETING OF CREDITORS (SOFTCOPY)

MINUTES OF SUBSEQUENT MEETING OF CREDITORS (SOFTCOPY)

An OSB user uploaded the *Minutes of first meeting of creditors* (softcopy) or *Minutes of subsequent meeting of creditors* (softcopy) and indicated on the user interface that the proposal was amended. An updated *Estate Information Summary* (EIS) is required from the administrator for the e-filing system to capture the changes to the terms of the proposal.

WORK FLOW

1. Ask the administrator to send the xml EIS and BF to confirm receipt.
2. Turn off the flag.

ACTION FLAG

Submission of court order annulling Div II (non-bankrupt) (Form 53.1) and no report on annulment (Form 53) on file

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

ORDER ANNULLING THE CONSUMER PROPOSAL OF A CONSUMER DEBTOR WHO WAS NOT A BANKRUPT (FORM 53.1)

The administrator submitted an *Order annulling the consumer proposal of a consumer debtor who was not a bankrupt* (Form 53.1) and there was no *Notice to creditors and report to official receiver on annulment of consumer proposal of a consumer debtor who was not a bankrupt* (Form 53) in the estate index.

NOTES Form 53 is required for the e-filing system to update the coding automatically in IMPACT.

The BIA indicates that Form 53 is to be sent to the official receiver forthwith.

WORK FLOW

1. Check to ensure Form 53 is not in the estate index as it may have been received after the flag was triggered.

If the form 53 is NOT in the estate index,

i) Update IMPACT to Court annulment – Div II proposal by a debtor – ineligible (84).

ii) Ask the administrator to submit Form 53 and BF to confirm receipt.

If the form 53 IS in the estate index,

i) Check that the date of bankruptcy is correct. Update IMPACT if necessary. Send an amended certificate of assignment if necessary.

2. Turn off the flag.

ACTION FLAG

Submission of court order annulling Div II (bankrupt) (Form 54.1) and no report of annulment (Form 54) on file

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

ORDER ANNULLING THE CONSUMER PROPOSAL OF A CONSUMER DEBTOR WHO WAS A BANKRUPT (FORM 54.1)

The administrator submitted an *Order annulling the consumer proposal of a consumer debtor who was a bankrupt* (Form 54.1) and there was no *Report to official receiver on annulment of the consumer proposal of a consumer debtor who was a bankrupt* (Form 54) in the estate index.

NOTES Form 54 is required for the e-filing system to update the coding automatically in IMPACT.

The BIA indicates that Form 54 is to be sent to the official receiver forthwith. The date on Form 54 may not, in rare circumstances, be the date of bankruptcy stated in the court order.

WORK FLOW

1. Check whether Form 54 is in the estate index as it may have been received after the flag was triggered.

If the form 54 is NOT in the estate index,

i) Update IMPACT to Court annulment – Div II proposal by a bankrupt – bankruptcy (86).
ii) Ask the administrator to submit Form 54 and BF to confirm receipt.
iii) Update IMPACT and issue a certificate of assignment.

If the form 54 IS in the estate index,

i) Check that the date of bankruptcy is correct. If the date is not correct, send an amended certificate.

2. Turn off the flag.

ACTION FLAG

Submission of discharge order for previous proceeding – no data entry required

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	5 business days

COURT ORDER OF DISCHARGE OF BANKRUPT (SOFTCOPY)

The administrator submitted a *Court order of discharge of bankrupt* (softcopy) to an estate that is a Div II proposal by a bankrupt (65) or a Deemed annulment – Div II by a bankrupt – no bankruptcy (85).

NOTE This flag will be triggered regardless of whether the proposal has received court approval.

WORK FLOW

1. Ask the administrator why there was a bankrupt's discharge hearing.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

ACTION FLAG

Update IMPACT, amended Div II deemed court approval

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	CR	2 business days

ADMINISTRATION FLAG

It has been 15 days since the meeting of creditors indicated on the *Estate Information Summary* (EIS) submitted with the amended *Consumer proposal* (Form 47). There is no indication that the proposal will require court review. The estate can now be updated in IMPACT to indicate "deemed court approval."

WORK FLOW

1. Check the estate index or if the document is waiting for the OSB to upload for an *Application to court* (softcopy) or *Court order* (softcopy), to see whether the administrator will be making, or has made, an application to court for review and approval of the proposal.
2. In IMPACT, enter the court approval date in the field "Date of approval (or deemed approval)." Entering the date will automatically update the button "Court approval" to "yes."
3. Turn off the flag.

ACTION FLAG

Submission of request for remote/telephone counselling

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

REQUEST FOR REMOTE/ TELEPHONE COUNSELLING (SOFTCOPY)

The trustee/administrator uploaded a *Request for remote/telephone counselling* (softcopy). The DAS will decide whether to grant the request.

WORK FLOW

1. BF the DAS **or** proceed as per office procedure.
2. Turn off the flag.

NOTE Once the request is noted as approved/refused, it must be uploaded to the estate index.

ACTION FLAG

Submission of other softcopy document

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

COURT ORDER REFUSING THE PROPOSAL (SOFTCOPY)

All softcopy documents uploaded under the category "other" are flagged. This work flow indicates what to do when the administrator or the OSB uploaded a *Court order refusing the proposal* (softcopy) and there was no *Notice of status of consumer proposal* (Form 52) in the estate index.

For any other softcopy document, refer to the appropriate work flow or office procedure.

NOTE Please remember that, when uploading a document under the category "other," users type the document title. Therefore, the title may be slightly different than "Court order refusing the proposal."

WORK FLOW

1. **If the uploaded document is a *Court order refusing the proposal* and if there was no *Notice of status of consumer proposal* (Form 52) in the estate index,**
   i) Check whether Form 52 is in the estate index as it may have arrived after the flag was triggered.
   ii) If the form has not arrived, ask the administrator to submit it and BF to confirm receipt.
   iii) In IMPACT, enter the new estate type code – Refused Div II proposal – court approval refused (35).
2. Turn off the flag.

ACTION FLAG

Notice of status (Form 52) submission, status is provided in the text field

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

NOTICE OF STATUS OF CONSUMER PROPOSAL (FORM 52)

The administrator submitted a *Notice of status of consumer proposal* (Form 52) that indicates the status in a text field. The e-filing system can't read text fields, so the coding in IMPACT must be done manually.

WORK FLOW

1. Check the form to determine what status the administrator has entered and update the coding in IMPACT.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

ACTION FLAG

Percent business debt is now greater than 50%

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	CR or PM-2	5 business days

ESTATE INFORMATION SUMMARY (EIS)

The administrator submitted a subsequent *Estate Information Summary* (EIS) that indicates a change to the debtor's business liabilities. The business debt is now more than 50% of the total debt.

WORK FLOW

1. Check the documents in the estate and, if necessary, ask the administrator about the change.
2. Update the business coding, i.e., liability type, in IMPACT and enter the NAICS code.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

ACTION FLAG

Trade name(s) different than on previous EIS

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	5 business days

ESTATE INFORMATION SUMMARY (EIS)

The administrator submitted a subsequent *Estate Information Summary* (EIS) indicating different trade name(s) than the previous EIS. There may have been an error in the name or the spelling of the name on one EIS, or the administrator may have discovered that the debtor had more than one business. Please note that the e-filing system does not actually 'read' the trade name, but is looking for an identical string of information; therefore, if there was a list of trade names and they are now in a different order, even if it is the same list, this flag will be triggered.

WORK FLOW

1. If necessary, ask the administrator to explain what happened.

   If there is a new trade name,
   i) In IMPACT, update the "alias" field.
   ii) If necessary, make entries to the Trustee Compliance Database (TCD).

   If there is no new trade name,
   i) No action necessary.

2. Turn off the flag.

ACTION FLAG

Terms of proposal altered at creditor meeting, IMPACT data entry may be required

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

MINUTES OF FIRST MEETING OF CREDITORS (SOFTCOPY)

MINUTES OF SUBSEQUENT MEETING OF CREDITORS (SOFTCOPY)

The administrator uploaded the *Minutes of first meeting of creditors* (softcopy) or *Minutes of subsequent meeting of creditors* (softcopy). On the administrator screen, the administrator indicated that the terms of the proposal were amended at the meeting. The e-filing system will require the administrator to upload a new *Estate Information Summary* (EIS).

WORK FLOW

1. Check the minutes and/or the EIS for the changes to the terms.
2. In IMPACT, update the estate type code to Amended or re-instated Div II proposal (32).
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

ACTION FLAG

Estate type not supported in e-filing, change to paper

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

ADMINISTRATION FLAG

IMPACT has been updated to a different administration type that is not supported by the e-filing system. The new administration type has not been messaged to the e-filing system, but has triggered an administration flag in the estate index. Because the new administration type is unsupported by the e-filing system, the file must be changed to paper (assuming the new administration type is correct).

WORK FLOW

1. Determine whether the new administration type is correct.

If the new administration type is correct,

i) Print the contents of the e-file and open a paper file.
ii) Notify the trustee/administrator of the change. (*See* "Forms letters," p. T.17, for letter to trustee.)
iii) Ask the local system administrator to update the status of the e-file to "changed to paper."

If the new administration type is incorrect,

i) Update the administration type code in IMPACT.

2. Turn off the flag.

ACTION FLAG

Submission of Form 53.1

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

ORDER ANNULLING THE CONSUMER PROPOSAL (NON-BANKRUPT) (FORM 53.1) (SOFTCOPY)

The administrator uploaded an *Order annulling the consumer proposal (non-bankrupt)* (Form 53.1) (softcopy). Because Form 53 was on file, IMPACT has already been updated.

WORK FLOW

1. Review the court order.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

ACTION FLAG

Submission of Form 54.1

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

ORDER ANNULLING THE CONSUMER PROPOSAL (BANKRUPT) (FORM 54.1) (SOFTCOPY)

The trustee/administrator uploaded an *Order annulling the consumer proposal (bankrupt)* (Form 54.1) (softcopy). Because Form 54 was on file, IMPACT has already been updated and a certificate has been sent to the trustee/administrator.

WORK FLOW

1. Review the court order and check the date the order was made.

If the date is not the same as the date on Form 54,

i) Update the date of bankruptcy in IMPACT.
ii) Click on the **send to e-file** button on the document request screen to forward the amended certificate to the trustee/administrator.
iii) If necessary, make entries to the Trustee Compliance Database (TCD).

If the date is the same,

i) If necessary, make entries to the TCD.

2. Turn off the flag.

Bankrupt Discharge

ACTION FLAG

170 Report after more than 8 months

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 calendar days

REPORT OF TRUSTEE ON BANKRUPT'S APPLICATION FOR DISCHARGE (170(1) REPORT) (FORM 82)

The trustee submitted a *Report of trustee on bankrupt's application for discharge* (170(1) Report) (Form 82) more than eight months after the date of the bankruptcy.

NOTE This flag is only triggered on estates of first-time bankrupts.

WORK FLOW

1. Review the 170(1) Report.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

ACTION FLAG

Creditor opposition to bankrupt's application for discharge on file

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	CR	2 business days

CREDITOR OPPOSITION TO BANKRUPT'S APPLICATION FOR DISCHARGE (SOFTCOPY)

The trustee uploaded a *Creditor opposition to bankrupt's application for discharge* (softcopy).

WORK FLOW

1. In IMPACT, enter the opposition by creditor code (75) in the "memo" field.
2. BF the PM-2 to review the opposition document.
3. Turn off the flag.

ACTION FLAG

Submission of court order of discharge of bankrupt or notification of adjournment

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	CR	2 business days

COURT ORDER OF DISCHARGE OF BANKRUPT (SOFTCOPY)

NOTIFICATION OF ADJOURNMENT (SOFTCOPY)

Either the trustee or the OSB has uploaded a *Court order of discharge of bankrupt* (softcopy) or *Notification of adjournment* (softcopy).

WORK FLOW

1. Enter the information in IMPACT.
2. BF the PM-2 and proceed as per office procedure.
3. Turn off the flag.

Trustee Discharge

ACTION FLAG

SRD flag in IMPACT

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	21 business days or when all outstanding issues related to the SRD are resolved

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

The trustee submitted the final *Trustee's statement of receipts and disbursements* (SRD) (Form 13). The e-filing system detected an "SRD Review" flag in IMPACT, which triggered an action flag.

NOTE Because the e-filing system "runs" both the e-filing flags and the IMPACT flags when the SRD is submitted, there is no chance of an automatic letter of comment being sent when there is an "SRD review" flag in IMPACT.

WORK FLOW

1. Review the SRD.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, BF the CO-1/CO-2.
4. Click on the **send to e-file** button on the document request screen to forward the letter of comment to the trustee.
5. Turn off the flag.

NOTE The letter of comment should be sent only after all issues have been addressed and all flags have been turned off.

ACTION FLAG

Amended SRD submission

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	21 business days or when all outstanding issues related to the SRD are resolved

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

The trustee submitted an amended final *Trustee's statement of receipts and disbursements* (SRD) (Form 13). Form 13 will populate IMPACT.

NOTE An amended final SRD – which contains a complete accounting of all receipts and disbursements – replaces the "final" SRD. It is submitted after a letter of comment has been issued.

WORK FLOW

1. Review the amended SRD.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Click on the **send to e-file** button on the document request screen to forward the letter of comment to the trustee.
4. Turn off the flag.

NOTE The letter of comment should be sent only after all issues have been addressed and all flags have been turned off.

ACTION FLAG

Supplemental SRD submission

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	CR and PM-2	21 business days or when all outstanding issues related to the SRD are resolved

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

The trustee submitted a supplementary *Trustee's statement of receipts and disbursements* (SRD) (Form 13) after having received comments from the Superintendent.

NOTE A supplementary SRD – which is not a complete accounting of receipts and disbursements – does not replace the final SRD. It is submitted after a letter of comment has been issued.

WORK FLOW

CR

1. Update IMPACT.
2. BF the PM-2.
3. Turn off the flag.

PM-2

1. Review the SRD.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Click on the **send to e-file** button on the document request screen to forward the letter of comment to the trustee.

NOTE The letter of comment should be sent only after all issues have been addressed and all flags have been turned off.

ACTION FLAG

Subsequent final SRD submission

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	21 business days or when all outstanding issues related to the SRD are resolved

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

ADMINISTRATOR'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 14)

The trustee/administrator submitted a subsequent final *Trustee's statement of receipts and disbursements* (SRD) (Form 13) or *Administrator's statement of receipts and disbursements* (SRD) (Form 14) before a letter of comment was issued.

WORK FLOW

1. Ensure that any negative comments about the original final SRD have been uploaded to the estate index and verify that all outstanding matters have been addressed.
2. Update IMPACT with the following information:
   - The date the subsequent SRD was received (in the "info received date" field).
   - The date the subsequent SRD was reviewed (in the "date reviewed" field).
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTE The letter of comment should be sent only after all issues have been addressed and all flags have been turned off.

ACTION FLAG

Undistributed assets

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	21 business days or when all outstanding issues related to the SRD are resolved

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

The trustee submitted a final *Trustee's statement of receipts and disbursements* (SRD) (Form 13) indicating undistributed assets.

WORK FLOW

1. Review the undistributed assets.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, enter a request for information in IMPACT.
4. Turn off the flag.

NOTE The letter of comment should be sent only after all issues have been addressed and all flags have been turned off.

ACTION FLAG

Review other disbursements

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	21 business days or when all outstanding issues related to the SRD are resolved

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

The trustee submitted a final *Trustee's statement of receipts and disbursements* (SRD) (Form 13) indicating other disbursements.

WORK FLOW

1. Review the other disbursements.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, enter a request for information in IMPACT.
4. Turn off the flag.

NOTE The letter of comment should be sent only after all issues have been addressed and all flags have been turned off.

ACTION FLAG

Joint filing with 3 or more estates

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	21 business days or when all outstanding issues related to the SRD are resolved

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

The trustee submitted a final *Trustee's statement of receipts and disbursements* (SRD) (Form 13) for a joint filing with more than 2 estates.

WORK FLOW

1. Review the SRD.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, enter a request for information in IMPACT.
4. Generate a letter of comment in WordPerfect (IMPACT is not able to produce a letter of comment with more than two estate numbers), upload the letter to the e-filing system, and fax or mail it to the trustee.
5. Turn off the flag.

NOTE The letter of comment should be sent only after all issues have been addressed and all flags have been turned off.

ACTION FLAG

Amount refunded to debtor

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	21 business days or when all outstanding issues related to the SRD are resolved

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

The trustee submitted a final *Trustee's statement of receipts and disbursements* (SRD) (Form 13) indicating amounts refunded to the debtor.

WORK FLOW

1. Review the amounts refunded to verify that no levy was charged on the amounts refunded to the debtor.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, enter a request for information in IMPACT.
4. Turn off the flag.

NOTE The letter of comment should be sent only after all issues have been addressed and all flags have been turned off.

ACTION FLAG

Review counselling fee(s)

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	21 business days or when all outstanding issues related to the SRD are resolved

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

The trustee submitted a *Trustee's statement of receipts and disbursements* (SRD) (Form 13) with counselling fees that are NOT $50, $110 or $170. There is either a *Certificate of discharge* (Form 84) or *Certificate of discharge (conditions met)* (Form 85) in the estate index.

WORK FLOW

1. Review the counselling fees.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, enter a request for information in IMPACT.
4. Turn off the flag.

NOTE The letter of comment should be sent only after all issues have been addressed and all flags have been turned off.

ACTION FLAG

Levy calculation error

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	21 business days or when all outstanding issues related to the SRD are resolved

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

The trustee submitted a final *Trustee's statement of receipts and disbursements* (SRD) (Form 13) with an incorrect levy calculation.

The levy should be based on the following calculation:

amount for distribution
− amount refunded to debtor
− undistributed assets
= amount on which levy is payable

NOTE No levy is payable on the amount refunded to debtor or on undistributed assets.

WORK FLOW

1. Review the levy calculation error.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, enter a request for information in IMPACT.
4. Turn off the flag.

NOTE The letter of comment should be sent only after all issues have been addressed and all flags have been turned off.

ACTION FLAG

Submission of court order of discharge of trustee

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	CR	2 business days

COURT ORDER OF DISCHARGE OF TRUSTEE (SOFTCOPY)

The trustee or the OSB uploaded a *Court order of discharge of trustee* (softcopy) and there is no *Certificate of compliance* (Form 16) in the estate index.

NOTE No data entry in IMPACT is required.

WORK FLOW

1. Check the estate index for a *Certificate of compliance* (Form 16) as it may have arrived after the flag was triggered.
2. If Form 16 has not arrived, BF the CO-1/CO-2 to request a copy from the trustee.
3. Turn off the flag.

ACTION FLAG

Submission of creditor opposition to discharge of trustee

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	CR	2 business days

CREDITOR OPPOSITION TO TRUSTEE DISCHARGE (SOFTCOPY)

The trustee or the OSB uploaded a *Creditor opposition to trustee discharge* (softcopy).

WORK FLOW

1. Review the softcopy document.
2. If necessary, assign a court number.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. If necessary, BF the CO-1/CO-2.
5. Turn off the flag.

ACTION FLAG

SRD sampled

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	21 business days or when all outstanding issues related to the SRD are resolved

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

The trustee submitted a *Trustee's statement of receipts and disbursements* (SRD) (Form 13) and no e-filing flags or IMPACT flags were triggered. Then IMPACT determines that the SRD will be sampled based on the sampling rate of the trustee. If the SRD is selected for review, IMPACT sends a message to the e-filing system to set a "sampled" flag on the SRD.

WORK FLOW

1. Review the SRD.
2. Turn off the flag.

NOTE The "flagged for review" button in the SRD review screen must be manually changed to "yes" for an e-file to indicate that the SRD was sampled.

Closing Process

ACTION FLAG

Certificate of full performance (Form 57) submission, IMPACT already contains discharge information

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

CERTIFICATE OF FULL PERFORMANCE (FORM 57)

The administrator submitted a *Certificate of full performance* (Form 57) for the first time, but the bankrupt discharge screen in IMPACT already contains data. Form 57 will not populate IMPACT.

WORK FLOW

1. If necessary, update the code on the bankrupt discharge screen in IMPACT.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

ACTION FLAG

Certificate of compliance (Form 16) not yet submitted against summary administration portion of estate

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

CERTIFICATE OF COMPLIANCE (FORM 16)

The administrator submitted a *Certificate of compliance* (Form 16) to the proposal portion of an estate, but not to the bankruptcy portion.

WORK FLOW

1. Check the index to see if the *Certificate of compliance* has been received for the bankruptcy portion as it may have arrived after the flag was triggered.
2. If the *Certificate of compliance* for the bankruptcy is not in the index, ask the administrator to submit it and BF to confirm receipt.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

ACTION FLAG

Hearing date is less than 30 days away

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	CR	2 business days

NOTICE OF HEARING OF TAXATION OF ADMINISTRATOR'S ACCOUNTS AND DISCHARGE OF ADMINISTRATOR (FORM 59)

The administrator submitted a *Notice of hearing of taxation of administrator's accounts and discharge of administrator* (Form 59) with a hearing date in less than 30 days. This date is outside the parameters allowed.

WORK FLOW

1. BF the CO-2.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

ACTION FLAG

SRD (Form 14) received on Div II portion of estate

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	21 calendar days

ADMINISTRATOR'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 14)

The administrator submitted an *Administrator's statement of receipts and disbursements* (SRD) (Form 14) to an estate with multiple administration types. The current status of the estate is one of the following:

- withdrawn (33)
- rejected (34)
- refused (35)
- Div II by a bankrupt (65)
- Div II by a bankrupt with the bankruptcy reinstated (75 or 76)
- deemed annulment (83)
- court annulment (84)
- deemed annulment – Div II by a bankrupt – no bankruptcy (85)
- court annulment – Div II by a bankrupt – bankruptcy (86)

The SRD is for the Division II portion of the estate.

NOTES An automatic letter of comment will not be sent.

The SRD will populate IMPACT except in the case of a Court annulled – Div II by a bankrupt – bankruptcy (86).

WORK FLOW

1. If the estate is currently a Court annulled – Div II by a bankrupt – bankruptcy (86), enter the SRD into IMPACT manually.
2. Review the SRD.
3. Determine whether any other SRDs or Form 16s should be in the estate index. If they should be, BF to confirm receipt.
4. In IMPACT, click on the **send to e-file** button on the document request screen to produce the letter of comment. The e-filing system will upload the letter to the correct administration within the estate.
5. Turn off the flag.

ACTION FLAG

SRD (Form 13) received on summary portion of estate

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	CR	21 calendar days

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

The trustee submitted a *Trustee's statement of receipts and disbursements* (SRD) (Form 13) to an estate with multiple administration types. The current status of the estate is one of the following:

- Div II by a bankrupt (65)
- Div II by a bankrupt with the bankruptcy reinstated (75 or 76)
- annulled bankruptcy (81)
- deemed annulment – Div II by a bankrupt – no bankruptcy (85)
- court annulment – Div II by a bankrupt – bankruptcy (86)

The SRD is for the bankruptcy portion of the estate.

NOTES **An automatic letter of comment will not be sent.**

The SRD will populate IMPACT except in the case of a Div II by a bankrupt (65) or Deemed annulled – Div II by a bankrupt – no bankruptcy (85).

WORK FLOW

For all but annulled bankruptcies

1. If the estate is currently a Div II by a bankrupt (65) or Deemed annulled – Div II by a bankrupt – no bankruptcy (85), manually enter the SRD into IMPACT.
2. Review the SRD.
3. Determine whether any other SRDs or Form 16s should be in the estate index. If they should be, BF to confirm receipt.
4. Produce the letter of comment in WordPerfect and fax or mail it to the trustee.

NOTE **Because not all trustees use WordPerfect and the letters of comment are not in pdf format, letters of comment cannot be emailed to trustees.**

5. Upload the letter of comment to the estate index.
6. Turn off the flag.

▶

ACTION FLAG

SRD (Form 13) received on summary portion of estate *(continued)*

WORK FLOW *(continued)*

For annulled bankruptcies

1. Review the SRD.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. In IMPACT, click on the **send to e-file** button on the document request screen to produce the letter of comment. The e-filing system will upload the letter to the correct administration within the estate.
4. Turn off the flag.

ACTION FLAG

Supplementary SRD (Form 13) received on summary portion of estate

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	21 calendar days

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

The trustee submitted a supplementary *Trustee's statement of receipts and disbursements* (SRD) (Form 13) to an estate with multiple administration types. The current status of the estate is one of the following:

- Div II by a bankrupt (65)
- Div II by a bankrupt with the bankruptcy reinstated (75 or 76)
- an annulled bankruptcy (81)
- deemed annulment – Div II by a bankrupt – no bankruptcy (85)
- court annulment – Div II by a bankrupt – bankruptcy (86)

The SRD is for the bankruptcy portion of the estate.

NOTES An automatic letter of comment will not be sent.

The SRD will populate IMPACT except in the case of a Div II by a bankrupt (65) or Deemed annulment – Div II by a bankrupt – no bankruptcy (85).

WORK FLOW

1. If the estate is currently a Div II by a bankrupt (65) or Deemed annulment – Div II by a bankrupt – no bankruptcy (85), manually enter the SRD into IMPACT.
2. Review the SRD.
3. Determine whether any other SRDs should be in the estate index. If they should be, BF to confirm receipt.
4. Generate the letter of comment in WordPerfect and fax or mail it to the trustee.

NOTE Because not all trustees use WordPerfect and the letters of comment are not in pdf format, letters of comment cannot be emailed to trustees.

5. Upload the letter of comment to the estate index.
6. Turn off the flag.

ACTION FLAG

Report on annulment (Form 54) received

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

REPORT TO OFFICIAL RECEIVER ON ANNULMENT OF THE CONSUMER PROPOSAL OF A CONSUMER DEBTOR WHO WAS A BANKRUPT (FORM 54)

The administrator submitted a *Report to official receiver on annulment of the consumer proposal of a consumer debtor who was a bankrupt* (Form 54). The current administration will now be a bankruptcy. Form 54 is required to update IMPACT automatically.

NOTE The e-filing system will automatically send a certificate of appointment to the trustee named on receipt of Form 54.

WORK FLOW

1. Review the form.
2. Turn off the flag.

ACTION FLAG

Submission of Court order of discharge of administrator

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

COURT ORDER OF DISCHARGE OF ADMINISTRATOR (SOFTCOPY)

The administrator submitted a *Court order of discharge of administrator* (softcopy).

WORK FLOW

1. Review the court order.
2. If necessary, BF the CO-1/CO-2.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

ACTION FLAG

Subsequent final SRD submission

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	21 business days or when all outstanding issues related to the SRD are resolved

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

ADMINISTRATOR'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 14)

The trustee/administrator submitted a subsequent final *Trustee's statement of receipts and disbursements* (SRD) (Form 13) or *Administrator's statement of receipts and disbursements* (SRD) (Form 14) before a letter of comment was issued.

WORK FLOW

1. Ensure that any negative comments about the original final SRD have been uploaded to the estate index and verify that all outstanding matters have been addressed.
2. Update IMPACT with the following information:
    - The date the subsequent SRD was received (in the "info received date" field).
    - The date the subsequent SRD was reviewed (in the "date reviewed" field).
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTE The letter of comment should be sent only after all issues have been addressed and all flags have been turned off.

Other

ACTION FLAG

File changed from paper (first submission)

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	CR	2 business days

ADMINISTRATION FLAG

The trustee/administrator submitted a prescribed form electronically to a file that was previously paper. The e-filing system will 'look' at the replicated data from IMPACT to create an e-filing estate header. The header may not contain all the information normally included in an e-filing estate header.

WORK FLOW

1. Verify that the estate is open in IMPACT.

If it is,

i) Pull the paper file and identify it as a changed file as per the office procedure.

ii) Refer to the instructions below on how to manage these changed files.

If it isn't,

i) BF the PM-2.

ii) Ask the trustee/administrator why he/she has made an electronic submission to a closed paper file.

iii) If necessary, make entries to the Trustee Compliance Database (TCD).

2. Turn off the flag.

How to manage files switched from paper to e-filing

The OSB has a national standard for managing files that began as paper and became electronic part way through the administration of the estate.

1. The "new" e-file will contain only the documents received after the change, whether the documents are received electronically or are digitized (using a scanner or fax/modem) by OSB personnel, while the "old" paper file will contain only the documents received before the file was changed to electronic.

▶

ACTION FLAG

File changed from paper (first submission) *(continued)*

WORK FLOW *(continued)*

2. The IMPACT header on these changed estates will indicate that they have been changed to e-files. Despite the change, the OSB may still receive hardcopy non-prescribed documents that have to be digitalized (using a scanner or fax/modem) and uploaded to the e-file. The hardcopy document is bulk filed by transaction number. Note that unless the trustee/administrator indicates on each hardcopy document that a document belongs to an e-file estate, the OSB will have to make this determination each time a hardcopy document comes in.
3. It is left to the discretion of each division office whether they will store these estates separately from, or in different-coloured file folders than, those files that remain strictly as paper files.
4. The OSB will not digitalize in and upload the entire paper file to the "new" e-file, nor will the OSB print the electronic documents for inclusion in the "old" paper file.

Initial Filing

K – Initial Filing

NOTIFICATION FLAG

Filing in designated area

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

ASSESSMENT CERTIFICATE

The debtor's assessment, as per Directive 6R Appendix A, has been conducted in a designated area.

WORK FLOW

1. Verify that pre-approval (blanket or otherwise) has been obtained from the DAS.

If pre-approval has not been obtained,

i) BF the DAS and, if necessary, make entries to the Trustee Compliance Database (TCD).

ii) Turn off the flag.

If pre-approval has been obtained,

i) Turn off the flag.

NOTIFICATION FLAG

Guaranteed debtor is bankrupt

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The trustee/administrator has indicated on the *Estate Information Summary* (EIS) that:

- the debtor has liabilities related to personal guarantees, and
- the person whose liabilities are guaranteed is a bankrupt.

WORK FLOW

1. Check the EIS to determine the name of the related file.
2. Search to find the estate number of the related file.
3. Cross-reference the files in IMPACT.

NOTES
- Files may be cross-referenced between division offices in IMPACT.
- Multiple files may be cross-referenced.

4. Turn off the flag.

NOTIFICATION FLAG

Verify trade name

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	CR	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The *Estate Information Summary* (EIS) indicates that the debtor was or is in business and includes a trade name. This trade name populates IMPACT as an alias.

WORK FLOW

1. In IMPACT, check whether the trade name is appropriate (e.g., if the debtor sold Avon products, the trade name should NOT be "Avon") and make corrections if necessary.
2. Turn off the flag.

NOTIFICATION FLAG

Previous bankruptcy information differs on SofA and EIS

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

STATEMENT OF AFFAIRS (FORM 79)

The information about a previous bankruptcy on the *Estate Information Summary* (EIS) does not match the answer to question 11b on the *Statement of affairs* (Form 79).

WORK FLOW

1. Contact the trustee/administrator to rectify the situation.
2. If necessary, update IMPACT.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

Trustee indicated estate of a deceased

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	CR	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The trustee indicated on the trustee screen question that the debtor is deceased.

NOTE The trustee must indicate whether there is a court order permitting the filing of the assignment. The e-filing system will reject the filing if the trustee responds that there is no court order. The trustee may either upload the court order (softcopy) after the initial filing or fax the court order (hardcopy) to the OSB. Note that the system will accept the initial filing without an actual court order if the trustee indicates that there is a court order.

WORK FLOW

1. If necessary, enter the correct estate name in IMPACT.

NOTE Trustees are asked to use the following format: "Smith, Estate of the Late John."

2. Also in IMPACT, enter the alias either as "Smith, John" **OR** "Smith, Estate of the Late John," depending on what the trustee has entered.
3. BF the PM-2 to ensure that a court order has been or will be submitted by the trustee.
4. Turn off the flag.

NOTIFICATION FLAG

Required surplus > $100

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

MONTHLY INCOME AND EXPENSE STATEMENT OF THE BANKRUPT AND THE FAMILY UNIT (FORM 65)

The *Monthly income and expense statement of the bankrupt and the family unit* (Form 65) indicates surplus income greater than $100 (Line 15).

WORK FLOW

1. In IMPACT, access the debtor's file and, if necessary, enter a BF to review and compare when the *Report of trustee on bankrupt's application for discharge* (170(1) Report) (Form 82) is received.
2. If necessary, make entries to the "memo" field in IMPACT to trigger a review of the *Statement of receipts and disbursements* (SRD) if the amount of surplus income is under $150. If the amount is $150 or more, the SRD is automatically flagged for review.
3. Turn off the flag.

NOTE Turning off the flag will NOT affect the SRD review flag in IMPACT.

NOTIFICATION FLAG

Family unit refused to divulge financial information

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

MONTHLY INCOME AND EXPENSE STATEMENT OF THE BANKRUPT AND THE FAMILY UNIT (FORM 65)

The *Monthly income and expense statement of the bankrupt and the family unit* (Form 65) indicates that a member of the family unit has refused to divulge financial information (Line 2).

In the case of the bankrupt's partner or common-law partner, the PM-2 should BF the issue to the ss. 170(1) Report. The CO-1/CO-2 would then review the circumstances and allocation of expenses. Note that this is not always necessary if it is a roommate who does not disclose his/her income.

WORK FLOW

1. If necessary, make entries to the Trustee Compliance Database (TCD).
2. If necessary, BF the CO-1/CO-2.
3. Turn off the flag.

NOTE The decision-making process may differ between offices.

NOTIFICATION FLAG

Total assets exceed $10,000

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

STATEMENT OF AFFAIRS (BUSINESS) (FORM 78)

On the *Statement of affairs (business)* (Form 78), realizable assets exceed $10,000.

NOTE An initial filing with realizable assets exceeding $10,000 on the *Statement of affairs (non-business)* (Form 79) is automatically rejected by the e-filing system.

WORK FLOW

1. Review Form 78 to determine whether the initial filing should be a summary or an ordinary administration.

If the initial filing should have been an ordinary administration,

i) Inform the trustee that the file will be changed to paper and accepted as an ordinary administration.
ii) If necessary, BF the CO-1/CO-2
iii) Turn off the flag.

If the initial filing should be a summary administration,

i) Turn off the flag.

NOTIFICATION FLAG

Total unsecured liabilities exceed $100,000

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

STATEMENT OF AFFAIRS (BUSINESS) (FORM 78)

STATEMENT OF AFFAIRS (NON-BUSINESS) (FORM 79)

On the *Statement of affairs (business)* (Form 78) or *Statement of affairs (non-business)* (Form 79), liabilities exceed $100,000.

NOTE The threshold amount (i.e., $100,000) may vary by division office with DAS approval. Should the DAS approve a change to this amount, the local system administrator must ask the HQ System Administrator to make the change.

WORK FLOW

1. Review the form.
2. If necessary, BF the CO-1/CO-2.
3. Turn off the flag.

NOTIFICATION FLAG

Yes to Q9A (disposed of property)

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	Within 2 business days

STATEMENT OF AFFAIRS (NON-BUSINESS) (FORM 79)

On question 9a of the *Statement of affairs (non-business)* (Form 79), the bankrupt disclosed that he/she sold or disposed of his/her property in the 12 months before the initial bankruptcy event.

WORK FLOW

1. Review the details of the transaction on Form 79 and, if necessary, make entries to the Trustee Compliance Database (TCD) **or** BF to the *Report of trustee on bankrupt's application for discharge* (170(1) Report) (Form 82).
2. If necessary, BF the CO-1/CO-2 for a potential official receiver examination.
3. Turn off the flag.

NOTIFICATION FLAG

Yes to Q9B (excess payments)

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

STATEMENT OF AFFAIRS (NON-BUSINESS) (FORM 79)

On question 9b of the *Statement of affairs (non-business)* (Form 79), the bankrupt disclosed that he/she made payments in excess of regular payments to one or more creditor(s) in the 12 months before the initial bankruptcy event.

WORK FLOW

1. Review the details of the payments on Form 79 and, if necessary, BF to the *170(1) Report* (Form 82).
2. If necessary, BF the CO-1/CO-2 for a potential official receiver examination.
3. Turn off the flag.

NOTIFICATION FLAG

Yes to Q9C (seized property)

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

STATEMENT OF AFFAIRS (NON-BUSINESS) (FORM 79)

On question 9c of the *Statement of affairs (non-business)* (Form 79), the bankrupt disclosed that he/she had property seized by a creditor in the 12 months before the initial bankruptcy event.

WORK FLOW

1. Review the details of the transaction on Form 79 and, if necessary, BF to the *170(1) Report* (Form 82).
2. If necessary, BF the CO-1/CO-2 for a potential official receiver examination.
3. Turn off the flag.

NOTIFICATION FLAG

Yes to Q10A (disposed of property within 5 years)

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	Within 2 business days

STATEMENT OF AFFAIRS (NON-BUSINESS) (FORM 79)

On question 10a of the *Statement of affairs (non-business)* (Form 79), the bankrupt disclosed that he/she sold or disposed of his/her property in the five years before the initial bankruptcy event, while knowing him/herself to be insolvent.

WORK FLOW

1. Review the details of the transaction on Form 79 and, if necessary, BF to the *170(1) Report* (Form 82).
2. If necessary, BF the CO-1/CO-2 for a potential official receiver examination.
3. Turn off the flag.

NOTIFICATION FLAG

Yes to Q10B (gifts over $500)

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

STATEMENT OF AFFAIRS (NON-BUSINESS) (FORM 79)

On question 10b of the *Statement of affairs (non-business)* (Form 79), the bankrupt disclosed that he/she made a gift to relatives or others in excess of $500 in the five years before the initial bankruptcy event, while knowing him/herself to be insolvent.

WORK FLOW

1. Review the details of the transaction on Form 79 and, if necessary, BF to the *170(1) Report* (Form 82).
2. If necessary, BF the CO-1/CO-2 for a potential official receiver examination.
3. Turn off the flag.

NOTIFICATION FLAG

Yes to Q11A (previous proposal)

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

STATEMENT OF AFFAIRS (NON-BUSINESS) (FORM 79)

On question 11a of the *Statement of affairs (non-business)* (Form 79), the bankrupt disclosed that he/she previously made a proposal under the *Bankruptcy and Insolvency Act* (BIA).

WORK FLOW

1. Review the details of the previous proposal.
2. Turn off the flag.

NOTIFICATION FLAG

Yes to Q11B (previous bankruptcy)

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

STATEMENT OF AFFAIRS (NON-BUSINESS) (FORM 79)

On question 11b of the *Statement of affairs (non-business)* (Form 79), the bankrupt disclosed that he/she has been bankrupt before, either in Canada or elsewhere.

WORK FLOW

1. Assess whether an official receiver examination will be set based on the criteria in your office.
2. In IMPACT, cross-reference the previous bankruptcy estate with the current bankruptcy estate.
3. If necessary, BF the CO-1/CO-2 for further review or to set an examination.
4. Turn off the flag.

NOTIFICATION FLAG

Previous financial advice paid for

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

ASSESSMENT CERTIFICATE

The trustee/administrator submitted an assessment certificate with a value greater than zero in the “have received advice regarding my financial situation other than...” field.

WORK FLOW

1. Review the assessment certificate.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, BF the CO-1/CO-2.
4. Turn off the flag.

NOTIFICATION FLAG

Div II by a bankrupt, different trustee

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The administrator submitted a Division II proposal to an estate with a previous bankruptcy that has not been absolutely discharged. The administrator is not the trustee of record for the bankruptcy. The e-filing system will create a memo containing the former trustee's licence name and number and will populate the administrator to the trustee screen in IMPACT.

NOTE This is an awareness flag to alert the official receiver to the fact the trustee and administrator on this estate are not the same person.

WORK FLOW

1. Advise the trustee of the bankruptcy of the filing of the Division II proposal, as per office procedure.
2. Turn off the flag.

NOTIFICATION FLAG

Previous proceeding indicates interim receiver

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	CR	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The trustee/administrator indicated on the current *Estate Information Summary* (EIS) that there is or was a previous interim receiver appointed that may or may not be discharged. The e-filing system will populate the IMPACT estate profile "previous receivership yes/no" field with a "yes." The e-filing system will automatically cross-reference the files.

WORK FLOW

1. Determine whether the interim receivership is active.

NOTE The actions in this work flow for an active interim receivership are only relevant in those offices that are required to use the same court number for the interim receivership as for any other related proceeding.

If the interim receivership has been discharged,

i) No action is required.

If the interim receivership is active,

i) In IMPACT, add the court number to the current estate information.

ii) Click on the **send to e-file** button on the document request screen to forward the amended certificate to the trustee/administrator.

2. Turn off the flag.

NOTIFICATION FLAGS

Previous proceeding was a receivership
Previous proceeding is an active receivership

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	CR	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The trustee/administrator indicated on the current *Estate Information Summary* (EIS) that there is a previous receivership that may or may not be discharged. The e-filing system will populate the IMPACT estate profile "previous receivership yes/no" field with a "yes." The e-filing system will automatically cross-reference the files.

WORK FLOW

1. Determine whether the receivership is active.

NOTE The actions in this work flow for an active receivership are only relevant in those offices that are required to use the same court number for the receivership as for any other related proceeding.

If the receivership has been discharged,

i) No action is required.

If the receivership is active,

i) In IMPACT, add the court number to the current estate information.
ii) Click on the **send to e-file** button on the document request screen to forward the amended certificate to the trustee/administrator.

2. Turn off the flag.

NOTIFICATION FLAG

Review Div II initial filing

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

CONSUMER PROPOSAL (FORM 47)

The administrator submitted a *Consumer proposal* (Form 47).

WORK FLOW

1. Review all documents included with the initial filing submission.
2. Review the proposal, checking the terms.
3. Check whether the terms match what the administrator has entered on the *Estate Information Summary* (EIS).

   If the terms do not match,
   i) Ask the administrator for an amended EIS and/or proposal.
   ii) If necessary, make entries to the Trustee Compliance Database (TCD).
4. BF the CO-1/CO-2 to determine whether a meeting should be called.
5. Turn off the flag.

NOTIFICATION FLAG

Corollary debt is different than on previous proceeding

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	5 business days

ESTATE INFORMATION SUMMARY (EIS)

The administrator submitted a Div II proposal by a bankrupt (65) and answered "no" to the administrator screen question about corollary debt, but the bankruptcy estate indicates corollary debt. The corollary information will not be overwritten in IMPACT, but the e-filing system will maintain both records.

NOTE This flag will be triggered only if the bankruptcy was e-filed.

WORK FLOW

1. Compare the other debtor's *Statement of affairs* (Form 79) that was indicated as corollary on the original bankruptcy documents to the current Division II estate's *Statement of affairs* (Form 79).
2. If necessary, correct the corollary coding in IMPACT for either estate.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

Previous bankruptcy information different than previous proceeding

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The administrator uploaded a Div II proposal by a bankrupt (65) and the response to the "previous bankruptcy" question on the *Estate Information Summary* (EIS) doesn't match the previous bankruptcy information that was indicated on the e-filing estate header when the new estate came into the e-filing system. The header had received this information either from the old EIS, or from an update that was entered in IMPACT manually and messaged over to the e-filing system. Because the new information has overwritten what was previously in the header, it is important to check the old EIS or any other relevant documentation to determine the correct previous bankruptcy information.

WORK FLOW

1. Determine the correct response to the "previous bankruptcy" question and, if necessary, update IMPACT.

NOTE A previous bankruptcy would be a bankruptcy that has been discharged and that is not related to the current bankruptcy or proposal for this debtor. The administrator should not have indicated on the EIS that the connected bankruptcy was a previous bankruptcy.

2. Turn off the flag.

NOTIFICATION FLAG

Conflict of interest information is different than previous proceeding

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	5 business days

ESTATE INFORMATION SUMMARY (EIS)

The administrator uploaded a Division II proposal by a bankrupt (65). The conflict of interest information on the new *Estate Information Summary* (EIS) doesn't match the conflict of interest information indicated on the e-filing estate header. The new information will not populate IMPACT.

NOTE The conflict of interest information is displayed in the Trustee/Administrator Details window, which can be accessed from the e-filing estate header.

WORK FLOW

1. Determine whether the administrator is the same as the trustee. If they are different, you will also have a second flag telling you so.

   If the administrator is the same as the trustee,

   i) Ask the administrator why the information has changed and update IMPACT. The new information will message automatically to the e-filing system.

   If they're different,

   i) If necessary, update IMPACT, as the conflict may or may not apply to the new administrator. This will change the information stored in the Trustee/Administrator Details window, but the EIS from the bankruptcy will still show the conflict that exists with the trustee.

2. Turn off the flag.

NOTIFICATION FLAG

Answer to the deceased question is different from that on the previous proceeding

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The administrator uploaded a Division II proposal by a bankrupt (65) with different deceased debtor information than in the previous proceeding.

The e-filing system will update the deceased debtor information only if the debtor died after the bankruptcy was filed. Because there is a return rule for the scenario of a deceased person filing a Division II proposal, this flag will be rare.

NOTE This flag will be triggered only if the bankruptcy was e-filed. The flag is placed on the *Estate Information Summary* (EIS) in the estate index.

WORK FLOW

1. Check the bankruptcy estate to determine whether the debtor's status is correct.

   If the debtor is deceased but the administrator indicated the debtor is not deceased on the Division II proposal,
   i) BF the CO-1/CO-2.

2. Turn off the flag.

NOTIFICATION FLAG

Indemnity is different than previous proceeding

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The administrator uploaded a Division II proposal by a bankrupt (65). The indemnification information on the "new" *Estate Information Summary* (EIS) does not match the indemnification information indicated on the e-filing estate header. The new information will not populate IMPACT.

NOTE **This flag will be triggered only if the bankruptcy was e-filed.**

WORK FLOW

1. Ensure that the bankruptcy file correctly indicates an indemnification, if applicable.
2. If necessary, update IMPACT.
3. Set a flag in the SRD memo screen in IMPACT to flag the *Statement of receipts and disbursements* (SRD) (Form 13).
4. Turn off the flag.

NOTIFICATION FLAG

Date of birth different than previous proceeding

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

Because the trustee/administrator included an estate number on the *Estate Information Summary* (EIS), a previous proceeding that has been absolutely "discharged or fully performed" has been found for a debtor of the same name. The dates of birth, however, do not match. The purpose of this flag is to determine whether these proceedings are for the same debtor. The e-filing system will automatically create a cross-reference in IMPACT.

NOTE Because the previous proceeding is "severed," the e-filing system will not process coding updates automatically in IMPACT.

WORK FLOW

1. Determine whether both proceedings are for the same debtor.

   If they are,
   i) In IMPACT, correct the incorrect birth date.

   If they aren't,
   i) Ask the trustee/administrator why the other debtor's estate number is on the initial filing documents.
   ii) If necessary, update the filing fee code in IMPACT.
   iii) Make entries to the Trustee Compliance Database (TCD).
   iv) In IMPACT, remove any irrelevant cross-references.

2. Turn off the flag.

NOTIFICATION FLAG

Previous Div I annulled by the court, no bankruptcy

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The trustee/administrator submitted a summary administration or Division II proposal for a debtor with a previous Division I proposal (no bankruptcy) that has been court annulled. The trustee who administered the Division I proposal has been discharged. The e-filing system will automatically cross-reference the estates.

NOTE This flag informs the official receiver of the previous proceeding. No action is necessary.

WORK FLOW

1. If necessary, BF the CO-1/CO-2.
2. Turn off the flag.

NOTIFICATION FLAG

Previous/current proceeding for only one debtor in this joint file

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The trustee/administrator submitted a summary administration or Division II proposal that is a joint filing. Indicated on the submission is a connected or previous proceeding for one of the debtors in the joint file.

NOTE This flag will not be triggered if one debtor is filing a Division II proposal out of bankruptcy as the e-filing system currently can't handle the coding. In this situation, the trustee will receive a message asking that the file be submitted as paper.

WORK FLOW

1. Determine whether there is a previous proceeding for the "other" debtor(s).

If there is no previous proceeding,

i) No action is required.

If the trustee has erred and there IS a previous proceeding for the "other" debtor(s),

i) Update the estate type and/or filing type coding in IMPACT.

ii) Cross-reference the two or more files.

NOTE Because there was no previous estate number provided for one or more of the debtors, the system did not run business rules on that undisclosed previous proceeding. Therefore, review prior proceedings to ensure the estate type code and filing type code are correct and to determine whether the debtor(s) is/are discharged from the prior proceeding.

2. Turn off the flag.

NOTIFICATION FLAG

A value for non-discretionary/other expenses exists

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

MONTHLY INCOME AND EXPENSE STATEMENT OF THE BANKRUPT AND THE FAMILY UNIT (FORM 65)

The trustee/administrator submitted a *Monthly income and expense statement of the bankrupt and the family unit* (Form 65) with more than zero in the "other" field under "non-discretionary expenses."

WORK FLOW

1. Ensure that this non-discretionary expense is appropriate.

NOTE The criteria for assessing the non-discretionary expense may differ for Division II proposals and summary administrations.

2. If necessary, contact the trustee/administrator.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

No unsecured debts on SofA (Form 79)

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

STATEMENT OF AFFAIRS (FORM 79)

The administrator submitted a Division II proposal and there is no unsecured debt reported on the *Statement of affairs* (Form 79).

WORK FLOW

1. Review the terms of the proposal.
2. If necessary, contact the administrator.
3. If necessary, BF the CO-1/CO-2.
4. Turn off the flag.

NOTIFICATION FLAG

Verify inspector approval on Div II filing by undischarged bankrupt

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

ESTATE INFORMATION SUMMARY (EIS)

The administrator submitted a Division II proposal by a bankrupt (65). The administrator indicated on the administrator screen that inspectors were appointed in the bankruptcy and gave their approval to the filing of the proposal. The administrator was prompted, but not required, to upload the *Inspectors' approval* (softcopy).

WORK FLOW

1. Check whether the *Inspectors' approval* (softcopy) is in the estate index or waiting to be uploaded by the OSB.
2. If there is no *Inspectors' approval*, ask the administrator to send it.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

Estate Administration

NOTIFICATION FLAG

Form 71 submission

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

NOTICE OF FIRST MEETING OF CREDITORS (FORM 71)

The trustee submitted a *Notice of first meeting of creditors* (Form 71) after the initial filing.

Form 71 does not overwrite any meeting information in IMPACT, i.e., it will create a new meeting header if the incoming information is different from the information already in IMPACT.

WORK FLOW

1. BF the CO-1/CO-2 to review the meeting information and proceed as per office procedure.
2. If there is a change to the meeting information, i.e., the CO-1/CO-2 has decided to chair and/or has changed the date of the meeting, enter the changes in IMPACT.
3. If the meeting information has changed, click on the **send to e-file** button on the document request screen to forward the amended certificate to the trustee.
4. Turn off the flag.

NOTIFICATION FLAG

Subsequent Form 71 submission

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

NOTICE OF FIRST MEETING OF CREDITORS (FORM 71)

The trustee submitted a subsequent *Notice of first meeting of creditors* (Form 71).

Form 71 does not overwrite any meeting information in IMPACT, i.e., it will create a new meeting header if the incoming information is different from the information already in IMPACT.

WORK FLOW

1. Review the meeting information on the form to determine whether it's a copy of the original notice or a notice of a subsequent meeting.
2. BF the CO-1/CO-2 only if it's a subsequent meeting.
3. If there is a change to the meeting information, i.e., the CO-1/CO-2 has decided to chair and/or has changed the date of the meeting, enter the changes in IMPACT.
4. If necessary, make entries to the Trustee Compliance Database (TCD).
5. If the meeting information has changed, click on the **send to e-file** button on the document request screen to forward the amended certificate to the trustee.
6. Turn off the flag.

NOTIFICATION FLAG

Submission of financial statements

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

FINANCIAL STATEMENT (SOFTCOPY)

The trustee or the OSB uploaded a *Financial statement* (softcopy).

WORK FLOW

1. Review the document.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, make entries to the "memo" field in IMPACT.
4. Turn off the flag.

NOTIFICATION FLAG

Submission of trustee's report to the creditors on preliminary administration

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

TRUSTEE'S REPORT TO THE CREDITORS ON PRELIMINARY ADMINISTRATION (SOFTCOPY)

The trustee or the OSB has uploaded the *Trustee's report to the creditors on preliminary administration* (softcopy).

WORK FLOW

1. Review the document.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, make entries to the "memo" field in IMPACT.
4. Turn off the flag.

NOTIFICATION FLAG

Form 67 received for a first-time bankrupt

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

NOTICE OF BANKRUPTCY AND FIRST MEETING OF CREDITORS (FORM 67)

The trustee submitted a *Notice of bankruptcy and first meeting of creditors* (Form 67) for a first-time bankrupt.

WORK FLOW

1. Review the form.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, make entries to the "memo" field in IMPACT.
4. Turn off the flag.

NOTIFICATION FLAG

Form 70 received for a first-time bankrupt

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

NOTICE OF BANKRUPTCY AND REQUEST OF A FIRST MEETING OF CREDITORS (FORM 70)

The trustee submitted a *Notice of bankruptcy and request of a first meeting of creditors* (Form 70) for a first-time bankrupt.

WORK FLOW

1. Review the form and determine why it was submitted.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, make entries to the "memo" field in IMPACT.
4. Turn off the flag.

NOTIFICATION FLAG

Subsequent notice of creditors meeting (Form 50) submission. IMPACT data entry may be required

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

NOTICE OF MEETING OF CREDITORS TO CONSIDER CONSUMER PROPOSAL (FORM 50)

The administrator submitted a subsequent *Notice of meeting of creditors to consider consumer proposal* (Form 50).

If the date of the meeting hasn't changed (i.e., it's a copy of the first notice), Form 50 will overwrite the existing creditor meeting header in IMPACT. If the date of the meeting has changed or there is an additional meeting, a new meeting header will populate IMPACT.

WORK FLOW

1. Compare the date in IMPACT to the date on the notice and make any necessary changes to the meeting header in IMPACT.
2. If it's a new meeting date, BF the CO-1/CO-2 so he/she may determine whether he/she will chair the meeting.
3. If necessary (i.e., if the meeting is to consider an amended proposal or the CO-1/CO-2 has decided to chair, send a certificate; if it's a reconvened meeting, there's no need to send a certificate), send an amended certificate by clicking on the **send to e-file** button on the document request screen.
4. Turn off the flag.

NOTIFICATION FLAG

Notice of meeting of creditors (Form 50) on proposal with inactive status

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

NOTICE OF MEETING OF CREDITORS TO CONSIDER CONSUMER PROPOSAL (FORM 50)

The administrator submitted a *Notice of meeting of creditors to consider consumer proposal* (Form 50) to a proposal that has one of the following estate types:

- withdrawn Div II proposal before approval (33)
- rejected Div II proposal – creditor acceptance refused (34)
- refused Div II proposal – court approval refused (35)
- deemed annulment – Div II proposal by a debtor – in default (83)
- court annulment – Div II proposal by a debtor – ineligible (84)
- court annulment – Div II proposal by a bankrupt – bankruptcy (86)

WORK FLOW

1. If necessary, contact the administrator to determine why the form has been submitted to a proposal that is no longer proceeding.
2. Make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

NOTIFICATION FLAG

Notice of creditors meeting (Form 50) received within 10 days

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

NOTICE OF MEETING OF CREDITORS TO CONSIDER CONSUMER PROPOSAL (FORM 50)

The administrator submitted a *Notice of meeting of creditors to consider consumer proposal* (Form 50) with a meeting date 10 days or less after the form was received. This date is outside the parameters allowed.

WORK FLOW

1. Contact the administrator to determine whether a new meeting date should be set.
2. BF the CO-1/CO-2.

   If a new date is set or the official receiver has decided to chair the meeting,
   i) Enter the meeting information in IMPACT and click on the **send to e-file** button on the document request screen to send an amended certificate.

   In the rare circumstance that no new date is set,
   i) Click on the **send to e-file** button on the document request screen to send an amended certificate using the date suggested by the administrator.
3. Make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

Creditor meeting date more than 66 days from date of filing

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

NOTICE OF MEETING OF CREDITORS TO CONSIDER CONSUMER PROPOSAL (FORM 50)

The administrator submitted a *Notice of meeting of creditors to consider consumer proposal* (Form 50) with a meeting date that is more than 66 days (45 + 21) after the date of filing. In the case of an amended proposal, the meeting date is more than 21 days after the amended proposal was filed. This date is outside the parameters allowed.

WORK FLOW

1. Contact the administrator to determine whether a new meeting date should be set.
2. BF the CO-1/CO-2.

   If a new date is set or the official receiver has decided to chair the meeting,

   i) Enter the meeting information into IMPACT and click on the **send to e-file** button on the document request screen to send an amended certificate.

   In the rare circumstance that no new date is set,

   i) Click on the **send to e-file** button on the document request screen to send an amended certificate using the date suggested by the administrator.
3. Make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

Submission of report of the administrator on Div II

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	5 business days

REPORT OF ADMINISTRATOR ON CONSUMER PROPOSAL (FORM 48)

The administrator submitted a *Report of administrator on consumer proposal* (Form 48) in xml format. The form was not included with the initial filing documents, but has been received within the 10-day period. No other flags have been raised against the form.

WORK FLOW

1. Review the report.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

NOTIFICATION FLAG

Notice of deemed annulment (Form 56) received, estate already deemed annulled

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	5 business days

NOTICE TO CREDITORS AND REPORT TO OFFICIAL RECEIVER ON DEEMED ANNULMENT OF CONSUMER PROPOSAL (FORM 56)

The administrator submitted a *Notice to creditors and report to official receiver on deemed annulment of consumer proposal* (Form 56) for the first time, yet the estate type already indicates the annulment.

WORK FLOW

1. Determine what information was used to update the estate without the form, contacting the administrator if necessary. It may be the form was received as a softcopy, the update was done manually, and a "Notice to resubmit" has been sent **or** the update was an error.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

NOTIFICATION FLAG

Notice/report of annulment (Form 53) received

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	5 business days

NOTICE TO CREDITORS AND REPORT TO OFFICIAL RECEIVER ON ANNULMENT OF CONSUMER PROPOSAL OF A CONSUMER DEBTOR WHO WAS NOT A BANKRUPT (FORM 53)

The administrator submitted a *Notice to creditors and report to official receiver on annulment of consumer proposal of a consumer debtor who was not a bankrupt* (Form 53).

NOTE The following will populate IMPACT:

- the annulment code – Deemed annulment – Div II proposal by a debtor – in default (83)
- the discharge code – Consumer proposal failed (ss. 66.35(4)) (11)
- the date of the annulment from the body of the form (on the discharge screen)

WORK FLOW

1. Review Form 53.
2. If there is no *Order annulling the consumer proposal of a consumer debtor who was not a bankrupt* (Form 53.1) in the estate index, BF to confirm receipt.
3. Turn off the flag.

NOTE This flag is for information only. There may be no action required.

NOTIFICATION FLAG

Submission against an annulled bankruptcy

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

ALL PRESCRIBED FORMS AND SOFTCOPY DOCUMENTS

The trustee submitted a softcopy document or prescribed form to an estate that is an annulled bankruptcy (Bankruptcy annulled – court annulment (81)). Because the document will not populate IMPACT, it may be necessary to update IMPACT manually.

NOTES Once an electronic estate is updated to "bankruptcy annulled," processing rules are turned off for all incoming documents, except for Forms 13 and 16 (see note below); therefore, all documents received into the estate are flagged for review.

This work flow does not apply to a *Trustee's statement of receipts and disbursements* (Form 13) or *Certificate of compliance and deemed discharge of trustee* (Form 16) filed against an annulled bankruptcy because these are processed and flagged separately.

WORK FLOW

1. Review the softcopy document or prescribed form and, if necessary, make corrections to or update IMPACT.
2. If necessary, contact the trustee.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. If necessary, BF the CO-1/CO-2.
5. Turn off the flag.

NOTIFICATION FLAG

Certificate of full performance (Form 57) on file

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	5 business days

REPORT OF ADMINISTRATOR ON CONSUMER PROPOSAL (FORM 48)

The administrator submitted a *Report of administrator on consumer proposal* (Form 48) and there is a *Certificate of full performance of consumer proposal* (Form 57) in the estate index.

WORK FLOW

1. Review Form 48 to determine whether it should have been submitted.
2. If necessary, contact the administrator.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

Certificate of full performance (Form 57) on file

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	5 business days

NOTICE TO CREDITORS OF CONSUMER PROPOSAL (FORM 49)

The administrator submitted a *Notice to creditors of consumer proposal* (Form 49) and there is a *Certificate of full performance of consumer proposal* (Form 57) in the estate index.

WORK FLOW

1. Review Form 49 to determine whether it should have been submitted.
2. If necessary, contact the administrator.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

Creditor meeting date/time is different from the EIS

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

NOTICE OF MEETING OF CREDITORS TO CONSIDER CONSUMER PROPOSAL (FORM 50)

The administrator submitted a *Notice of meeting of creditors to consider consumer proposal* (Form 50) with a different date and/or time than on the most recent *Estate Information Summary* (EIS).

NOTE If the meeting date/time on the most recent EIS is blank, this is considered different from the date/time on Form 50.

WORK FLOW

1. Review the meeting information and, if necessary, contact the administrator to determine the correct date.
2. In IMPACT, check the meeting header to ensure the correct meeting information is entered.
3. BF the CO-1/CO-2, who decides whether to chair the meeting.
4. If necessary, i.e., if the meeting date has changed or the CO-1/CO-2 is chairing, click on the **send to e-file** button on the document request screen to send an amended certificate.
5. If necessary, make entries to the Trustee Compliance Database (TCD).
6. Turn off the flag.

NOTIFICATION FLAG

Hearing date set at least 10 days in advance

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2 and CO-1/CO-2	2 business days

REPORT OF ADMINISTRATOR ON CONSUMER PROPOSAL AND CONDUCT OF CONSUMER DEBTOR (FORM 51)

The administrator is on time submitting a *Report of administrator on consumer proposal and conduct of consumer debtor* (Form 51). Form 51 is due at least 10 days before the court date in the *Notice of hearing of application for court review of consumer proposal* (Form 51.1) in the estate index. The form has been received within the allowable parameters.

WORK FLOW

PM-2

1. BF the CO-1/CO-2.
2. Turn off the flag.

CO-1/CO-2

1. Review the report.
2. If necessary, make entries to the Trustee Compliance Database (TCD).

NOTIFICATION FLAG

Notice of hearing (Form 51.1) not received

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

REPORT OF ADMINISTRATOR ON CONSUMER PROPOSAL AND CONDUCT OF CONSUMER DEBTOR (FORM 51)

The administrator submitted a *Report of administrator on consumer proposal and conduct of consumer debtor* (Form 51) and there was no *Notice of hearing of application for court review of consumer proposal* (Form 51.1) in the estate index.

NOTE Form 51.1 (due 15 days before the hearing) is usually submitted before Form 51 (due 10 days before the hearing).

WORK FLOW

1. Check whether Form 51.1 is in the estate index, or is waiting for the OSB to upload, as it may have arrived after the flag was triggered.
2. Review to determine if the form is late.

   If Form 51.1 is late,
   i) Ask the administrator to submit it.
   ii) If necessary, make entries to the Trustee Compliance Database (TCD).

   If Form 51.1 is NOT late,
   i) BF to confirm receipt.
3. BF the CO-1/CO-2.
4. Turn off the flag.

NOTIFICATION FLAG

Proposal already withdrawn/rejected/refused

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	5 business days

REPORT OF ADMINISTRATOR ON CONSUMER PROPOSAL AND CONDUCT OF CONSUMER DEBTOR (FORM 51)

The administrator submitted a *Report of administrator on consumer proposal and conduct of consumer debtor* (Form 51) and there is a *Notice of status of consumer proposal* (Form 52) in the estate index. The estate type is one of the following:

- withdrawn Div II proposal before approval (33)
- rejected Div II proposal – creditor acceptance refused (34)
- refused Div II proposal – court approval refused (35)

NOTE It is likely that this flag will be triggered only if the estate type is Refused Div II proposal – court approval refused (35). It is also likely that Form 51 has been submitted late.

WORK FLOW

1. Determine why Form 51 was submitted after Form 52.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

NOTIFICATION FLAG

Proposal already deemed annulled

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	5 business days

REPORT OF ADMINISTRATOR ON CONSUMER PROPOSAL AND CONDUCT OF CONSUMER DEBTOR (FORM 51)

The administrator submitted a *Report of administrator on consumer proposal and conduct of consumer debtor* (Form 51). The flag has been triggered because:

- a *Notice to creditors and report to official receiver on deemed annulment of consumer proposal* (Form 56) is in the estate index, **or**
- the estate type is one of the following:
  - deemed annulment – Div II proposal by a debtor – in default (83)
  - court annulment – Div II Proposal by a debtor – ineligible (84)
  - deemed annulment – Div II Proposal by a bankrupt – no bankruptcy (85)
  - court annulment – Div II Proposal by a bankrupt – bankruptcy (86)

WORK FLOW

1. Determine why Form 51 was submitted after the deemed annulment or court annulment.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

NOTIFICATION FLAG

Notice of hearing (Form 51.1) received

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2 and CO-1/CO-2	2 business days

NOTICE OF HEARING OF APPLICATION FOR COURT REVIEW OF CONSUMER PROPOSAL (FORM 51.1)

The administrator submitted a *Notice of hearing of application for court review of consumer proposal* (Form 51.1) with a court date more than 14 days from receipt of the form. This is within the allowable parameters.

WORK FLOW

PM-2

1. BF the CO-1/CO-2.
2. Turn off the flag.

CO-1/CO-2

1. If necessary, make entries to the Trustee Compliance Database (TCD).

NOTIFICATION FLAG

Notice of hearing (Form 51.1) received, proposal already withdrawn/rejected/refused

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	5 business days

NOTICE OF HEARING OF APPLICATION FOR COURT REVIEW OF CONSUMER PROPOSAL (FORM 51.1)

The administrator submitted a *Notice of hearing of application for court review of consumer proposal* (Form 51.1) and there is a *Notice of status of consumer proposal* (Form 52) in the estate index. The estate type is one of the following:

- withdrawn Div II proposal before approval (33)
- rejected Div II proposal – creditor acceptance refused (34)
- refused Div II proposal – court approval refused (35)

NOTE It is likely that this flag will be triggered only if the estate type is Refused Div II Proposal – court approval refused (35).

WORK FLOW

1. Determine why Form 51.1 was submitted after Form 52.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, BF the CO-1/CO-2.
4. Turn off the flag.

NOTIFICATION FLAG

Notice of hearing (Form 51.1) received, proposal already annulled

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	5 business days

NOTICE OF HEARING OF APPLICATION FOR COURT REVIEW OF CONSUMER PROPOSAL (FORM 51.1)

The administrator submitted a *Notice of hearing of application for court review of consumer proposal* (Form 51.1). The flag was triggered because:

- a *Notice to creditors and report to official receiver on deemed annulment of consumer proposal* (Form 56) is in the estate index, **or**
- the estate type is one of the following:
  - deemed annulment – Div II proposal by a debtor – in default (83)
  - court annulment – Div II proposal by a debtor – ineligible (84)
  - deemed annulment – Div II proposal by a bankrupt – no bankruptcy (85)
  - court annulment – Div II proposal by a bankrupt – bankruptcy (86)

WORK FLOW

1. Determine why the form was sent, contacting the administrator if necessary.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, BF the CO-1/CO-2.
4. Turn off the flag.

NOTIFICATION FLAG

Meeting date different than notice (Form 50)

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

NOTICE OF HEARING OF APPLICATION FOR COURT REVIEW OF CONSUMER PROPOSAL (FORM 51.1)

The administrator submitted a *Notice of hearing of application for court review of consumer proposal* (Form 51.1) with a date for a meeting of creditors that doesn't match the date on the most recent *Notice of meeting of creditors to consider consumer proposal* (Form 50).

NOTE **It is possible that the meeting was adjourned.**

WORK FLOW

1. Determine why the meeting dates differ. If necessary, ask the administrator to submit missing meeting documents or information.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. BF the CO-1/CO-2.
4. Turn off the flag.

NOTIFICATION FLAG

Notice of status (Form 52) received, proposal withdrawn/ rejected/refused or bankruptcy reinstated

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	5 business days

NOTICE OF STATUS OF CONSUMER PROPOSAL (FORM 52)

The administrator submitted a *Notice of status of consumer proposal* (Form 52) and the estate type is one of the following:

- withdrawn Div II proposal before approval (33)
- rejected Div II proposal – creditor acceptance refused (34)
- refused Div II proposal – court approval refused (35)

NOTE Other documents (e.g., meeting minutes, a softcopy *Court order*) may have already been received. The update in IMPACT may have been based on the information in those documents.

WORK FLOW

1. Determine whether the coding in IMPACT is correct and update it if necessary.
2. If it is unclear what the correct coding should be, contact the administrator.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

Certificate of full performance (Form 57) on file

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

CONSUMER PROPOSAL (FORM 47)

The administrator submitted a *Consumer proposal* (Form 47) and there is a *Certificate of full performance of consumer proposal* (Form 57) in the estate index. Form 47 will not update IMPACT.

NOTE Form 57 may have been uploaded in error, or Form 47 may have been uploaded late.

WORK FLOW

1. Verify the status of the proposal.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

NOTIFICATION FLAG

Report of administrator (Form 48) has not been received

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

ADMINISTRATION FLAG

It has been 10 days after the filing of a Division II proposal and the *Report of administrator on consumer proposal* (Form 48) was not in the estate index.

WORK FLOW

1. Check whether Form 48 is in the estate index as it may have been received after the flag was triggered.
2. If Form 48 is not in the index, ask the administrator to submit it and BF to confirm receipt.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

Minutes not on file

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

ADMINISTRATION FLAG

Ten days after a meeting date has passed, the e-filing system checks the date on the *Notice of meeting of creditors to consider consumer proposal* (Form 50). A flag is triggered if the *Minutes of first meeting of creditors* or *Minutes of subsequent meeting of creditors* (softcopy) are not in the estate index. The 10-day time frame was selected by the OSB to ensure minutes are received in all cases.

WORK FLOW

1. Verify whether the minutes are waiting for the OSB to upload.
2. If the minutes are not in the OSB office, ask the administrator to submit them, **and/or** BF for an appropriate time, i.e., two days, to confirm the minutes are received.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

Total liabilities are different from those on the original Statement of affairs (Form 79)

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

STATEMENT OF AFFAIRS (FORM 79)

The administrator submitted a subsequent *Statement of affairs* (Form 79) with total liabilities that are different from those on the original Form 79.

WORK FLOW

1. Check the total of the liabilities, looking at the *Estate Information Summary* (EIS) for the mortgage amount, to determine whether the debtor is still eligible to file a Division II proposal.
2. Ensure that any errors on the first Form 79 have been corrected on the subsequent Form 79.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

Submission of request for court review of proposal

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

REQUEST FOR COURT REVIEW OF PROPOSAL (SOFTCOPY)

The administrator uploaded a *Request for court review of proposal* (softcopy).

WORK FLOW

1. Review the request.

NOTE Some offices will also need to assign a court number and provide an amended certificate with the court number.

2. BF the CO-2.
3. Turn off the flag.

NOTIFICATION FLAG

Creditor meeting date more than 21 days from date amended proposal was filed

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

NOTICE OF MEETING OF CREDITORS TO CONSIDER CONSUMER PROPOSAL (FORM 50)

The administrator submitted a *Notice of meeting of creditors to consider consumer proposal* (Form 50) with a meeting date that is more than 21 days after the amended proposal was filed. This date is outside the parameters allowed.

WORK FLOW

1. Contact the administrator to set a new meeting date.
2. BF the CO-1/CO-2 so he/she may determine whether to chair the meeting.
3. Update IMPACT with the new meeting information.
4. Click on the **send to e-file** button on the document request screen to forward the amended certificate to the administrator.
5. Make entries to the Trustee Compliance Database (TCD).
6. Turn off the flag.

Bankrupt Discharge

NOTIFICATION FLAG

170 Report has fewer assets than SofA

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	14 calendar days

REPORT OF TRUSTEE ON THE BANKRUPT'S APPLICATION FOR DISCHARGE (170(1) REPORT) (FORM 82)

The trustee submitted a *Report of Trustee on the bankrupt's application for discharge* (170(1) Report) (Form 82) with fewer assets than reported on the bankrupt's *Statement of affairs* (Form 79).

WORK FLOW

1. Review the assets on the 170(1) Report against the assets on the *Statement of affairs* (Form 79).
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. BF the CO-1/CO-2.
4. Turn off the flag.

NOTIFICATION FLAG

Appendix A included

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	14 calendar days

REPORT OF TRUSTEE ON THE BANKRUPT'S APPLICATION FOR DISCHARGE (170(1) REPORT) (FORM 82)

The trustee submitted a *Report of Trustee on the bankrupt's application for discharge* (170(1) Report) (Form 82) with an Appendix A included.

WORK FLOW

1. Review the Appendix A.

NOTE The e-filing system will update IMPACT with bankrupt discharge code 12 if trustee recommendations are included in Appendix A.

2. Fill the required IMPACT fields for a recommendation on a deemed opposition. Any additional information to clarify the recommendation can be entered in the comment field.
3. Turn off the flag.

NOTIFICATION FLAG

Appendix A missing despite surplus income on monthly income and expense statement

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	14 calendar days

REPORT OF TRUSTEE ON THE BANKRUPT'S APPLICATION FOR DISCHARGE (170(1) REPORT) (FORM 82)

The trustee submitted a *Report of Trustee on the bankrupt's application for discharge* (170(1) Report) (Form 82) without an Appendix A even though the *Monthly income and expense statement of the bankrupt and family unit* (Form 65) submitted with the initial filing indicated that there was surplus income.

WORK FLOW

1. Review the 170(1) Report against Form 65.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, BF the CO-1/CO-2.
4. Turn off the flag.

NOTIFICATION FLAG

Bankrupt available monthly income different than on initial Form 65

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	14 calendar days

REPORT OF TRUSTEE ON THE BANKRUPT'S APPLICATION FOR DISCHARGE (170(1) REPORT) (FORM 82)

The trustee submitted a *Report of Trustee on the bankrupt's application for discharge* (170(1) Report) (Form 82) with an available monthly income of the bankrupt (question 2a) that doesn't match the amount in the *Monthly income and expense statement of the bankrupt and the family unit* (Form 65, line 7) submitted with the initial filing.

WORK FLOW

1. Review the 170(1) Report against Form 65.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

NOTIFICATION FLAG

Family available monthly income different than on initial Form 65

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	14 calendar days

REPORT OF TRUSTEE ON THE BANKRUPT'S APPLICATION FOR DISCHARGE (170(1) REPORT) (FORM 82)

The trustee submitted a *Report of Trustee on the bankrupt's application for discharge* (170(1) Report) (Form 82) with an available monthly family income (question 3a) that doesn't match the amount in the *Monthly income and expense statement of the bankrupt and the family unit* (Form 65, line 8) submitted with the initial filing.

WORK FLOW

1. Review the 170(1) Report against Form 65.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

NOTIFICATION FLAG

Surplus income amount different than on initial Form 65

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	14 calendar days

REPORT OF TRUSTEE ON THE BANKRUPT'S APPLICATION FOR DISCHARGE (170(1) REPORT) (FORM 82)

The trustee submitted a *Report of Trustee on the bankrupt's application for discharge* (170(1) Report) (Form 82) with a surplus income amount in Appendix A (line 1) that doesn't match the amount in the *Monthly income and expense statement of the bankrupt and the family unit* (Form 65, line 15) submitted with the initial filing.

WORK FLOW

1. Review the 170(1) Report against Form 65.
2. Contact the trustee to determine the correct amount of the surplus income and enter the correct amount in IMPACT.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

Yes to Q5A (failure to perform duties)

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	14 calendar days

REPORT OF TRUSTEE ON THE BANKRUPT'S APPLICATION FOR DISCHARGE (170(1) REPORT) (FORM 82)

The trustee submitted a *Report of Trustee on the bankrupt's application for discharge* (170(1) Report) (Form 82) and answered "yes" to question 5a, "Did the bankrupt fail to perform any of the duties imposed on the bankrupt under the Act?"

WORK FLOW

1. Review the 170(1) Report.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, BF the CO-1/CO-2 to review the 170(1) Report.
4. Turn off the flag.

NOTIFICATION FLAG

Yes to Q5B (responsible for facts pursuant to s. 173)

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	14 calendar days

REPORT OF TRUSTEE ON THE BANKRUPT'S APPLICATION FOR DISCHARGE (170(1) REPORT) (FORM 82)

The trustee submitted a *Report of Trustee on the bankrupt's application for discharge* (170(1) Report) (Form 82) and answered "yes" to question 5b, "Can the bankrupt be justly held responsible for any of the facts referred to in section 173 of the Act?"

WORK FLOW

1. Review the 170(1) Report.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, BF the CO-1/CO-2 to review the 170(1) Report.
4. Turn off the flag.

NOTIFICATION FLAG

Yes to Q5C (committed offence)

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	14 calendar days

REPORT OF TRUSTEE ON THE BANKRUPT'S APPLICATION FOR DISCHARGE (170(1) REPORT) (FORM 82)

The trustee submitted a *Report of Trustee on the bankrupt's application for discharge* (170(1) Report) (Form 82) and answered "yes" to question 5c, "Did the bankrupt commit any offence in connection with the bankruptcy?"

WORK FLOW

1. Review the 170(1) Report.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, BF the CO-1/CO-2 to review the 170(1) Report.
4. Turn off the flag.

NOTIFICATION FLAG

Yes to Q6A (previous proposal)

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	14 calendar days

REPORT OF TRUSTEE ON THE BANKRUPT'S APPLICATION FOR DISCHARGE (170(1) REPORT) (FORM 82)

The trustee submitted a *Report of Trustee on the bankrupt's application for discharge* (170(1) Report) (Form 82) and answered "yes" to question 6a, "Did the bankrupt ever make a proposal under the *Bankruptcy and Insolvency Act* (BIA)?"

WORK FLOW

1. Review the 170(1) Report.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, BF the CO-1/CO-2 to review the 170(1) Report.
4. Turn off the flag.

NOTIFICATION FLAG

Yes to Q6B (previous bankrupt)

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	14 calendar days

REPORT OF TRUSTEE ON THE BANKRUPT'S APPLICATION FOR DISCHARGE (170(1) REPORT) (FORM 82)

The trustee submitted a *Report of Trustee on the bankrupt's application for discharge* (170(1) Report) (Form 82) and answered "yes" to question 6b, "Has the bankrupt been bankrupt before either in Canada or elsewhere?"

WORK FLOW

1. Review the 170(1) Report.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, BF the CO-1/CO-2 to review the 170(1) Report.
4. Turn off the flag.

NOTIFICATION FLAG

Yes to Q7 (inspectors appointed)

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	14 calendar days

REPORT OF TRUSTEE ON THE BANKRUPT'S APPLICATION FOR DISCHARGE (170(1) REPORT) (FORM 82)

The trustee has submitted a *Report of Trustee on the bankrupt's application for discharge* (170(1) Report) (Form 82) and answered "yes" to question 7, "Were inspectors appointed in this estate?"

WORK FLOW

1. Review the 170(1) Report.
2. Check for the softcopy *Inspectors' approval*.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

Yes to Q8A (trustee intends to oppose)

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	14 calendar days

REPORT OF TRUSTEE ON THE BANKRUPT'S APPLICATION FOR DISCHARGE (170(1) REPORT) (FORM 82)

The trustee submitted a *Report of Trustee on the bankrupt's application for discharge* (170(1) Report) (Form 82) and answered "yes" to question 8a, "Is it the intention of the trustee to oppose the bankrupt's discharge?"

WORK FLOW

1. Review the 170(1) Report.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, BF the CO-1/CO-2 to review the 170(1) Report.
4. Turn off the flag.

NOTIFICATION FLAG

Yes to Q8B (creditor or OSB intends to oppose)

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	14 calendar days

REPORT OF TRUSTEE ON THE BANKRUPT'S APPLICATION FOR DISCHARGE (170(1) REPORT) (FORM 82)

The trustee submitted a *Report of Trustee on the bankrupt's application for discharge* (170(1) Report) (Form 82) and answered "yes" to question 8b, "Does the trustee have reasonable grounds to believe that a creditor or the Superintendent will oppose the bankrupt's discharge for a reason other than those set out in section 173(l) (m) or (n) of the Act?"

WORK FLOW

1. Review the 170(1) Report.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, BF the CO-1/CO-2 to review the 170(1) Report.
4. Turn off the flag.

NOTIFICATION FLAG

Yes to Q9 (did not receive counselling)

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	14 calendar days

REPORT OF TRUSTEE ON THE BANKRUPT'S APPLICATION FOR DISCHARGE (170(1) REPORT) (FORM 82)

The trustee submitted a *Report of Trustee on the bankrupt's application for discharge* (170(1) Report) (Form 82) and answered "yes" to question 9, "Did the bankrupt refuse or neglect to receive counselling pursuant to the directive on counselling?"

WORK FLOW

1. Review the 170(1) Report.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, BF the CO-1/CO-2 to review the 170(1) Report.
4. Turn off the flag.

NOTIFICATION FLAG

Yes to Q10 (matters justifying refusal of absolute discharge)

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	14 calendar days

REPORT OF TRUSTEE ON THE BANKRUPT'S APPLICATION FOR DISCHARGE (170(1) REPORT) (FORM 82)

The trustee submitted a *Report of Trustee on the bankrupt's application for discharge* (170(1) Report) (Form 82) and answered "yes" to question 10, "Are there any facts, matters or circumstances that would justify the court in refusing an absolute order of discharge?"

WORK FLOW

1. Review the 170(1) Report.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, BF the CO-1/CO-2 to review the 170(1) Report.
4. Turn off the flag.

NOTIFICATION FLAG

Yes to Q11 (other pertinent info)

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	14 calendar days

REPORT OF TRUSTEE ON THE BANKRUPT'S APPLICATION FOR DISCHARGE (170(1) REPORT) (FORM 82)

The trustee submitted a *Report of Trustee on the bankrupt's application for discharge* (170(1) Report) (Form 82) and answered "yes" to question 11, "Other pertinent information?"

WORK FLOW

1. Review the 170(1) Report.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, BF the CO-1/CO-2 to review the 170(1) Report.
4. Turn off the flag.

NOTIFICATION FLAG

Review examination information

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	14 calendar days

REPORT OF TRUSTEE ON THE BANKRUPT'S APPLICATION FOR DISCHARGE (170(1) REPORT) (FORM 82)

The trustee submitted a *Report of Trustee on the bankrupt's application for discharge* (170(1) Report) (Form 82) and there is an official receiver examination shown in the estate index (softcopy document uploaded to the estate index under the document title *Examination–Reports*).

WORK FLOW

1. Review the official receiver's report on examination.
2. If necessary, BF the CO-1/CO-2.
3. Turn off the flag.

NOTIFICATION FLAG

Review SI flag

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	14 calendar days

REPORT OF TRUSTEE ON THE BANKRUPT'S APPLICATION FOR DISCHARGE (170(1) REPORT) (FORM 82)

The trustee submitted a *Report of Trustee on the bankrupt's application for discharge* (170(1) Report) (Form 82) and there is a Superintendent's Investigation Order indicated in IMPACT.

WORK FLOW

1. Review the circumstances and status of the investigation.
2. BF the CO-1/CO-2 and proceed as per office procedure.
3. Turn off the flag.

NOTIFICATION FLAG

Arrival more than 30 days after the date of automatic discharge

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	CR	2 business days

CERTIFICATE OF DISCHARGE (FORM 84)

The trustee submitted a *Certificate of discharge* (Form 84) more than 30 calendar days after the bankrupt's automatic discharge date.

WORK FLOW

1. Review Form 84.
2. Make entries to the Trustee Compliance Database (TCD), including the number of days that have elapsed since the 30 calendar day deadline.
3. Turn off the flag.

NOTIFICATION FLAG

Date of bankruptcy and date of discharge are not 9 months and 1 day apart

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

CERTIFICATE OF DISCHARGE (FORM 84)

The trustee submitted a *Certificate of discharge* (Form 84) with an incorrect bankrupt's automatic discharge date.

WORK FLOW

1. Make entries to the Trustee Compliance Database (TCD).
2. Ask the trustee to submit a new Form 84 with the correct date. The correct date will overwrite the date already in IMPACT.
3. Turn off the flag.

NOTIFICATION FLAG

Notice of intended opposition on file

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

CERTIFICATE OF DISCHARGE (FORM 84)

CERTIFICATE OF DISCHARGE (CONDITIONS MET) (FORM 85)

The trustee submitted a *Certificate of discharge* (Form 84) or *Certificate of discharge (conditions met)* (Form 85) but a *Notice of intended opposition to discharge of bankrupt* (Form 80) has already been filed.

NOTE The automatic discharge code and conditions met discharge code are updated in IMPACT. This work flow applies only to oppositions by trustees (oppositions by creditors are submitted as softcopy documents).

WORK FLOW

1. Review the file to determine whether the trustee has withdrawn his/her opposition. If the opposition was not withdrawn, contact the trustee.
2. Make entries to the Trustee Compliance Database (TCD).
3. If necessary, update IMPACT with the correct information.
4. Turn off the flag.

NOTIFICATION FLAG

Arrival more than 30 days after the date trustee-imposed conditions were met

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	CR	2 business days

CERTIFICATE OF DISCHARGE (CONDITIONS MET) (FORM 85)

The trustee submitted a *Certificate of discharge (conditions met)* (Form 85) more than 30 calendar days after the conditions were met and the discharge became effective.

WORK FLOW

1. Review Form 85.
2. Make entries to the Trustee Compliance Database (TCD), including the number of days since the 30 calendar day deadline.
3. Turn off the flag.

NOTIFICATION FLAG

Form 84 on file. IMPACT data entry may be required

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

NOTICE OF HEARING FOR BANKRUPT'S APPLICATION FOR DISCHARGE (FORM 81)

The trustee submitted a *Notice of hearing for bankrupt's application for discharge* (Form 81) to an estate that has a *Certificate of discharge* (Form 84) in the estate index. Form 81 will not populate IMPACT automatically if a Form 84 is in the estate index.

WORK FLOW

1. Review the bankrupt discharge documents and proceed as per office procedure (this may involve contacting the trustee).
2. If necessary, update the bankrupt's discharge status in IMPACT.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

Form 85 on file. IMPACT data entry may be required

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

NOTICE OF HEARING OF BANKRUPT'S APPLICATION TO DISCHARGE (FORM 81)

The trustee submitted a *Notice of hearing of bankrupt's application to discharge* (Form 81) to an estate that has a *Certificate of discharge (conditions met)* (Form 85) in the estate index. Form 81 will not populate IMPACT automatically if a Form 85 is in the estate index.

WORK FLOW

1. Review the bankrupt discharge documents and proceed as per office procedure (this may involve contacting the trustee).
2. If necessary, update the bankrupt's discharge status in IMPACT.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

Form 85 on file. IMPACT data entry may be required

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

CERTIFICATE OF DISCHARGE (FORM 84)

The trustee submitted a *Certificate of discharge* (Form 84) to an estate with a *Certificate of discharge (conditions met)* (Form 85) already in the estate index. Form 84 will not populate IMPACT automatically if a Form 85 is in the estate index.

WORK FLOW

1. Review the estate to ensure the correct discharge type is captured and proceed as per office procedure (this may involve contacting the trustee).
2. If necessary, update the bankrupt's discharge status in IMPACT.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

170(3) Report on file. IMPACT data entry may be required

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

CERTIFICATE OF DISCHARGE (FORM 84)

The trustee submitted a *Certificate of discharge* (Form 84) to an estate with a 170(3) Report (softcopy) already in the estate index. Form 84 will not populate IMPACT automatically if a 170(3) Report is in the estate index.

WORK FLOW

1. Review the report and proceed as per office procedure (this may involve contacting the trustee).
2. If necessary, update the bankrupt's discharge status in IMPACT.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. If necessary, BF the CO-1/CO-2.
5. Turn off the flag.

NOTIFICATION FLAG

Court order of discharge of bankrupt or Notification of adjournment on file. IMPACT data entry may be required

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

CERTIFICATE OF DISCHARGE (FORM 84)

The trustee submitted a *Certificate of discharge* (Form 84) to an estate that has a *Court order of discharge of bankrupt* (softcopy) or *Notification of adjournment* (softcopy) in the estate index. Form 84 will not populate IMPACT automatically if a *Court order of discharge of bankrupt* or *Notification of adjournment* are in the estate index.

WORK FLOW

1. Review the bankrupt's discharge documents and proceed as per office procedure (this may involve contacting the trustee).
2. If necessary, update the bankrupt's discharge status in IMPACT.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

Creditor opposition to bankrupt's application for discharge on file. IMPACT data entry may be required

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

CERTIFICATE OF DISCHARGE (FORM 84)

The trustee submitted a *Certificate of discharge* (Form 84) to an estate that has a *Creditor opposition to bankrupt's application for discharge* (softcopy) already in the estate index. Form 84 will not populate IMPACT automatically if a *Creditor opposition to bankrupt's application for discharge* is in the estate index.

WORK FLOW

1. Review the bankrupt's discharge documents and proceed as per office procedure (this may involve contacting the trustee).
2. If necessary, update the bankrupt's discharge status in IMPACT.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

OSB opposition to bankrupt's application for discharge on file. IMPACT data entry may be required

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

CERTIFICATE OF DISCHARGE (FORM 84)

The trustee submitted a *Certificate of discharge* (Form 84) to an estate with an *OSB opposition to bankrupt's application for discharge* (softcopy) already in the estate index. Form 84 will not populate IMPACT automatically if an *OSB opposition to bankrupt's application for discharge* is in the estate index.

WORK FLOW

1. Review the bankrupt's discharge documents and proceed as per office procedure (this may involve contacting the trustee).
2. If necessary, update the bankrupt's discharge status in IMPACT.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. BF the CO-1/CO-2.
5. Turn off the flag.

NOTIFICATION FLAG

Form 81 on file. IMPACT data entry may be required

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

CERTIFICATE OF DISCHARGE (FORM 84)

The trustee submitted a *Certificate of discharge* (Form 84) to an estate with a *Notice of hearing for bankrupt's application for discharge* (Form 81) already in the estate index. Form 84 will not populate IMPACT automatically if a Form 81 is in the estate index.

WORK FLOW

1. Check the estate for a withdrawal of the opposition and proceed as per office procedure (this may involve contacting the trustee).
2. If necessary, update the bankrupt's discharge status in IMPACT.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

Estate of a deceased. IMPACT data entry may be required

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

CERTIFICATE OF DISCHARGE (FORM 84)

The trustee submitted a *Certificate of discharge* (Form 84) to the estate of a deceased debtor. Form 84 will not populate IMPACT automatically as it is the estate of a deceased debtor.

WORK FLOW

1. If necessary, update the bankrupt's discharge status in IMPACT.
2. Turn off the flag.

NOTIFICATION FLAG	
	Form 84 on file. IMPACT data entry may be required

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

CERTIFICATE OF DISCHARGE (CONDITIONS MET) (FORM 85)

The trustee submitted a *Certificate of discharge (conditions met)* (Form 85) to an estate with a *Certificate of discharge* (Form 84) already in the estate index. Form 85 will not populate IMPACT automatically if a Form 84 is in the estate index.

WORK FLOW

1. Review the estate to ensure the correct discharge type is captured and proceed as per office procedure (this may involve contacting the trustee).
2. If necessary, update the bankrupt's discharge status in IMPACT.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

170(3) Report on file. IMPACT data entry may be required

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

CERTIFICATE OF DISCHARGE (CONDITIONS MET) (FORM 85)

The trustee submitted a *Certificate of discharge (conditions met)* (Form 85) to an estate with a 170(3) Report (softcopy) already in the estate index. Form 85 will not populate IMPACT automatically if a 170(3) Report is in the estate index.

WORK FLOW

1. Review the 170(3) Report.
2. If necessary, update the bankrupt's discharge status in IMPACT.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. If necessary, BF the CO-1/CO-2.
5. Turn off the flag.

NOTIFICATION FLAG

Court order of discharge of bankrupt or Notification of adjournment on file. IMPACT data entry may be required

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

CERTIFICATE OF DISCHARGE (CONDITIONS MET) (FORM 85)

The trustee submitted a *Certificate of discharge (conditions met)* (Form 85) to an estate that has a *Court order of discharge of bankrupt* (softcopy) or *Notification of adjournment* (softcopy) already in the estate index. Form 85 will not populate IMPACT automatically is a *Court order of discharge of bankrupt* or *Notification of adjournment* are in the estate index.

WORK FLOW

1. Review the bankrupt's discharge documents and proceed as per office procedure (this may involve contacting the trustee).
2. If necessary, update the bankrupt's discharge status in IMPACT.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

Creditor opposition to bankrupt's application for discharge on file. IMPACT data entry may be required

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

CERTIFICATE OF DISCHARGE (CONDITIONS MET) (FORM 85)

The trustee submitted a *Certificate of discharge (conditions met)* (Form 85) to an estate that has a *Creditor opposition to bankrupt's application for discharge* (softcopy) already in the estate index. Form 85 will not populate IMPACT automatically if a *Creditor opposition to bankrupt's application for discharge* is in the estate index.

WORK FLOW

1. Review the bankrupt's discharge documents and proceed as per office procedure (this may involve contacting the trustee).
2. If necessary, update the bankrupt's discharge status in IMPACT.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

OSB opposition to bankrupt's application for discharge on file. IMPACT data entry may be required

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

CERTIFICATE OF DISCHARGE (CONDITIONS MET) (FORM 85)

The trustee submitted a *Certificate of discharge (conditions met)* (Form 85) to an estate that has an *OSB opposition to bankrupt's application for discharge* (softcopy) already in the estate index. Form 85 will not populate IMPACT automatically if an *OSB opposition to bankrupt's application for discharge* is in the estate index.

WORK FLOW

1. Review the bankrupt's discharge documents and proceed as per office procedure (this may involve contacting the trustee).
2. If necessary, update the bankrupt's discharge status in IMPACT.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. BF the CO-1/CO-2.
5. Turn off the flag.

NOTIFICATION FLAG

Form 81 on file. IMPACT data entry may be required

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

CERTIFICATE OF DISCHARGE (CONDITIONS MET) (FORM 85)

The trustee submitted a *Certificate of discharge (conditions met)* (Form 85) to an estate with a *Notice of hearing for bankrupt's application for discharge* (Form 81) already in the estate index. Form 85 will not populate IMPACT automatically if a Form 81 is in the estate index.

WORK FLOW

1. Review the bankrupt's discharge documents, check the estate for a withdrawal of opposition and proceed as per office procedure (this may involve contacting the trustee).
2. If necessary, update the bankrupt's discharge status in IMPACT.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

Estate of a deceased. IMPACT data entry may be required

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

CERTIFICATE OF DISCHARGE (CONDITIONS MET) (FORM 85)

The trustee submitted a *Certificate of discharge (conditions met)* (Form 85) to the estate of a deceased debtor. Form 85 will not populate IMPACT automatically as it is the estate of a deceased debtor.

WORK FLOW

1. Review the trustee's recommendations and contact the trustee.
2. If necessary, update the bankrupt's discharge status in IMPACT.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

Trustee Discharge

NOTIFICATION FLAG

Negative receipts

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	21 business days or when all outstanding issues related to the SRD are resolved

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

The trustee submitted a *Trustee's statement of receipts and disbursements* (SRD) (Form 13) with receipts with a negative dollar value.

WORK FLOW

1. Review the negative receipts.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, enter a request for information in IMPACT.
4. Turn off the flag.

NOTE The letter of comment should be sent only after all issues have been addressed and all flags have been turned off.

NOTIFICATION FLAG

Disbursements related to the realization of assets

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	21 business days or when all outstanding issues related to the SRD are resolved

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

The trustee submitted a final *Trustee's statement of receipts and disbursements* (SRD) (Form 13) with disbursements related to the realization of assets (direct selling costs).

WORK FLOW

1. Review the disbursements related to the realization of assets.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, enter a request for information in IMPACT.
4. Turn off the flag.

NOTE The letter of comment should be sent only after all issues have been addressed and all flags have been turned off.

NOTIFICATION FLAG

Tax miscalculation on counselling fees

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	21 business days or when all outstanding issues related to the SRD are resolved

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

The trustee submitted a *Trustee's statement of receipts and disbursements* (SRD) (Form 13) in which the tax rate on the counselling fees is greater than the rate permitted by the e-filing system for that province.

WORK FLOW

1. Review the tax rate on the counselling fees.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, enter a request for information in IMPACT.
4. Turn off the flag.

NOTE The letter of comment should be sent only after all issues have been addressed and all flags have been turned off.

NOTIFICATION FLAG

Court fee after Form 84 or 85

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	21 business days or when all outstanding issues related to the SRD are resolved

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

The trustee submitted a final *Trustee's statement of receipts and disbursements* (SRD) (Form 13) indicating a court fee and there is a *Certificate of discharge* (Form 84) or *Certificate of discharge (conditions met)* (Form 85) in the estate index.

WORK FLOW

1. Review the court fee.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, enter a request for information in IMPACT.
4. Turn off the flag.

NOTE The letter of comment should be sent only after all issues have been addressed and all flags have been turned off.

NOTIFICATION FLAG

Tax miscalculation on remuneration

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	21 business days or when all outstanding issues related to the SRD are resolved

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

The trustee submitted a final *Trustee's statement of receipts and disbursements* (SRD) (Form 13) indicating taxes related to the total adjusted remuneration but didn't indicate the total adjusted remuneration.

WORK FLOW

1. Review the tax calculation on the trustee's remuneration.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, enter a request for information in IMPACT.
4. Turn off the flag.

NOTE The letter of comment should be sent only after all issues have been addressed and all flags have been turned off.

NOTIFICATION FLAG

Inspector field contains information. Resolution not included

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	21 business days or when all outstanding issues related to the SRD are resolved

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

The trustee submitted a final *Trustee's statement of receipts and disbursements* (SRD) (Form 13), which requires the inspectors' approval.

NOTE Although signatures are not on the SRD in the e-filing system, there will be an inspector field on the SRD for each inspector appointed.

WORK FLOW

1. Review the inspector situation as it relates to the final SRD, checking to see whether an *Inspectors' resolution* exists in either softcopy or hardcopy waiting to be uploaded by the OSB and verifying that there is still an inspector for this estate.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, enter a request for information in IMPACT.
4. Turn off the flag.

NOTE The letter of comment should be sent only after all issues have been addressed and all flags have been turned off.

NOTIFICATION FLAG

Inspector field contains information. Resolution included

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	21 business days

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

ADMINISTRATOR'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 14)

The trustee/administrator submitted the final *Trustee's statement of receipts and disbursements* (SRD) (Form 13) or *Administrator's statement of receipts and disbursements* (SRD) (Form 14). Although the trustee/administrator did not answer the question on the trustee/administrator screen regarding inspectors, the e-filing system detected inspector fields on the form and the trustee/administrator uploaded the *Inspectors' resolution* (softcopy).

NOTE **Although signatures are not on the SRD in the e-filing system, there will be an inspector field on the SRD for each inspector appointed.**

WORK FLOW

1. Review the *Inspectors' resolution* (softcopy).
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

NOTIFICATION FLAG

Trustee indicated: inspectors appointed but didn't approve

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	21 business days or when all outstanding issues related to the SRD are resolved

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

The trustee submitted a final *Trustee's statement of receipts and disbursements* (SRD) (Form 13) without the required inspectors' approval.

NOTE Although signatures are not on the SRD in the e-filing system, there will be an inspector field on the SRD for each inspector appointed.

WORK FLOW

1. Review the inspector situation as it relates to the final SRD, checking to see whether an *Inspectors' resolution* exists in either softcopy or hardcopy waiting to be uploaded by the OSB.
2. If necessary, BF the CO-1/CO-2.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. If necessary, enter a request for information in IMPACT.
5. Turn off the flag.

NOTE The letter of comment should be sent only after all issues have been addressed and all flags have been turned off.

NOTIFICATION FLAG

Trustee indicated: inspectors appointed and approved. Resolution not included

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	21 calendar days

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

ADMINISTRATOR'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 14)

The trustee/administrator submitted a final *Trustee's statement of receipts and disbursements* (SRD) (Form 13) or *Administrator's statement of receipts and disbursements* (SRD) (Form 14) with inspectors' approval, as noted on the trustee/administrator screen. The trustee/administrator **did not** upload the *Inspectors' resolution* (softcopy).

NOTE Although signatures are not on the SRD in the e-filing system, there will be an inspector field on the SRD for each inspector appointed.

WORK FLOW

1. Check whether the trustee/administrator has submitted the *Inspectors' resolution* electronically or in hardcopy as it may have arrived after the flag was triggered. If the trustee/administrator hasn't, ask him/her to do so and BF to confirm receipt.
2. Make entries to the Trustee Compliance Database (TCD).
3. If necessary, make entries to the SRD screen in IMPACT.
4. Turn off the flag.

NOTIFICATION FLAG

Trustee indicated: inspectors appointed and not approved. Resolution not included

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	21 calendar days

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

ADMINISTRATOR'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 14)

The trustee/administrator submitted a final *Trustee's statement of receipts and disbursements* (SRD) (Form 13) or *Administrator's statement of receipts and disbursements* (SRD) (Form 14) without inspectors' approval, as noted on the trustee/administrator screen. The trustee/administrator **did not** include the *Inspectors' resolution* (softcopy).

NOTE Although signatures are not on the SRD in the e-filing system, there will be an inspector field on the SRD for each inspector appointed.

WORK FLOW

1. Check whether the trustee/administrator has submitted the *Inspectors' resolution* electronically or in hardcopy as it may have arrived after the flag was triggered.
2. If the trustee/administrator hasn't, ask him/her to do so and BF to confirm receipt.
3. Make entries to the Trustee Compliance Database (TCD).
4. If necessary, BF the CO-1/CO-2.
5. Turn off the flag.

NOTIFICATION FLAG

Trustee indicated: inspectors appointed and approved. Resolution included

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	21 business days

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

ADMINISTRATOR'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 14)

The trustee/administrator submitted the final *Trustee's statement of receipts and disbursements* (SRD) (Form 13) or *Administrator's statement of receipts and disbursements* (SRD) (Form 14), indicating inspectors' approval on the trustee/administrator screen. The trustee/administrator uploaded the *Inspectors' resolution* (softcopy).

NOTE Although signatures are not on the SRD in the e-filing system, there will be an inspector field on the SRD for each inspector appointed.

WORK FLOW

1. Review the *Inspectors' resolution* (softcopy).
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

NOTIFICATION FLAG

Trustee indicated: inspectors appointed and not approved. Resolution included

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	21 business days

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

ADMINISTRATOR'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 14)

The trustee/administrator submitted the final *Trustee's statement of receipts and disbursements* (SRD) (Form 13) or *Administrator's statement of receipts and disbursements* (SRD) (Form 14), indicating that the inspectors **did not** approve the SRD on the trustee/administrator screen. The trustee/administrator uploaded the *Inspectors' resolution* (softcopy).

NOTE Although signatures are not on the SRD in the e-filing system, there will be an inspector field on the SRD for each inspector appointed.

WORK FLOW

1. Review the *Inspectors' resolution* (softcopy).
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

NOTIFICATION FLAG

Secured creditor payment

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	21 business days or when all outstanding issues related to the SRD are resolved

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

The trustee submitted a final *Trustee's statement of receipts and disbursements* (SRD) (Form 13) indicating a payment to a secured creditor or a section 81 property claim.

WORK FLOW

1. Review the secured creditor payment.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, enter a request for information in IMPACT.
4. Turn off the flag.

NOTE The letter of comment should be sent only after all issues have been addressed and all flags have been turned off.

NOTIFICATION FLAG

Submission of taxed SRD

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	CR	2 business days

TAXED STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (SOFTCOPY)

The trustee/administrator or the OSB uploaded a final taxed *Statement of receipts and disbursements* (SRD) (softcopy).

WORK FLOW

1. Review the final taxed *Statement of receipts and disbursements*.
2. If necessary, make changes to IMPACT.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. BF the CO-1/CO-2 if the SRD is taxed by the court at a different amount than the comment letter, or proceed as per office procedure.
5. Turn off the flag.

NOTIFICATION FLAG

Submission of detail trial balance

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

DETAIL TRIAL BALANCE (SOFTCOPY)

The trustee or the OSB uploaded a *Detail trial balance* (softcopy). A PM-2 most likely asked for the document.

WORK FLOW

1. Review the softcopy document.
2. If necessary, make entries to IMPACT.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

Submission of taxed copy of legal fees

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	2 business days

TAXED COPY OF LEGAL FEES (SOFTCOPY)

The trustee or the OSB uploaded a *Taxed copy of legal fees* (softcopy).

WORK FLOW

1. Review the softcopy document.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. If necessary, BF the CO-1/CO-2.
4. Turn off the flag.

Closing Process

NOTIFICATION FLAG

Levy is not 5%

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	21 calendar days

ADMINISTRATOR'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 14)

The administrator submitted an *Administrator's statement of receipts and disbursements* (SRD) (Form 14) with a levy that is not equal to 5% of the amount available for distribution.

WORK FLOW

1. Review the levy.
2. If necessary, ask for an amended SRD.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

Certificate of compliance (Form 16) not yet submitted against Div II portion of estate

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

CERTIFICATE OF COMPLIANCE (FORM 16)

The administrator submitted a *Certificate of compliance* (Form 16) to the bankruptcy portion of an estate, but not to the proposal portion.

WORK FLOW

1. Check the index to see if the *Certificate of compliance* has been received for the proposal portion as it may have arrived after the flag was triggered.
2. If the *Certificate of compliance* for the proposal is not in the index, ask the administrator to submit it and BF to confirm receipt.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

Proposal completed more than 60 months from date of filing

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

CERTIFICATE OF FULL PERFORMANCE (FORM 57)

The administrator submitted a *Certificate of full performance* (Form 57) with a date of completion that is more than 5 years and 1 day after the proposal's filing date.

WORK FLOW

1. Check whether the proposal was completed within the proper time frame. If it wasn't, make entries to the Trustee Compliance Database (TCD).
2. If necessary, BF the CO-1/CO-2.
3. Turn off the flag.

NOTIFICATION FLAG

Notice of hearing for taxation (Form 59) submission, proposal is withdrawn/rejected/refused/annulled

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	CR	2 business days

NOTICE OF HEARING OF TAXATION OF ADMINISTRATOR'S ACCOUNTS AND DISCHARGE OF ADMINISTRATOR (FORM 59)

The administrator submitted a *Notice of hearing of taxation of administrator's accounts and discharge of administrator* (Form 59) to an estate for which a proposal has been withdrawn, refused, rejected, deemed annulled or court annulled.

WORK FLOW

1. BF the CO-2.
2. Turn off the flag.

NOTIFICATION FLAG

Total proposal amount on EIS is undefined

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	21 calendar days

ADMINISTRATOR'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 14)

The administrator submitted an *Administrator's statement of receipts and disbursements* (SRD) (Form 14) and the e-filing system cannot determine the "total proposal amount" on the most recent *Estate Information Summary* (EIS).

WORK FLOW

1. Verify the amounts received.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

NOTIFICATION FLAG

Court fee is zero, court order on file

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	12 calendar days

ADMINISTRATOR'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 14)

The administrator submitted an *Administrator's statement of receipts and disbursements* (SRD) (Form 14) with a court fee of $0, but documents in the estate index suggest that there was a court hearing.

WORK FLOW

1. Check the documents in the estate index to determine whether there was a court proceeding.
2. If necessary, ask for a new SRD.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

Div II amended, no minutes on file

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	21 calendar days

ADMINISTRATOR'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 14)

The administrator submitted an *Administrator's statement of receipts and disbursements* (SRD) (Form 14) to a proposal that has been amended, but there are no *Minutes of first meeting of creditors/Minutes of subsequent meeting of creditors* (softcopy) in the estate index. Although the administration flag (*see* "Minutes not on file" work flow, p. L.29) was triggered 10 days after the meeting date to alert the official receiver to ensure minutes were received, the minutes still have not arrived.

WORK FLOW

1. Check the index to see if the minutes have been received as they may have arrived after the flag was triggered.
2. If the minutes are not in the index, ask the administrator to submit the minutes and BF to confirm receipt.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

No proven claims exist

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	21 calendar days

ADMINISTRATOR'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 14)

The administrator submitted an *Administrator's statement of receipts and disbursements* (SRD) (Form 14) and there are no proven claims of any type indicated.

NOTE This flag is to alert the official receiver to an uncommon occurrence. No action may be necessary.

WORK FLOW

1. Review the circumstances.
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

NOTIFICATION FLAGS

SRD receipts less than EIS proposal amount
SRD receipts greater than EIS proposal amount

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	21 calendar days

ADMINISTRATOR'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 14)

The administrator submitted an *Administrator's statement of receipts and disbursements* (Form 14) showing total receipts that are different from the amount on the *Estate Information Summary* (EIS). The terms are defined on the EIS under any one of Term A, Term B or Term C.

WORK FLOW

1. Check the EIS and the body of the proposal to see whether the correct amount was received.
2. If necessary, contact the administrator.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. Turn off the flag.

NOTIFICATION FLAG

Notice/report of annulment (Form 53) received

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	PM-2	2 business days

NOTICE TO CREDITORS AND REPORT TO OFFICIAL RECEIVER ON ANNULMENT OF CONSUMER PROPOSAL OF A CONSUMER DEBTOR WHO WAS NOT A BANKRUPT (FORM 53)

The administrator submitted a *Notice to creditors and report to official receiver on annulment of consumer proposal of a consumer debtor who was not a bankrupt* (Form 53).

NOTE The annulment code (83) and the discharge code (11) will populate IMPACT. The date on the discharge screen will be the date of the annulment in the body of Form 53 (i.e., not the date the form was signed).

WORK FLOW

1. Review the form.
2. Turn off the flag.

NOTIFICATION FLAG

Notice of hearing for taxation (Form 59) submission

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal	CR	2 business days

NOTICE OF HEARING OF TAXATION OF ADMINISTRATOR'S ACCOUNTS AND DISCHARGE OF ADMINISTRATOR (FORM 59)

The administrator submitted a *Notice of hearing of taxation of administrator's accounts and discharge of administrator* (Form 59).

WORK FLOW

1. BF the CO-2.
2. Turn off the flag.

NOTIFICATION FLAG

Trustee indicated: inspectors appointed and approved. Inspectors' resolution not included

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal or Summary Administration	PM-2	21 calendar days

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

ADMINISTRATOR'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 14)

The trustee/administrator submitted a final *Trustee's statement of receipts and disbursements* (SRD) (Form 13) or *Administrator's statement of receipts and disbursements* (SRD) (Form 14), indicating inspectors' approval on the trustee/administrator screen. The trustee/administrator **did not** upload the *Inspectors' resolution* (softcopy).

NOTE Although signatures are not on the SRD in the e-filing system, there will be an inspector field on the SRD for each inspector appointed.

WORK FLOW

1. Check whether the trustee/administrator has submitted the *Inspectors' resolution* electronically or in hardcopy as it may have arrived after the flag was triggered. If the trustee/administrator hasn't, ask him/her to do so and BF to confirm receipt.
2. Make entries to the Trustee Compliance Database (TCD).
3. If necessary, make entries to the SRD screen in IMPACT.
4. Turn off the flag.

NOTIFICATION FLAG

Trustee indicated: inspectors appointed and not approved. Inspectors' resolution not included

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal or Summary Administration	PM-2	21 calendar days

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

ADMINISTRATOR'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 14)

The trustee/administrator submitted a final *Trustee's statement of receipts and disbursements* (SRD) (Form 13) or *Administrator's statement of receipts and disbursements* (SRD) (Form 14), indicating that the inspectors **did not** approve the SRD on the trustee/administrator screen. The trustee/administrator **did not** include the *Inspectors' resolution* (softcopy).

NOTE Although signatures are not on the SRD in the e-filing system, there will be an inspector field on the SRD for each inspector appointed.

WORK FLOW

1. Check whether the trustee/administrator has submitted the *Inspectors' resolution* electronically or in hardcopy as it may have arrived after the flag was triggered.
2. If the trustee/administrator hasn't, ask him/her to do so and BF to confirm receipt.
3. Make entries to the Trustee Compliance Database (TCD).
4. If necessary, BF the CO-1/CO-2.
5. Turn off the flag.

NOTIFICATION FLAG

Trustee indicated: inspectors appointed and approved. Resolution included

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	21 business days

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

ADMINISTRATOR'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 14)

The trustee/administrator submitted the final *Trustee's statement of receipts and disbursements* (SRD) (Form 13) or *Administrator's statement of receipts and disbursements* (SRD) (Form 14), indicating inspectors' approval on the trustee/administrator screen. The trustee/administrator uploaded the *Inspectors' resolution* (softcopy).

NOTE **Although signatures are not on the SRD in the e-filing system, there will be an inspector field on the SRD for each inspector appointed.**

WORK FLOW

1. Review the *Inspectors' resolution* (softcopy).
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

NOTIFICATION FLAG

Trustee indicated: Inspectors appointed and not approved. Resolution included.

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	21 business days

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

ADMINISTRATOR'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 14)

The trustee/administrator submitted the final *Trustee's statement of receipts and disbursements* (SRD) (Form 13) or *Administrator's statement of receipts and disbursements* (SRD) (Form 14), indicating that the inspectors **did not** approve the SRD on the trustee/administrator screen. The trustee/administrator uploaded the *Inspectors' resolution* (softcopy).

NOTE Although signatures are not on the SRD in the e-filing system, there will be an inspector field on the SRD for each inspector appointed.

WORK FLOW

1. Review the *Inspectors' resolution* (softcopy).
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

NOTIFICATION FLAG

Inspector field contains information. Resolution included

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	21 business days

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

ADMINISTRATOR'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 14)

The trustee/administrator submitted the final *Trustee's statement of receipts and disbursements* (SRD) (Form 13) or *Administrator's statement of receipts and disbursements* (SRD) (Form 14). Although the trustee/administrator did not answer the question on the trustee/administrator screen regarding inspectors, the e-filing system detected inspector fields on the form and the trustee/administrator uploaded the *Inspectors' resolution* (softcopy).

NOTE Although signatures are not on the SRD in the e-filing system, there will be an inspector field on the SRD for each inspector appointed.

WORK FLOW

1. Review the *Inspectors' resolution* (softcopy).
2. If necessary, make entries to the Trustee Compliance Database (TCD).
3. Turn off the flag.

NOTIFICATION FLAG

Submission of Taxed SRD

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Division II Proposal or Summary Administration	CR	2 business days

TAXED STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (SOFTCOPY)

The trustee/administrator or the OSB uploaded a final taxed *Statement of receipts and disbursements* (SRD) (softcopy).

WORK FLOW

1. Review the final taxed *Statement of receipts and disbursements*.
2. If necessary, make changes to IMPACT.
3. If necessary, make entries to the Trustee Compliance Database (TCD).
4. BF the CO-1/CO-2 if the SRD is taxed by the court at a different amount than the comment letter, or proceed as per office procedure.
5. Turn off the flag.

Other

NOTIFICATION FLAG

File changed from paper

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	CR	2 business days

ALL PRESCRIBED FORMS AND SOFTCOPY DOCUMENTS

The trustee submitted a document to an e-file that was previously paper. Because no business rules will run against the document and no data will populate IMPACT, the document must be reviewed and data must be entered manually.

WORK FLOW

1. Verify that the estate is open in IMPACT.

If it is,

i) Review the document, accessing the paper portion of the file as necessary.
ii) Based on the document received, enter any required data in IMPACT, following any related work flow, if applicable.
iii) If necessary, make entries to the Trustee Compliance Database (TCD).
iv) If necessary, BF the PM-2 or CO-1/CO-2.

If it isn't,

i) BF the PM-2.
ii) Ask the trustee why he/she has made an electronic submission to a closed paper file.
iii) If necessary, make entries to the TCD.

2. Turn off the flag.

Other Work Flows

NO FLAG

Language of documents does not match language of debtor

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	2 business days

While looking at an electronic estate, a PM-2 or CR noticed that the language of the debtor on the *Estate Information Summary* (EIS) does not match the text of the initial filing documents (i.e., the style sheets are in one language while the information entered in the text fields is in another language). Because the OSB record must correspond to the signed documents, the e-file must be in the official language of the debtor.

WORK FLOW

1. Ask the trustee/administrator in which language the documents were prepared and signed.

To change the language of the style sheets,

i) Contact the local system administrator, who will ask the HQ system administrator to make the required change.

2. If necessary, make entries to the "memo" field in IMPACT.

NOTE There is no flag in this situation, as it was an OSB employee who detected the error.

NO FLAG

Postal code is incorrect – no flag raised

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	CR or PM-2	On discovery of the error

While looking at an electronic estate, a PM-2 or CR noticed that the trustee/administrator entered an incorrect postal code for the debtor and did not notice that the division office and/or court district chosen by the e-filing system was incorrect. Because the e-filing system cannot determine that a postal code that has been entered is not, in fact, the debtor's postal code, no flag was raised to alert the OSB.

WORK FLOW

1. If the file was submitted to the CORRECT division office,

i) update IMPACT with the correct postal code. The information will be 'messaged' to the e-file.

If the file was submitted to the WRONG division office,

i) Notify the trustee/administrator by telephone that the file is being converted to a paper file and transferred to the correct division office.
ii) Contact the correct division office to advise that the paper file is being transferred to that office.
iii) Print out the documents, including the certificate of appointment (for information purposes only), and fax or send the entire file to the correct division office.
iv) Terminate the IMPACT file. This will automatically terminate the e-file.

Once the file has been received by the CORRECT division office,

i) Enter the initial filing into IMPACT manually.
ii) Print out an amended certificate of appointment with the new estate number.
iii) Forward the amended certificate of appointment to the trustee/administrator with the *Notice – electronic estate file converted to paper – requirement to send future estate documents in paper format* (*see* "Form Letters," p. T.20)

NOTE **The date of bankruptcy is the date that the initial filing was received in the original (incorrect) division office.**

2. If necessary, make entries to the Trustee Compliance Database (TCD).

NOTE **There is no flag in this situation, as it was an OSB employee who detected the error.**

NO FLAG

A hardcopy SRD has been submitted by a trustee who was substituted

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	CR	21 business days or when all outstanding issues related to the SRD are resolved

TRUSTEE'S STATEMENT OF RECEIPTS AND DISBURSEMENTS (SRD) (FORM 13)

A trustee who was substituted submitted a final hardcopy *Trustee's statement of receipts and disbursements* (SRD) (Form 13).

WORK FLOW

1. Digitize (using a scanner or fax/modem) and upload the SRD.
2. BF the PM-2 to review the SRD.
3. Once the SRD has been approved by the PM-2, generate a letter of comment in WordPerfect as per office procedure, upload the letter to the e-filing system, and fax or mail it to the trustee.
4. Turn off the flag.

NOTE Do not make any entry in IMPACT.

NO FLAG

Changing a file from electronic to paper

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	CR	2 business days

The OSB is changing an e-file to a paper file. This may be because:

- The OSB received an application to convert a summary administration to an ordinary administration, or the official receiver decided that the file will be converted from summary to ordinary, as per ss. 49(8) of the BIA.
- A bankrupt has decided to file a Division I proposal (the e-filing system does not currently support Division I proposals).
- A related joint assignment has been changed to a paper file.
- A prescribed form is not available in xml format.
- The trustee will no longer be e-filing documents (this could be because the trustee uploaded initial filings in contravention of his or her e-filing terms of use and is no longer allowed to use the e-filing system).

NOTES Users who attempt to access the e-file will receive a message advising them that the file has been changed to a paper file. They will not be able to upload documents to the e-file.

After the e-file is changed to paper, it still keeps the e-file-based estate number; this means the division office's numbering of paper files will not be consecutive.

WORK FLOW

1. Fax a *Notice – electronic estate file changed to paper – requirement to send future estate documents in paper format* (*see* "Form Letters," p. T.20) to the trustee/administrator.

2. Print the contents of the e-file and open a paper file.

NOTE Documents must be printed one at a time.

3. BF the local system administrator to change the status of the file to "changed to paper" in the e-filing system.

NO FLAG

Prescribed forms submitted as hardcopy documents, not electronically

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	CR and PM-2 or CO-1/CO-2	1 business day

The trustee/administrator submitted a prescribed form for an e-file in hardcopy instead of electronically.

WORK FLOW

CR

1. Fax a *Notice to resubmit* (*see* "Form Letters," p. T.18) to the trustee/administrator.
2. Set a 2 business day BF in the Trustee Compliance Database (TCD) for the PM-2 or CO-1/CO-2.
3. Forward the hardcopies of the prescribed form and *Notice to resubmit* to the PM-2 or CO-1/CO-2.
4. Upload the *Notice to resubmit* to the e-file.

PM-2 or CO-1/CO-2

1. **If the prescribed form is submitted electronically within 2 business days,**
   i) Make any required entries to the TCD.

   If the prescribed form is NOT submitted electronically within 2 business days,
   i) Fax a *Final notice to resubmit* (*see* "Form Letters," p. T.19) to the trustee/administrator.
   ii) Set a 2 business day BF in the TCD.

2. **If the prescribed form is submitted electronically within 2 business days of sending the *Final notice to resubmit*,**
   i) BF the CR to upload the *Final notice to resubmit* to the e-file.
   ii) If necessary, make entries to the TCD.

   If the prescribed form is NOT submitted electronically within 2 business days of sending the *Final notice to resubmit*,
   i) BF the CR to open a paper file.
   ii) If necessary, make entries to the TCD.

▶

NO FLAG

Prescribed forms submitted as hardcopy documents, not electronically *(continued)*

WORK FLOW *(continued)*

CR

1. If the prescribed form has NOT been submitted electronically,

i) Print the contents of the e-file and open a paper file.

NOTE Documents must be printed one at a time.

ii) BF the local system administrator to change the status of the file to "changed to paper" in the e-filing system.

NOTES
- When setting the BF in the TCD, do not count the day the letter is faxed to the trustee in the calculation of the 2 business days.
- The estate number remains the same.
- The key performance indicators (KPIs) are recorded starting from the receipt of the electronic copy or when the e-file is changed to a paper file.

NO FLAG

Non-prescribed forms received as hardcopy, not electronically

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	CR	1 business day

ALL SOFTCOPY DOCUMENTS

The trustee/administrator submitted a non-prescribed form (e.g., a court order) in hardcopy.

WORK FLOW

1. If the form was received by mail, manually date stamp it.

2. **In IMPACT,**

i) Verify that the file is still active in the e-filing system (i.e., that it has not been terminated or changed to a paper file) by checking the status on the estate header.

If the file is not active,

i) Proceed as you would for a paper file.

If the file is active,

i) Digitize (using a scanner or fax/modem) the hardcopy non-prescribed form into pdf format and upload it to the e-file.

ii) Record the transaction number on the hardcopy document.

iii) Bulk file the hardcopy document by the transaction number.

NOTE This work flow does not apply to inquiries and complaints (*see* "Inquiries or complaints received as hardcopy documents, not electronically" work flow, p. Q.8)

NO FLAG

Inquiries or complaints received as hardcopy documents, not electronically

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	CR	1 business day

INQUIRIES (SOFTCOPY)

COMPLAINTS (SOFTCOPY)

The OSB received an inquiry or a complaint related to an e-file as a hardcopy document.

WORK FLOW

1. Determine whether the document is an inquiry or a complaint; if necessary, consult the PM-2 or CO-1/CO-2.
2. Verify that the e-file is still active in the e-filing system (i.e., that it has not been terminated or changed to a paper file) by checking the status on the estate header.

   If the file is not active,

   i) Proceed as you would for a paper file.

   If the file is active,

   i) Digitize (using a scanner or fax/modem) the hardcopy document into pdf format and upload it to the e-file under the category "Estate Administration."
   ii) Record the transaction number on the hardcopy document.
   iii) BF the PM-2 or CO-1/CO-2 as per office procedure and forward the hardcopy document to the PM-2 or CO-1/CO-2.
   iv) Upload any documents (i.e., letters or memos) produced by the PM-2 or CO-1/CO-2 during their review.
3. Bulk file all hardcopy documents related to the complaint or inquiry by their transaction number.

NO FLAG

Softcopy documents

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	CR	1 business day

ALL SOFTCOPY DOCUMENTS

The OSB received a non-prescribed form electronically or scanned a hardcopy document into softcopy format. Not all softcopy documents trigger flags. Softcopy documents that do not trigger flags require an extra step. (*See* "Softcopy documents," p. T.10 for the listing of softcopy documents that trigger flags when uploaded to the e-filing system.)

WORK FLOW

If a flag is not triggered,

i) Depending on the nature of the document received, BF the appropriate person in the division office.

ii) If necessary, make entries to the Trustee Compliance Database (TCD).

If a flag is triggered,

i) Follow the appropriate work flow.

NO FLAG

Notification of trustee substitution – softcopy document

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration	PM-2	Immediately on receipt of softcopy document

COURT ORDER (SOFTCOPY)

MINUTES OF FIRST MEETING OF CREDITORS (SOFTCOPY)

MINUTES OF SUBSEQUENT MEETING OF CREDITORS (SOFTCOPY)

The OSB received a *Court order* (softcopy), *Minutes of first meeting of creditors* (softcopy) or *Minutes of subsequent meeting of creditors* (softcopy) indicating that the trustee for a summary administration has been substituted.

WORK FLOW

1. If the trustee substitution is indicated in the minutes of a meeting of creditors, or has occurred by court order for a small number of estates,

i) In IMPACT, update the trustee screen(s) with the licence number of the "new" trustee. This information will automatically message to the e-filing estate header(s).

ii) In IMPACT, enter the former trustee's name and licence number into a memo. In the case of more than one estate, create the memo for each estate.

If the trustee substitution has occurred by court order for a large number of estates,

i) BF the local system administrator to update IMPACT with the name of the new trustee.

NO FLAG

Softcopy document uploaded to the wrong estate

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	CR	1 business day

ALL SOFTCOPY DOCUMENTS

The trustee/administrator or the OSB uploaded a softcopy document to the wrong estate. This error may have been found by the trustee/administrator or by the OSB.

NOTE Softcopy documents cannot be transferred from one estate to another, but must be removed from the incorrect estate and resubmitted to the correct one.

WORK FLOW

1. BF the local system administrator to remove the document from the wrong estate.
2. **If the trustee/administrator uploaded the document to the wrong estate,**
   i) BF the PM-2 to ask the trustee/administrator to resubmit the document to the correct estate.

   If the OSB uploaded the document to the wrong estate,

   i) Find the document, either in the bulk file or in the shared "S" drive, and upload it to the correct estate.
3. If necessary, make entries to the Trustee Compliance Database (TCD).

NOTE Once a document has been removed from an estate it can no longer be seen or printed.

NO FLAG

Terminating an electronic file

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	PM-2	Immediately after an error is discovered or as circumstances warrant

The OSB has decided to terminate an e-file because:

- a trustee/administrator submitted an initial filing to the e-filing system twice, resulting in a duplicate file,
- a summary administration was filed following a Division I proposal for which the trustee is undischarged,
- a summary administration was filed and there is an outstanding petition, or
- a trustee/administrator submitted an estate using an incorrect postal code and therefore submitted it to the wrong division office (see "Trustee/administrator submitted an initial filing using an incorrect postal code – estate mapped to the wrong division office" work flow, p. Q.17).

NOTE **The termination of an e-file CANNOT be reversed, and uploads to the terminated e-file will be blocked. However, even though the status on the e-filing estate header will indicate the file has been terminated, the terminated file will still be in the e-filing system and the documents can still be viewed and printed by the OSB.**

▶

NO FLAG

Terminating an electronic file *(continued)*

WORK FLOW

1. Review the reason why the file is to be terminated.
2. Inform the trustee/administrator that the e-file is being terminated ensuring the trustee/administrator understands that:
   i) in the case of a duplicate file, the trustee/administrator must specify which estate number must be used;
   ii) in the case of summary filed following a Division I proposal, the file will be changed to paper;
   iii) in the case of a summary with an outstanding petition, that the filing will not be accepted because of the petition; or
   iv) in the case of a file submitted to the wrong division office, the file will be changed to paper and forwarded to the correct division office.
3. BF the local system administrator to delete the file in IMPACT by entering "XXXXX, DELETE".

NOTE Both e-files in a **joint filing** will be terminated by entering "XXXXX, DELETE" in the primary estate in IMPACT.

4. If necessary, make entries to the Trustee Compliance Database (TCD).

NO FLAG

Trustee/administrator has requested a copy of the certificate of appointment or certificate of filing

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	CR or PM-2	2 business days

CERTIFICATE OF APPOINTMENT

CERTIFICATE OF FILING

A trustee/administrator asked for a copy of the certificate of appointment or certificate of filing.

WORK FLOW – CERTIFICATE WITHOUT AMENDMENTS

1. Open the certificate in the e-file.
2. Click the "envelope" icon on the tool bar.
3. Scroll down the drop-down menu and click "send page." This will bring up Microsoft Outlook, with the certificate already attached to the e-mail message.
4. Insert the trustee/administrator's email address on the address line in Microsoft Outlook.
5. Insert <estate name> <estate number> in the subject line.
6. Type "Certificate of appointment (or filing) as requested on <date>" in the body of the email.
7. Click "send."

WORK FLOW – CERTIFICATE WITH AMENDMENTS

1. In IMPACT, make the necessary amendments.
2. In IMPACT, click on the **send to e-file** button in the document request screen to add the amended certificate to the estate index and email a copy to the trustee/administrator.

NO FLAG

Storing scanned and uploaded documents

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	CR	5 calendar days to upload or BF, or per the work flow instructions depending on the document

The OSB has received a hardcopy document that must be scanned and uploaded to the estate index of an e-file. The images created are also stored in folders created on the shared "S" drive.

NOTES **If you haven't done so already, create two new folders in the "S" drive.**

- **a folder for scanned documents, and**
- **a folder for uploaded documents.**

This work flow indicates how to scan and upload documents to an e-file. The procedures to use the fax/modem are not included.

WORK FLOW

1. Click the "imaging" icon on the desktop of the scanning computer to scan the document as an image.
2. Name the image file "<estate number><two-letter identifier>" (e.g., 37-700124cp.tif) and save the image file in the scanned documents folder.
3. Click the "upload" button in the e-filing system and enter the estate number.
4. Click "continue."
5. From the drop-down menu, choose the document title.

   If the document title is not on the list,

   i) Select "other," enter a document title and select the document category from the drop-down menu.

▶

NO FLAG

Storing scanned and uploaded documents *(continued)*

WORK FLOW *(continued)*

6. Click "browse" to locate the file in the scanned documents folder.
7. Select the scanned image file and click "upload."
8. Record the transaction number on the hardcopy document.
9. Rename the image file by adding the transaction number to the name (e.g., 37-700124cp.tif would become 37-700124cp<transaction number>.tif).
10. Transfer the image file to the uploaded documents folder (the scanned documents folder should now be empty).
11. Bulk file the hardcopy document by transaction number.

NO FLAG

Trustee/administrator submitted an initial filing using an incorrect postal code – estate mapped to wrong division office

ADMINISTRATION(S)	RESPONSIBILITY	TIME FRAME
Summary Administration or Division II Proposal	CR and PM-2	2 business days

A trustee/administrator submitted an initial filing using an incorrect postal code; therefore, the file was submitted to the wrong division office. As the file must be forwarded to the correct division office, it should be changed to a paper file.

NOTES The trustee/administrator will be able to switch this paper file to e-filing, if he/she so desires.

Even though the status on the e-filing estate header will indicate the file has been terminated, the terminated file will still be in the e-filing system; the documents can still be viewed and printed by the OSB. Uploads to the terminated e-file will be blocked.

WORK FLOW – "WRONG" DIVISION OFFICE

CR

1. Inform the correct division office that you will be forwarding the file and explain why.
2. BF the PM-2 as soon as the mistake is discovered.

PM-2

3. Inform the trustee/administrator that:
   - the estate will be moved to the correct division office,
   - although the date of bankruptcy/filing will not change, the estate number will, and
   - any additional documents will have to be sent to the correct division office in paper format, unless the trustee/administrator decides to switch the file from paper to e-filing.

   If the trustee/administrator disagrees,

   i) BF the CO-1/CO-2.

▶

NO FLAG

Trustee/administrator submitted an initial filing using an incorrect postal code – estate mapped to wrong division office *(continued)*

WORK FLOW – "WRONG" DIVISION OFFICE *(continued)*

CR

4. Print out all the documents from the e-file and fax them to the correct division office.
5. BF the local system administrator to delete the file in IMPACT by entering "XXXXX, DELETE."

WORK FLOW – "CORRECT" DIVISION OFFICE

CR

1. On receipt of the documents, review the file and input to IMPACT as per office procedure. The date of bankruptcy/filing will be the date the estate was received in the wrong division office.
2. Fax the certificate to the trustee/administrator with a cover letter highlighting the change in estate number.
3. If necessary, make entries to the Trustee Compliance Database (TCD).

How the System Works

1. What is Populated from the E-Filing System to IMPACT

Impact screen	IMPACT field name populated	Notes
Estate profiles	• division office number • estate number • debtor type (*see* a) • estate type code (*see* b) • admin type (*see* c) • filing type code (*see* d) • estate name • date of birth • filing date • previous bankruptcy • prior receivership indicator • debtor language (*see* e) • building • street • city • province • postal code • phone number • tax refund assigned • district code (*see* f) • division number (*see* g) • liability type code (*see* h) • court number (*see* i) • asset value • liability value • referral branch (*see* j)	a) debtor type: 01 for individual b) estate type codes: • 21 for voluntary assignment • 22 for voluntary assignment following a Division II proposal not fully performed • 31 for a Division II proposal c) admin type: 01 for summary administration, 04 for Division II proposal d) filing type code: • single summary • single summary–previous bankruptcy • primary joint summary • primary joint summary–previous bankruptcy • Division II single consumer proposal • primary joint Division II consumer proposal • related joint Division II consumer proposal e) language: if "other" is selected, the system will check the language of trustee interface and the certificate language will be based on that check f) district code (based on postal code look-up) g) division number (court division based on postal code look-up) h) liability type code (consumer, consumer corollary, business, business corollary) i) court number (the number will be the estate number in all provinces) j) i.e. Bankruptcy Assistance Program
Estate trustee	• individual trustee/administrator licence number • corporate trustee licence number • licence type • official receiver	

Impact screen	IMPACT field name populated	Notes
Estate trustee (continued)	• administrative official receiver (*see* a) • intervening official receiver (*see* b) • trustee conflict • indemnity (*see* c)	a) administrative official receiver: populates the appropriate name from the IMPACT table b) intervening official receiver: populates as e-file/dépôt électronique c) indemnity: populates as 0
Form 65	• date signed • number of persons in household • amount agreed to pay monthly • amount agreed to pay monthly to repurchase assets • repurchase assets details • amount required to pay monthly • any applicable comments	
Alias	• trade name (*see* a) • previous legal names/aliases (*see* b) • "also known as" (*see* c)	a) trade name from Estate Information Summary (EIS) if the business type is a sole proprietorship b) previous legal names or aliases from Form 22 c) "also known as" from Form 79
Creditors meeting	• meeting type to default to convened • meeting date • building title • creditors meeting chairperson defaults to trustee • street and suite/room • city • province	
Bankrupt's discharge/Debtor performance	• type of discharge • hearing date if applicable • discharged/failed date if applicable • date received if applicable • BF date if applicable	

Impact screen	IMPACT field name populated	Notes
SRD	• estate number • SRD date • SRD type (final or amended) • date of receipt • total receipts • total disbursements • dividends • levy • cost adjustment, if applicable • UA, if indicated • counselling fee • admin fee (same as realization fee) • realization fee • filing fee • court fee, if indicated • prep fee (Form 14) • distribution fee (Form 14) • lump sum fee (Form 13) • total cost (same as disbursements) • admin expenses • available distribution • taxes • date LOC issued (*see* a)	a) date letter of comment (LOC) is issued by the e-filing system. Since no automatic letters of comment are currently issued on Division II proposals, this field will be blank for Form 14.
Review SRD	• letter of comment type • date issued • interv. official receiver (*see* a)	a) will populate as "e-file/dépôt électronique"
Trustee discharge/ Estate closing	• trustee discharge date (*see* a) • estate closing date (*see* b)	a) trustee discharge date: the date Form 16 was signed b) estate closing date: the date the form was accepted by the e-filing system
Memo	• When the debtor has a foreign address, a memo is created containing the foreign address and the trustee's address will populate IMPACT	

▶

Impact screen	IMPACT field name populated	Notes
Memo	• Should there be multiple administration types within an estate, and more than one trustee of record (for example a Division II proposal by a bankrupt, and the Division II proposal is filed by a different trustee), a memo is created in IMPACT with the former trustee name and licence number as well as the date the proceeding changed	
Cross reference	• All prior/current proceedings are cross-referenced with the incoming submission	

2. Messages between IMPACT and the E-Filing System

In most cases, updates to IMPACT are automatically sent ("messaged") to the e-filing system. There are three exceptions:

- IMPACT will not message information about previously paper estates.
- IMPACT will not message information about a bankrupt who has died.
- IMPACT will not message updates to aliases (the HQ system administrator will have to be contacted to update the e-filing header, if required).

2.1 MESSAGES FROM IMPACT TO THE E-FILING SYSTEM

Information updated in IMPACT	Message to the e-filing system
Conflict of interest information is changed	Update the trustee information screen accessed via the e-filing header.
Corollary debt information is updated	Update the "corollary" field on the e-filing header.
Corollary estate information is updated	Update the "corollary" field on the e-filing header; a hyperlink is created between the estates if they are in electronic format.
Cross reference	Update the estate header.
Date of initial bankruptcy event is changed	Update the e-filing estate header.
Date of proceeding is changed	Change the "filing date" in the e-filing estate header.
Debtor's address and/or phone number are changed	Update the home phone number, building, street, city, postal code and province (if applicable). Note: If the debtor moves after the filing, we do not update the address field in IMPACT. A memo is created in IMPACT to reflect the address change.
Debtor's name is changed	Change the estate name on the e-filing header and in the tree.
Estate type codes are changed	Update the e-filing review estates screen.
Indemnity amount is changed	Update the trustee/administrator detail information screen accessed via the e-filing header.
Prior insolvency is updated	Update the e-filing header.
Statement of receipts and disbursements is flagged	Update to ensure that an automatic letter of comment will not be issued. Note: If a memo code 40 is entered in IMPACT, it will set a flag in IMPACT that tells the e-filing system not to issue an automatic letter of comment.

▶

Information updated in IMPACT	Message to the e-filing system
Substituted trustee (one estate or entire inventory)	Update the trustee information. Note: All estates in a joint filing are also updated. Note: All attempts by the former trustee to upload to the e-file(s) are blocked.
Superintendent investigation is flagged	Update to ensure that an automatic letter of comment will not be issued.
Terminate/delete an estate	Update the estate header status line to "terminated." Note: Any future electronic submissions are rejected by the e-filing system.
Trustee discharge is entered in IMPACT	Update the estate header to "closed."

2.2 MESSAGE FROM THE E-FILING SYSTEM TO IMPACT

Estate change from paper to electronic	Update the corresponding status of the estate, enabling the link to the e-file and the display of "previously paper" in the estate header.

3. E-mail Messages from the E-Filing System to the Trustee/Administrator

NOTES If the language of the estate is different than the language of the trustee/administrator, the e-filing system will send the message in both languages.

OSB users cannot add text comments to messages before they are sent to the trustee/administrator.

3.1 CERTIFICATE OF APPOINTMENT (FORM 19, FORM 20.1 AND FORM 55)

```
From:          <division office's email address>
Reply To:      <division office's email address>
To:            <the trustee's email address>,<the trustee's optional second email address
               (if applicable)>
Subject:       "Certificate of Appointment-<Estate ID #>

Body text:

To:            <Trustee First Name><Trustee Last Name>

Filing for

Estate Name:  <Estate Names>
Estate Number:<Estate Numbers> has now been accepted .
Please find attached the Certificate of Appointment. <link to PDF attachment>
Please do not reply to this message. Replies will not be acknowledged.

Attachment:   <Form <form number>
<E-mail signature of division office (includes the address, telephone number and fax number)>
```

3.2 CERTIFICATE OF FILING (DIVISION II PROPOSALS)

```
From:          <division office's email address>
Reply to:      <division office's email address>
To:            <the administrator's email address>, <the administrator's optional second
               email address> if one exists
Subject:       "Certificate of Filing - <Estate Number #>

Body Text:

To:            <administrator First Name> <Administrator Last Name>
               Certificate of filing
Estate Name:   <Estate Name(s)>
Estate number:<Estate Number(s)>

Please find attached the Certificate of Filing
Please do not reply to this message. Replies will not be acknowledged

Attachment:    Certificate of filing

<E-mail signature of division office (includes the address, telephone number and fax number)>
```

3.3 POSITIVE LETTER OF COMMENT

```
From:          <the Division Office's email address>
Reply to:      <the Division Office's email address>
To:            <the trustee/proposal administrator's email address>,<the trustee/proposal
               administrator's optional second email address (if applicable)>
Subject:       Letter of Comment-<Estate No>

Body Text:

To:            <Trustee/administrator First Name><Trustee/administrator Last Name>

We have completed our review of your Statement of Receipts and Disbursements for:
Estate Name:  <Estate Name>
Estate Number:<Estate Number>
Please find attached the Letter of Comment
<link to PDF attachment>
Please do not reply to this message. Replies will not be acknowledged.

Attachment: Positive Letter of Comment

<E-mail signature of division office (includes the address, telephone number and fax number)>
```

3.4 MANUAL REVIEW REJECT INITIAL FILING[1]

```
From:          <the Division Office's email address>
Reply to:      <the Division Office's email address>
To:            <the trustee/proposal administrator's email address>,<the trustee/proposal
               administrator's optional second email address (if applicable)>
Subject:       "Rejected Initial Filing-<Temporary ID#>

Body Text:

To:            <Trustee/administrator First Name><Trustee/administrator Last Name>

Your submission for
Debtor Name:<Debtor Name> has been rejected.
For more information, please contact <Division office email address>
Please do not reply to this message. Replies will not be acknowledged.

<E-mail signature of division office (includes the address, telephone number and fax number)>
```

1 If the rejected initial filing is a Division II proposal by a bankrupt, the actual estate number will be in the subject line (i.e., no temporary ID number will be issued).

4. Prior Proceedings

4.1 PRIOR/CURRENT PROCEEDINGS

Estate numbers for prior proceedings are provided by the trustee/administrator on the EIS. The e-filing system will look at the proceedings that are "connected" or, if no "connected" files are found, at the most current date of proceeding to run business rules. The e-filing system is unable to process rules if the trustee/administrator has not provided the correct estate numbers for the previous proceedings on the EIS.

4.2 VERIFICATION OF PREVIOUS/CURRENT PROCEEDINGS

The e-filing system will check the prior proceedings as indicated by the trustee/administrator, and display the estate name and the estate date of birth for the trustee/administrator to confirm the information. The system checks the date of birth from the replicated data in IMPACT to ensure the estates are for the same debtor. If the birth dates in the "former" and "new" estates do not match, the e-filing system will either place the file into manual review (if the prior proceeding is not discharged) or set a flag (if the prior proceeding is discharged).

4.3 CONNECTED ESTATES

An estate is considered connected when a new proceeding comes into the e-filing system and there is a prior proceeding for the same individual that is not discharged. The system will check that:

1) the bankrupt discharge status on the prior proceeding is blank; and
2) the prior proceeding is a bankruptcy that is not absolutely discharged, including a suspended discharge with a date in the future i.e., the discharge has not yet come into effect; or
3) in the case of a Division II proposal, the bankrupt discharge on the prior proceeding is a code 11.

4.4 CROSS REFERENCE

- All estates identified as previous/current proceedings (on the EIS) will be cross-referenced automatically.
- A hyperlink to the estate will be created if the estate is in an electronic format; if not, the estate number will be indicated in the header.
- All joint and corollary files will also be cross-referenced.

NOTE **The only cross reference not performed by the e-filing system is the cross reference between husband and wife files if they are not joint or not indicated as corollary.**

4.5 PROCESSING RULES RELATED TO PRIOR PROCEEDINGS

The chart below is a summary of the processing rules the e-filing system will perform automatically based on previous proceeding information disclosed by the trustee/administrator on the EIS.

Processing rules for:

NOTE Please refer to the IMPACT manual for the code listings.

Processing for a summary administration following a Division II proposal

	Current submission admin type	Old proceeding admin type[1]	Old proceeding debtor/trustee discharge status	Rule
1	Summary Admin	Div II—estate type 31, 32 or 65	Debtor discharge code 10 (fully performed)	**ACCEPT** Summary process: • Accept with a new estate number as a summary estate type code 21. • Date of filing, DIBE and date of proceeding will be the date of filing the summary administration. • Cross-reference old proceeding. Div II process: • Cross-reference current proceeding.
2	Summary Admin	Div II—estate type 31 or 32	Connected[2]—debtor discharge code is blank and the Div II is before court approval	**MANUAL REVIEW** • OSB to determine if a Form 52 "is pending" (*see* "Verify previous Div II status with trustee" workflow, p. D.10). **IF OSB ACCEPTS** Summary process: • Accept with a new estate number as a summary code 22. The date of filing will be the date of the filing the summary administration. The date of proceeding and DIBE will be backdated to the filing of the Div II. • Div II is updated to a code 33. • Cross-reference old proceeding. Div II process: • Cross-reference current proceeding.

---

1. The old proceeding type is first determined by the administration type code in IMPACT and then the estate type code.

   The e-filing system will identify the "old" proceeding from the EIS. If there are multiple prior proceedings, the system will look only at the estate number with the most recent date of proceeding.

   Once the estate number is identified as the "old" proceeding, the e-filing system will look at the IMPACT replication to determine the administration type code (summary, ordinary, etc.) and then the estate type code and, in some cases, also refer to the bankrupt or trustee discharge code.

   The system will reject a proposal that is withdrawn after court approval if the administrator uses the "withdraw" field referred to above.

2. An estate is considered connected when a new proceeding comes into the e-filing system and there is already a proceeding for the same individual that has not been discharged. The exact items checked by the e-filing system are:
   - bankrupt discharge status on the prior proceeding is blank;
   - the prior proceeding is a bankruptcy that is not absolutely discharged, including a suspended discharge with a date in the future; or
   - in the case of a Division II proposal, the bankrupt discharge status on the prior proceeding is a code 11.

	Current submission admin type	Old proceeding admin type[1]	Old proceeding debtor/trustee discharge status	Rule
2.5	Summary Admin	Div II—estate type 31 or 32	Connected[2]—debtor discharge code is blank and the Div II has court approval	**ACCEPT** Summary process: • Accept with a new estate number as a summary code 22. • Date of filing, DIBE and date of proceeding will be the date of filing the summary administration. • Cross-reference old proceeding. Div II process: • Div II is updated to a code 83 and bankrupt discharge updated to code 11 with discharge date of the assignment. • Cross-reference current proceeding.
3	Summary Admin	Div II—estate type 33, 34 or 35	Connected[2]—any debtor discharge code	**ACCEPT** Summary process: • Accept with a new estate number as a summary estate type code 22. • Date of filing, DIBE and date of proceeding will be the date of filing the summary administration. • Cross-reference old proceeding. Div II process: • Cross-reference current proceeding.
4	Summary Admin	Div II—estate type 83, 84 or 85	Connected[2]—debtor discharge code 11 (failure)	**ACCEPT** Summary process: • Accept with a new estate number as a summary estate type code 22. • Date of filing, DIBE and date of proceeding will be the date of filing the summary administration. • Cross-reference old proceeding. Div II process: • Cross-reference current proceeding.
5	Summary Admin	Div II—estate type 65	Connected[2]—debtor discharge code and date are blank	**REJECT** • Reject the submission of the summary since you can't file a bankruptcy if you have an open bankruptcy. • If the proposal has court approval, a voluntary assignment must be filed by paper.

Processing for a summary administration after a previous bankruptcy

	Current submission admin type	Old proceeding admin type[1]	Old proceeding debtor/trustee discharge status	Rule
6	Summary Admin	Summary or ordinary—estate type 11, 12, 13, 21, 22, 23, 24, 51, 52, 53, 54, 71, 72, 73, 74, 75, 76, 82, 86	Debtor discharge code 02, 03, 09, 13, 18, 19 (fully discharged) Note: If the debtor has a suspended discharge (code 03), the discharge date must be the same as or earlier than the current date in order to accept.	**ACCEPT** Summary process: • Accept with a new estate number as a summary code 21. • Date of filing, DIBE and date of proceeding will be the date of filing the summary administration. • Cross-reference old proceeding. Previous summary process: • Cross-reference current proceeding. Note: Previous bankruptcy is populated from the EIS question to the IMPACT profile.
7	Summary Admin	Summary or ordinary—estate type 11, 12, 13, 21, 22, 23, 24, 51, 52, 53, 54, 71, 72, 73, 74, 75, 76, 82, 86	Connected[2]—debtor discharge code is blank or conditional discharge (undischarged), so any code other than 02, 03[3], 09, 13, 18, 19	**REJECT** • Reject the submission of the summary since you can't file a bankruptcy if you have an open bankruptcy.
8	Summary Admin	Summary or ordinary—estate type 81	Connected[2]—debtor discharge code is blank	**ACCEPT** Summary process: • Accept with a new estate number as a summary estate type code 21. • Date of filing, DIBE and date of proceeding will be the date of filing the summary administration. • Cross-reference old proceeding. Previous summary process: • Cross-reference current proceeding. Note: The debtor in this new estate is not considered a previous bankrupt.

3 If the debtor has a suspended discharge (discharge code 03) and the discharge date is after the current date, the debtor will be considered undischarged.

Processing for a summary administration following a Division I proposal

	Current submission admin type	Old proceeding admin type[1]	Old proceeding debtor/trustee discharge status	Rule
9	Summary Admin	Div I—estate type 41, 42 or 44	n/a	**REJECT** • Reject since the e-filing system doesn't currently handle Div I processing.[4] • Must be submitted as paper.
10	Summary Admin	Div I—estate type 43, 45 or 46	Connected[2]—trustee not discharged	**REJECT** • Reject since the e-filing system doesn't currently handle Div I processing.[4] • Must be submitted as paper.
10.5	Summary Admin	Div I—estate type 61, 62, 63 or 64	Connected[2]—trustee not discharged	**REJECT** • Reject since the e-filing system doesn't currently handle Div I processing.[4]
11	Summary Admin	Div I—estate type 43, 45, 46, 61, 62, 63 or 64	Trustee is discharged and debtor discharge code 10 (fully performed)	**ACCEPT** Summary process: • Accept with a new estate number as a summary estate type code 21. • Date of filing, DIBE and date of proceeding will be the date of filing the summary administration. • Cross-reference old proceeding. Div I process: • Cross-reference current proceeding.
12	Summary Admin	Div I—estate type 47	Connected[2]—trustee not discharged	**REJECT** • Reject since the e-filing system doesn't currently handle Div I processing.[4] • Must be submitted as paper.

▶

4 As phase 2 of the e-filing system will handle only summary administrations (voluntary assignments only) and Division II proposals, the following types of submissions to the system will always be **rejected**:

- petition for receiving order (softcopy)
- receiving order (Form 91; xml or softcopy)
- ordinary voluntary assignment (where the EIS indicates ordinary)
- Division I proposal (where the EIS indicates Division I)
- receivership
- interim receiver

	Current submission admin type	Old proceeding admin type[1]	Old proceeding debtor/trustee discharge status	Rule
13	Summary Admin	Div I—estate type 47	Trustee is discharged	**ACCEPT** Summary process: • Accept with a new estate number as a summary estate type code 21. • Date of filing, DIBE and date of proceeding will be the date of filing the summary administration. • Cross-reference old proceeding. Div I process: • Cross-reference current proceeding.
14	Summary Admin	Div I—estate type 43, 45, 46, 61, 62, 63 or 64	Debtor discharge code 11 (failure)	**SHOULD NOT OCCUR** • OSB indicated a failure discharge code would never be seen on these estate types. • If there was a failure, the estate type would be changed to 47. (*see* lines 10, 10.5 and 11)
15	Summary Admin	Div I—estate type 87	Connected[2]—trustee not discharged	**REJECT** • Reject since the e-filing system doesn't currently handle Div I processing.[4] • Must be submitted as paper.
15.5	Summary Admin	Div I—estate type 87	Trustee is discharged	**ACCEPT** Summary process: • Accept with a new estate number as a summary code 21. • Date of filing, DIBE and date of proceeding will be the date of filing the administration. • Cross-reference old proceeding. • Raise a notification flag (*see* "Previous Div I annulled by the court, no bank-ruptcy" work flow, p. K.28). Div I process: • Cross-reference current proceeding.
16	Summary Admin	Summary or ordinary—estate type 82		(*see* lines 6 and 7)

Processing for a summary administration following a receivership or interim receiver

	Current submission admin type	Old proceeding admin type[1]	Old proceeding debtor/trustee discharge status	Rule
17	Summary Admin	Receivership—estate type 91 or 92	Receiver is not discharged (trustee discharge date is blank)	**ACCEPT** Summary process: • Accept with a new estate number as a summary code 21. • Date of filing, DIBE and date of proceeding will be the date of filing the administration. • Cross-reference old proceeding. • Raise a notification flag (*see* "Previous proceeding is an active receivership" work flow, p. K.20). Receivership process: • Cross-reference current proceeding.
17.1	Summary Admin	Receivership—estate type 91 or 92	Receiver is discharged (trustee discharge date is populated)	**ACCEPT** Summary process: • Accept with a new estate number as a summary estate type code 21. • Date of filing, DIBE and date of proceeding will be the date of filing the summary administration. • Cross-reference old proceeding. • Raise a notification flag (*see* "Previous proceeding was a receivership" work flow, p. K.20). Receivership process: • Cross-reference current proceeding.
17.5	Summary Admin	Interim receivers—estate type 93	n/a	**ACCEPT** Summary process: • Accept with a new estate number as a summary code 21. • Date of filing, DIBE and date of proceeding will be the date of filing the administration. • Cross-reference old proceeding. • Raise a notification flag (*see* "Previous proceeding indicates interim receiver" work flow, p. K.19).

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	Current submission admin type	Old proceeding admin type[1]	Old proceeding debtor/trustee discharge status	Rule
17.5 (continued)	Summary Admin—Voluntary Assignment	Petition for receiving order—estate type 01	n/a	Interim receiver process[5]: • Cross-reference current proceeding.

Processing for a summary administration following a petition

	Current submission admin type	Old proceeding admin type[1]	Old proceeding debtor/trustee discharge status	Rule
18	Summary Admin—Voluntary Assignment	Petition for receiving order—estate type 01	n/a	**MANUAL REVIEW** • OSB to determine if the petition is still pending (*see* "Verify status of previous petition" work flow, p. D.12). • If it is not still pending and the receiving order has been discharged, OSB will update the petition code accordingly in IMPACT. **IF OSB ACCEPTS** Summary process: • Accept with a new estate number as a summary code 21. • Date of filing, DIBE and date of proceeding will be the date of filing the summary administration. • Cross-reference old proceeding. Petition processing: • Cross-reference current proceeding. • No automatic updating of estate type codes.
19	Summary Admin	Petition for receiving order—estate type 02	n/a	**ACCEPT** Summary process: • Accept with a new estate number as a summary code 21. • Date of filing, DIBE and date of proceeding will be the date of filing the administration. • Cross-reference old proceeding. Petition processing: • Cross-reference current proceeding.

[5] If there is an interim receiver it may or may not be in the name search database. All receivers should be registered in IMPACT. In some situations the courts have appointed an interim receiver and state there is no requirement to file with the Office of the Superintendent of Bankruptcy. Rules in the above table defined for a previous proceeding that is an interim receivership will run in the event that the trustee registered the interim receiver file and has supplied the estate number as a previous proceeding.

	Current submission admin type	Old proceeding admin type[1]	Old proceeding debtor/trustee discharge status	Rule
20	Summary Admin	Petition for receiving order—estate type 04	n/a	**MANUAL REVIEW** • OSB to determine if the petition is still inactive (*see* "Verify inactive status of petition" work flow, p. D.14). **IF OSB ACCEPTS** Summary process: • Accept with a new estate number as a summary code 21. • Date of filing, DIBE and date of proceeding will be the date of filing the summary administration. • Cross-reference old proceeding. Petition processing: • Cross-reference current proceeding. • No automatic updating of estate type codes.
21	Summary Admin	Petition for receiving order—estate type 03	n/a	**REJECT** • If there is a petition of code 03 and no other prior proceeding estate numbers provided.
21.1	Summary Admin	Petition for receiving order—estate type 03	n/a	**MANUAL REVIEW** • OSB to determine if the receiving order file is missing from the previous proceeding information provided or the petition is coded incorrectly (*see* "Verify status of receiving order" work flow, p. D.16). **IF OSB ACCEPTS** Summary process: • Accept with a new estate number as a summary code 21. • Date of filing, DIBE and date of proceeding will be the date of filing the summary administration. • Cross-reference old proceeding. Petition processing: • Cross-reference current proceeding. • No automatic updating of estate type codes.

Processing for a Division II proposal following an active ordinary administration

	Current submission admin type	Old proceeding admin type[1]	Old proceeding debtor/trustee discharge status	Rule
22	Div II	Ordinary—voluntary assignment or receiving order (individual)—admin type 02	Connected[2]—debtor discharge code is blank or conditional discharge, so any code other than 02, 03, 09, 13, 18, 19	**REJECT** • Reject since the e-filing system doesn't currently handle ordinary.[4] • Must be submitted as paper.
23	Div II	Ordinary—voluntary assignment or receiving order (individual)—admin type 02	n/a	**REJECT** • Reject since a Div II can only be for an individual and the e-filing system doesn't currently handle ordinary.[4] • Must be submitted as paper.

Processing for a Division II proposal following a previous bankruptcy

	Current submission admin type	Old proceeding admin type[1]	Old proceeding debtor/trustee discharge status	Rule
24	Div II	Summary or ordinary—estate type 11, 12, 13, 21, 22, 23, 24, 51, 52, 53, 54, 71, 72, 73, 74, 75, 76, 82, 86	Debtor discharge code 02, 03, 09, 13, 18, 19 (fully discharged) Note: If the debtor has a suspended discharge (code 03), the discharge date must be the same as or earlier than the current date in order to accept.	**ACCEPT** Div II process: • Accept with a new estate number as a Div II code 31. • Date of filing, DIBE and date of proceeding will be the date of filing the Div II. • Cross-reference old proceeding. Summary process: • Cross-reference current proceeding. Note: Previous bankruptcy is populated from the EIS question to the IMPACT profile.

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	Current submission admin type	Old proceeding admin type[1]	Old proceeding debtor/trustee discharge status	Rule
25	Div II	Summary or ordinary—annulled—estate type 81	Connected[2]—debtor discharge code is blank	**ACCEPT** Div II process: • Accept with a new estate number as a Div II code 31. • Date of filing, DIBE and date of proceeding will be the date of filing the Div II. • Cross-reference old proceeding. Note: The debtor in this new estate is not considered a previous bankrupt. Summary process: • Cross-reference current proceeding.

Processing for a Division II proposal following a summary administration

	Current submission admin type	Old proceeding admin type[1]	Old proceeding debtor/trustee discharge status	Rule
26	Div II	Summary—estate type 11, 13, 21, 23, 51, 52, 53, 54, 71, 72, 73, 74, 82	Connected[2]—debtor discharge code is blank or conditional discharge, so any code other than 02, 03[3], 09, 13, 18, 19	**REJECT** • Reject if the date of proceeding was prior to September 30, 1997.
26.1	Div II	Summary—estate type 11, 13, 21, 23, 51, 52, 53, 54, 71, 72, 73, 74, 82	Connected[2]—debtor discharge code is blank or conditional discharge, so any code other than 02, 03[3], 09, 13, 18, 19	**REJECT** • Reject if the administrator filing the current submission is not a licensed trustee.

▶

	Current submission admin type	Old proceeding admin type[1]	Old proceeding debtor/trustee discharge status	Rule

26.2	Div II	Summary—estate type 11, 13, 21, 23, 51, 52, 53, 54, 71, 72, 73, 74, 82	Connected[2]—debtor discharge code is blank or conditional discharge, so any code other than 02, 03[3], 09, 13, 18, 19	**ACCEPT**
				Summary process:
				• Accept as an update to the existing summary estate with a change in admin type to become a Div II with a code 65.
				• Raise a notification flag if the trustee administering the proposal is different from the trustee on record that administered the bankruptcy (*see* "Div II by a bankrupt, different trustee" workflow, p. K.18).
				Note: The user will be asked to indicate if inspectors were appointed during the bankruptcy (Yes/No).
				• If no, the submission will be accepted.
				• If yes, the user will be asked to confirm that the inspectors have approved the proposal (Yes/No).
				  ◦ If there is approval, the user will be required to upload the approval document before continuing.
				  ◦ If there is no approval, the submission will not be allowed to continue.

26.5	Div II	Summary—estate type 12, 22, or 24	Connected[2]—debtor discharge code is blank or conditional discharge, so any code other than 02, 03[3], 09, 13, 18, 19	**REJECT** • Reject because IMPACT can't handle the estate update code. • Must be submitted as paper.
27	Div II	Summary—estate type 75, 76, or 86	Connected[2]—debtor discharge code is blank or conditional discharge, so any code other than 02, 03[3], 09, 13, 18, 19	**REJECT** • Reject because IMPACT can't handle the estate update code. • Must be submitted as paper.

Processing for Division II proposal following a Division II proposal

	Current submission admin type	Old proceeding admin type[1]	Old proceeding debtor/trustee discharge status	Rule
28	Div II	Div II—any estate type	Debtor discharge code 10 (fully performed)	**ACCEPT** Div II process: • Accept with a new estate number as a Div II code 31. • Date of filing, DIBE and date of proceeding will be the date of filing the Div II. • Cross-reference old proceeding. Previous Div II process: • Cross-reference current proceeding.

29	Div II	Div II—estate type 83, 84 or 85	Connected[2]—debtor discharge code 11 (failure)	The e-filing system will ask the trustee if the debts have been paid off (Yes/No).
				• If yes:
				  • Accept with a new estate number as Div II with code 31.
				  • Date of filing, DIBE and date of proceeding will be the date of filing the Div II.
				  • Cross-reference old proceeding.
				  • Raise an action flag to verify claim and check debts (*see* "Verify no previous debt exists on current Div II" work flow, p. E.14).
				• If no:
				  • Ask "Do you have court order?" (Yes/No)
				  • If yes:
				    • Accept with a new estate number as Div II with code 31.
				    • Date of filing, DIBE and date of proceeding will be the date of filing the Div II.
				    • Cross-reference old proceeding.
				    • Raise an action flag to look for court order (*see* "Court order required for Div II filing, previous failed Div II" work flow, p. E.17).
				  • If no:
				    • Reject.

▶

	Current submission admin type	Old proceeding admin type[1]	Old proceeding debtor/trustee discharge status	Rule
30	Div II	Div II—estate type 33, 34 or 35	Connected[2]—any debtor discharge code	**ACCEPT** Div II process: • Accept with a new estate number as Div II with code 31. • Date of filing, DIBE and date of proceeding will be the date of filing the Div II. • Cross-reference old proceeding. Previous Div II process: • Cross-reference current proceeding.
31	Div II	Div II—estate type 31, 32 or 65	Connected[2]—debtor discharge code is blank	**REJECT** • Reject and inform the trustee to submit as paper. This situation would be very rare and the OSB does not want it to come into the e-filing system.

Processing for a Division II proposal following a Division I proposal

	Current submission admin type	Old proceeding admin type[1]	Old proceeding debtor/trustee discharge status	Rule
32	Div II	Div I—notice of intention and cash flow—not yet a proposal—estate type 41, 42 or 44	n/a	**REJECT** • Reject since you can't file a proposal if you have an open proposal and, while these codes aren't a proposal in effect yet, they will turn into a Div I proposal.[4]
33	Div II	Div I (actual proposal in effect)—estate type 43, 45, 46, 47, 61, 62, 63 or 64	Connected[2]—trustee/administrator has not yet been discharged.	**REJECT** • Reject since the e-filing system doesn't currently handle Div I processing.[4]

	Current submission admin type	Old proceeding admin type[1]	Old proceeding debtor/trustee discharge status	Rule
34	Div II	Div I (proposal in effect)—estate type 43, 45, 46, 61, 62, 63 or 64	Trustee is discharged	**ACCEPT** Div II process: • Accept with a new estate number as Div II with code 31. • Date of filing, DIBE and date of proceeding will be the date of filing the Div II. • Cross-reference old proceeding. Div I process: • Cross-reference current proceeding.
35	Div II	Div I (in default)—estate type 47	Connected[2]—trustee not discharged	**REJECT** • Reject since the e-filing system doesn't currently handle Div I processing.[4]
36	Div II	Div I—estate type 47	Trustee is discharged	**ACCEPT** Div II process: • Accept with a new estate number as Div II with code 31. • Date of filing, DIBE and date of proceeding will be the date of filing the Div II. • Cross-reference old proceeding. Div I process: • Cross-reference current proceeding.
37	Div II	Div I—estate type 43, 45, 46, 61, 62, 63 or 64	Debtor discharge code 11 (failure)	**SHOULD NOT OCCUR** • OSB indicated a failure discharge code would never be seen on these estate types. • If there was a failure, the estate type would be changed to 47.
38	Div II	Div I—estate type 87	Connected[2]—Trustee is not discharged	**REJECT** • Reject since the e-filing system doesn't currently handle Div I processing.[4]

▶

	Current submission admin type	Old proceeding admin type[1]	Old proceeding debtor/trustee discharge status	Rule
38.5	Div II	Div I—estate type 87	Trustee is discharged	**ACCEPT** Div II process: • Accept with a new estate number as Div II with code 31. • Date of filing, DIBE and date of proceeding will be the date of filing the Div II. • Cross-reference old proceeding. • Raise a notification flag (*see* "Previous Div I annulled by the court, no bankruptcy" work flow, p. K.28). Div I process: • Cross-reference current proceeding.
39	Div II	Summary or ordinary—estate type 82		(*see* lines 24 and 26).

Processing for a Division II proposal following a receivership

	Current submission admin type	Old proceeding admin type[1]	Old proceeding debtor/trustee discharge status	Rule
40	Div II	Receivership—estate type 91 or 92	Trustee discharge is blank	**ACCEPT** Div II process: • Accept with a new estate number as Div II with code 31. • Date of filing, DIBE and date of proceeding will be the date of filing the Div II. • Cross-reference old proceeding. • Raise a notification flag (*see* "Previous proceeding is an active receivership" work flow, p. K.20). Receivership process: • Cross-reference current proceeding.

	Current submission admin type	Old proceeding admin type[1]	Old proceeding debtor/trustee discharge status	Rule
40.1	Div II	Receivership—estate type 91 or 92	Trustee is discharged	**ACCEPT** Div II process: • Accept with a new estate number as Div II with code 31. • Date of filing, DIBE and date of proceeding will be the date of filing the Div II. • Cross-reference old proceeding. • Raise a notification flag (*see* "Previous proceeding is an active receivership" work flow, p. K.20). Receivership process: • Cross-reference current proceeding.
40.5	Div II	Interim receiver—estate type 93	n/a	**ACCEPT** Div II process: • Accept with a new estate number as Div II with code 31. • Date of filing, DIBE and date of proceeding will be the date of filing the Div II. • Cross-reference old proceeding. • Raise a notification flag (*see* "Previous proceeding indicated interim receiver" work flow, p. K.19). Interim receiver process[5]: • Cross-reference current proceeding.

Processing for a Division II proposal following a petition

	Current submission admin type	Old proceeding admin type[1]	Old proceeding debtor/trustee discharge status	Rule
41	Div II	Petition for receiving order—estate type 01	n/a	**MANUAL REVIEW** • OSB to determine if the petition is still pending (*see* "Verify status of previous petition" work flow, p. D.12). **IF OSB ACCEPTS** Summary process: • Accept with a new estate number as a Div II code 31. • Date of filing, DIBE and date of proceeding will be the date of filing the Div II. • Cross-reference old proceeding. Petition process: • Cross-reference current proceeding. • No automatic updating of estate type codes.
42	Div II	Petition for receiving order—estate type 02	n/a	**ACCEPT** Div II process: • Accept with a new estate number as Div II with code 31. • Date of filing, DIBE and date of proceeding will be the date of filing the Div II. • Cross-reference old proceeding. Petition process: • Cross-reference current proceeding.

▶

	Current submission admin type	Old proceeding admin type[1]	Old proceeding debtor/trustee discharge status	Rule
43	Div II	Petition for receiving order—estate type 04	n/a	**MANUAL REVIEW** • OSB to determine if the petition is still inactive (*see* "Verify inactive status of petition" work flow, p. D.14). **IF OSB ACCEPTS** Summary process: • Accept with a new estate number as a Div II code 31. • Date of filing, DIBE and date of proceeding will be the date of filing the Div II. • Cross-reference old proceeding. Petition process: • Cross-reference current proceeding. • No automatic updating of estate type codes.
44	Div II	Petition for receiving order—estate type 03	n/a	**REJECT** • If there is a petition of code 03 and no other prior proceeding estate numbers provided.
44.1	Div II	Petition for receiving order—estate type 03	n/a	**MANUAL REVIEW** • OSB to determine if the receiving order file is missing from the previous proceeding information provided or the petition is coded incorrectly (*see* "Verify status of receiving order" work flow, p. D.16). **IF OSB ACCEPTS** Summary process: • Accept with a new estate number as a summary code 31. • Date of filing, DIBE and date of proceeding will be the date of filing the Div II. • Cross-reference old proceedings. Note: If the receiving order is not discharged, the file would be rejected. OSB would ask the trustee/administrator to resend the estate and provide the receiving order estate number. Thus the e-filing system will be able to properly code the Div II proposal i.e., update the existing estate to code 65. Petition process: • Cross-reference current proceeding. • No automatic updating of estate type codes.

5. Send to E-File Function in IMPACT

The following documents can be sent from IMPACT to the e-filing system using the **send to e-file function** on the document review screen:

- Certificate of filing
- Certificate of appointment
- Amended certificate of filing
- Amended certificate of appointment
- Positive letter of comment

The e-filing system will send an e-mail message and attach the appropriate document (*see* "E-mail messages from the e-filing system to the trustee/administrator," p. R.7).

6. Manual Review

At the time of initial filing, estates will be placed under manual review for the following reasons:

- to ensure proper processing of files, particularly when a previous proceeding is indicated
- to ensure all necessary documents required to accept the estate are received
- to allow for rejection of a file if the filing documents do not meet criteria as per the BIA
- to ensure that the estate is filed in the proper division office (e.g., when trustees/administrators have overwritten certain information or if the postal code doesn't match the division offices indicated)

When a file is placed under manual review, a temporary ID number is assigned to the file by the e-filing system. This way, the trustee/administrator may still submit documents against the file before it is either rejected or accepted by the official receiver (only an official receiver may accept or reject the file).

The official receiver accepts or rejects the file by first clicking the manual review tab. Once a file is accepted, the e-filing system assigns it a permanent estate number, the temporary number disappears, IMPACT is populated with the data from the initial filing documents and an administration (action) flag is raised, either *Generate Certificate of appointment* or *Generate certificate of filing*. From then on, the trustee submits documents against the permanent estate number.

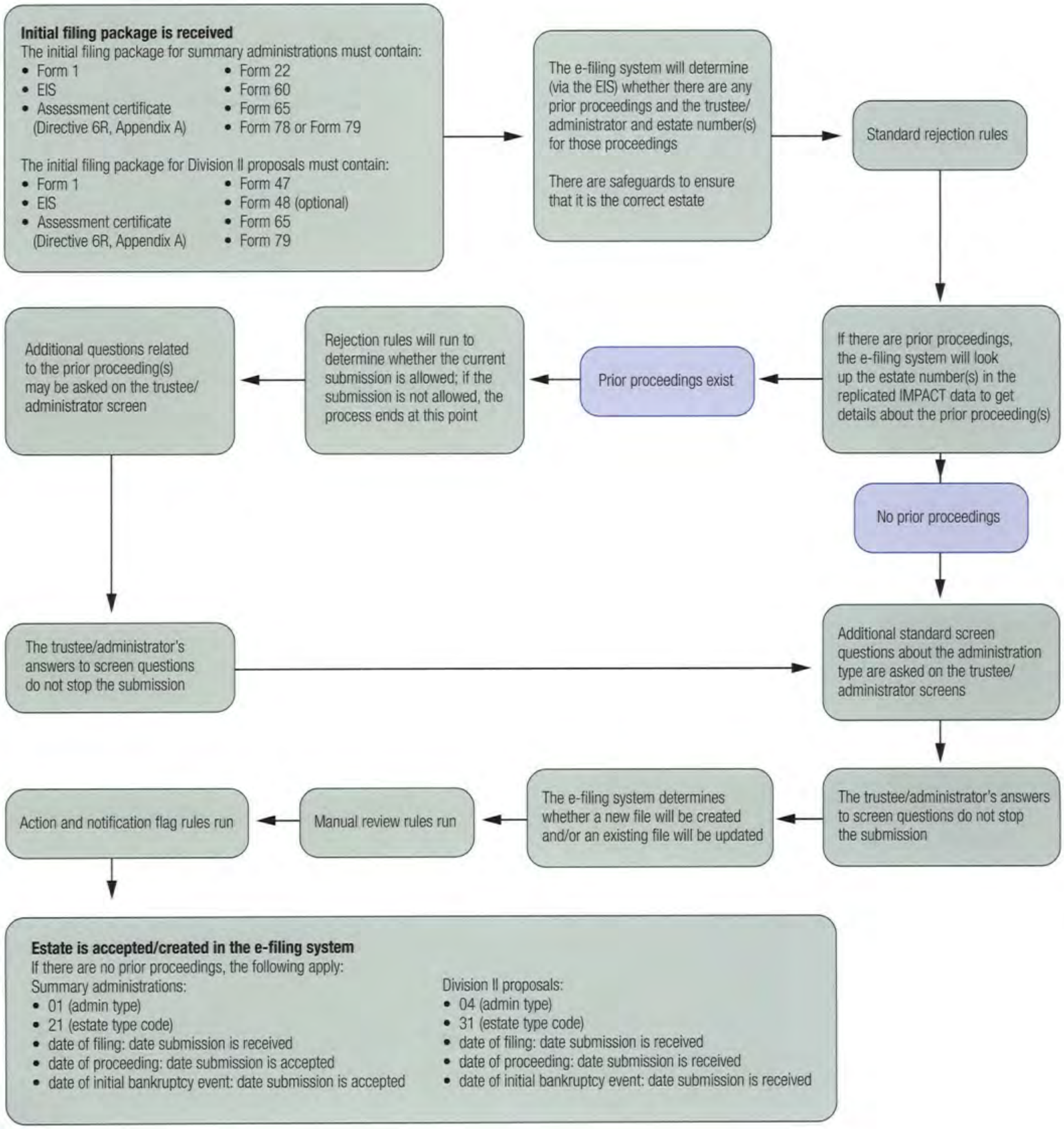
To generate the certificate of appointment or filing when the file has been accepted in the e-filing system, the PM-2 clicks the **send to e-file** button on the document review screen in IMPACT. IMPACT then "sends" the certificate to the e-filing system (it appears in the estate index). The e-filing system in turn emails the certificate to the trustee/administrator (*see* "E-mail messages from the e-filing system to the trustee/administrator," p. R.7). Note that "Official Receiver" will appear on all certificates generated by the e-filing system. However, should the creditors' meeting information be updated or a bond be set, the certificate will not include the official receiver's name or signature.

If the file is rejected, the entire file disappears from the e-filing system. For this reason, the work flows related to manual review include instructions to make an entry to the Trustee Compliance Database (TCD) prior to rejecting a file, if necessary (*see* "E-mail messages from the e-filing system to the trustee/administrator," p. R.7).

The file will remain in the manual review folder until all manual review flags are turned off and the file has been accepted or rejected.

7. Process Flowcharts

INITIAL FILING OVERVIEW



ANNULMENTS OF BANKRUPTCIES

The trustee or the OSB has uploaded a *Court order annulling bankruptcy* (softcopy)

→ Action flag is raised

→ The OSB enters estate type code 81 and the court date under "date of proceeding" in IMPACT; no information in the "bankrupt discharge" field

→ IMPACT messages updated information to the e-filing system

→ Estate type code in the e-filing system is now 81 ("Bankruptcy Annulled - Court Annulment")

→ The e-filing system appends the court order to the estate index under the document category "Estate Administration"

WHAT HAPPENS AFTER A BANKRUPTCY IS ANNULLED (ESTATE TYPE CODE 81)

- Any summary administration form can still be submitted to the estate.
- All standard rules for the forms will run.
- If the submission is not an SRD (Form 13) or *Certificate of compliance and deemed discharge of trustee* (Form 16), a notification flag will be raised on the submission indicating that the form has been submitted to an annulled estate, and no data propagation will occur.
- An SRD (Form 13) will run all standard rules and data propagation. If no flag is raised on the SRD, a generic action flag will be set so that no automatic letter of comment is sent. The SRD will not be rejected if the bankrupt discharge status code is blank.
- *A Certificate of compliance and deemed discharge of trustee* (Form 16) will run all standard rules and data propagation.
- The e-filing estate header will show the current administration = Summary, with the Status = Open. The estate type code "Bankruptcy Annulled - Court Annulment" will appear in the estate index and on the "review flags" screen.

AUTOMATIC CERTIFICATES

The e-filing system generates a certificate of appointment or certificate of filing

The e-filing system emails the certificate to the trustee/administrator

The certificate is added to the estate index

MANUAL/AMENDED CERTIFICATES

IMPACT generates a certificate of appointment or certificate of filing

The OSB user sends the certificate from IMPACT to the e-filing system (the word "amended" will appear on amended certificates)

The e-filing system emails the certificate to the trustee/administrator

The certificate is added to the estate index

SUBSEQUENT FORM 47 (AMENDED PROPOSAL) SUBMITTED BY ADMINISTRATOR

Subsequent Form 47 (softcopy or xml) is submitted by the administrator

The administrator must select from the following choices:

This is a correction:
(1) the terms of the proposal have not changed
(2) the terms of the proposal have been altered; the original proposal has not yet been sent to the creditors

This is an amendment to the terms of the proposal:
(3) these amended terms were accepted at a creditor's meeting
(4) these amended terms have not yet been accepted by the creditors

An EIS indicating the amount of the proposal is required (the answers to the previous questions are used for SRD rules)

(4) Amendment: not yet accepted by creditors

The meeting date is blank; submission will not continue

The meeting date is indicated

- This is an amended proposal
- Form 47 is accepted and flagged in estate index
- Estate code will populate IMPACT for non-bankrupt
  - Division II by non-bankrupt becomes code 32
  - Division II by bankrupt remains code 65

If the creditors' meeting date on the EIS is between 10 and 21 days from the date of submission:
- An amended certificate is automatically sent
- The date populates IMPACT

If the creditors' meeting date on the EIS is less than 10 days or more than 21 days from the date of submission:
- No automatic certificate is sent
- The date does not populate IMPACT
- The e-filing system raises a flag for the OSB to review the meeting date and time
- The e-filing system raises a flag for the OSB to issue a manual certificate once the meeting date and time are reviewed/confirmed

(3) Amendment: accepted at creditors' meeting

- This is an amended proposal
- Form 47 is accepted and flagged in estate index
- Estate code will populate IMPACT for non-bankrupt
  - Division II by non-bankrupt becomes code 32
  - Division II by bankrupt remains code 65
- No certificate is sent

(1) Correction: terms not changed
(2) Correction: original proposal not yet sent to creditors

- This is NOT considered an amended proposal
- Form 47 is accepted and flagged in the estate index
- No automatic certificate is sent
- Nothing populates IMPACT
- Division II by non-bankrupt remains code 31
- Division II by bankrupt remains code 65

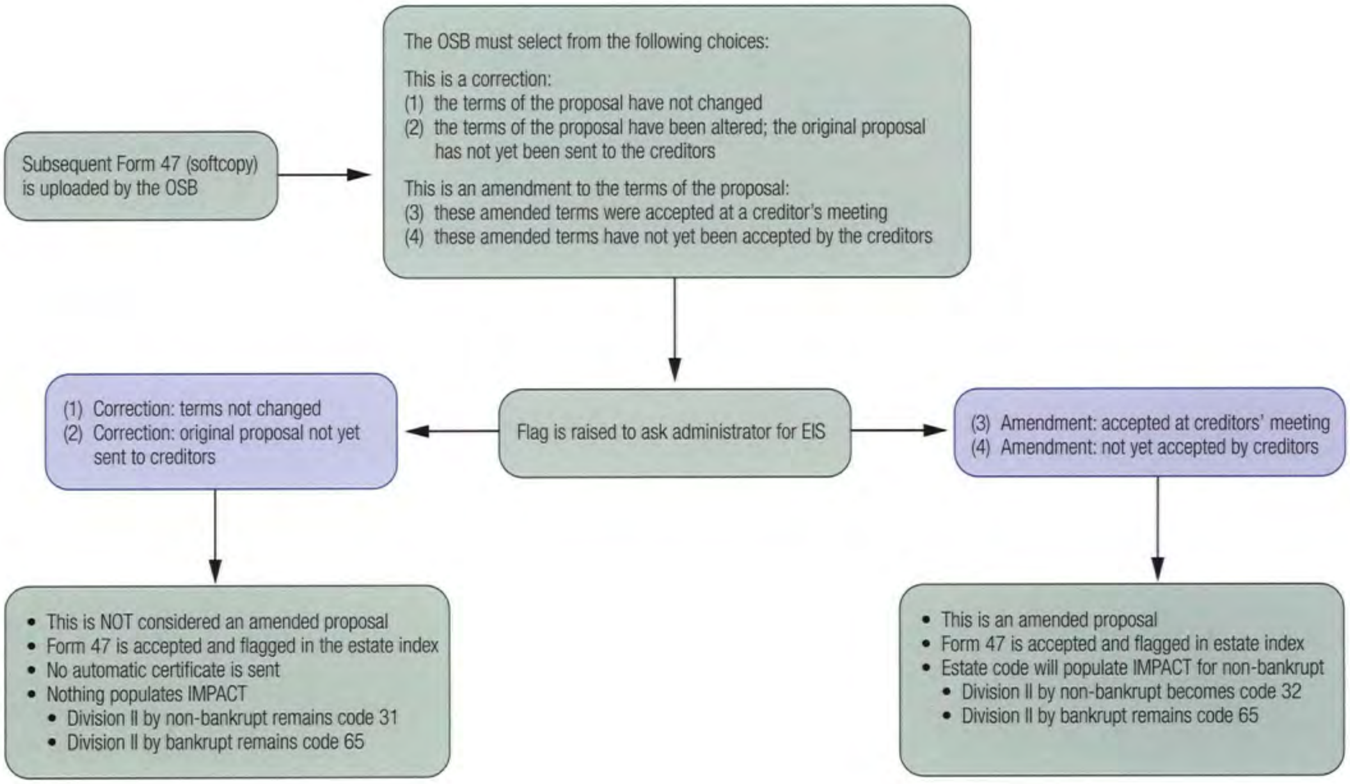
WHAT HAPPENS AFTER AN AMENDED PROPOSAL IS SUBMITTED:

An administration flag will be raised 10 days after initial filing if Form 48 has not been received. (This rule applies for all proposals submitted.)

- If Form 48 is already on file when an amended Form 47 is received, no additional flags will be raised for a new Form 48 to be submitted.
- All other processing follows the normal flow.

Note: A Form 47 that is being included as a co-filed document (submitted with a Form 49 or Form 51) is never treated as a subsequent submission

SUBSEQUENT FORM 47 (AMENDED PROPOSAL) UPLOADED BY THE OSB



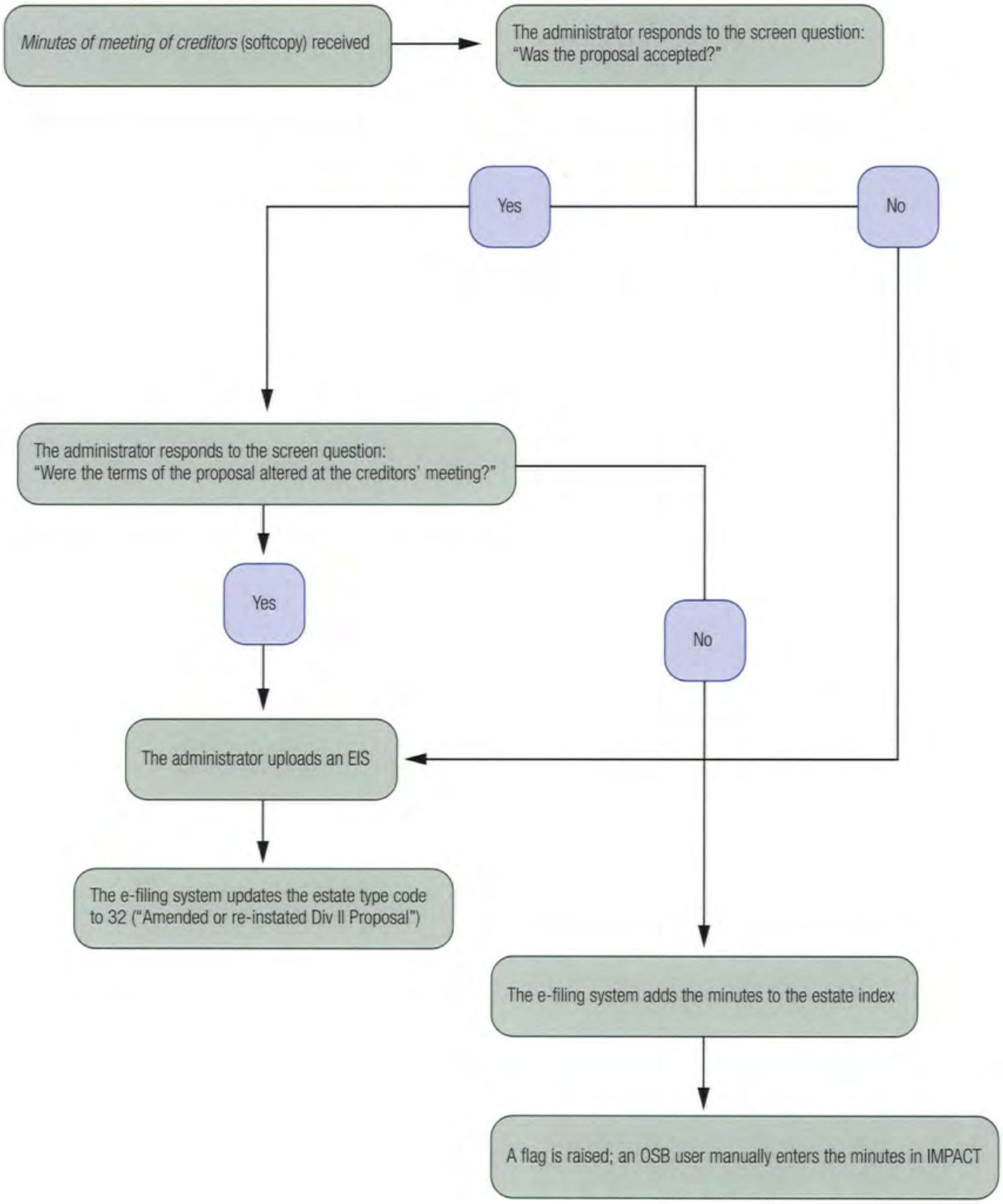
MEETINGS OF CREDITORS FOR DIVISION II PROPOSALS

FORM 50 OR EIS (IF RECEIVED WITH AN AMENDED PROPOSAL)

The following fields populate IMPACT:

- meeting type
- meeting date
- building
- street
- city
- province
- chairperson (default value is "administrator")

MINUTES OF MEETING OF CREDITORS (SOFTCOPY)



DEBTOR PERFORMANCE PROPOSAL STATUS: DIVISION II PROPOSALS

Full performance Form 57 is received → Run return and flag rules →

What populates the bankrupt discharge table
- discharge type: 10
- discharge date: performed date on Form 57

Note: The bankrupt discharge table will not be populated if:
- the form is a *subsequent* Form 57;
- the discharge type or discharge date is not blank; or
- any of forms 51.1, 52, 53, 53.1, 54, 54.1 and 56 are in the estate index.

Deemed annulled Form 56 is received → Run return and flag rules →

What populates the bankrupt discharge table
- discharge type: 11
- discharge date: annulment date on Form 56
- estate type code: if bankrupt, 85; if non-bankrupt, 83
- estate date: current date

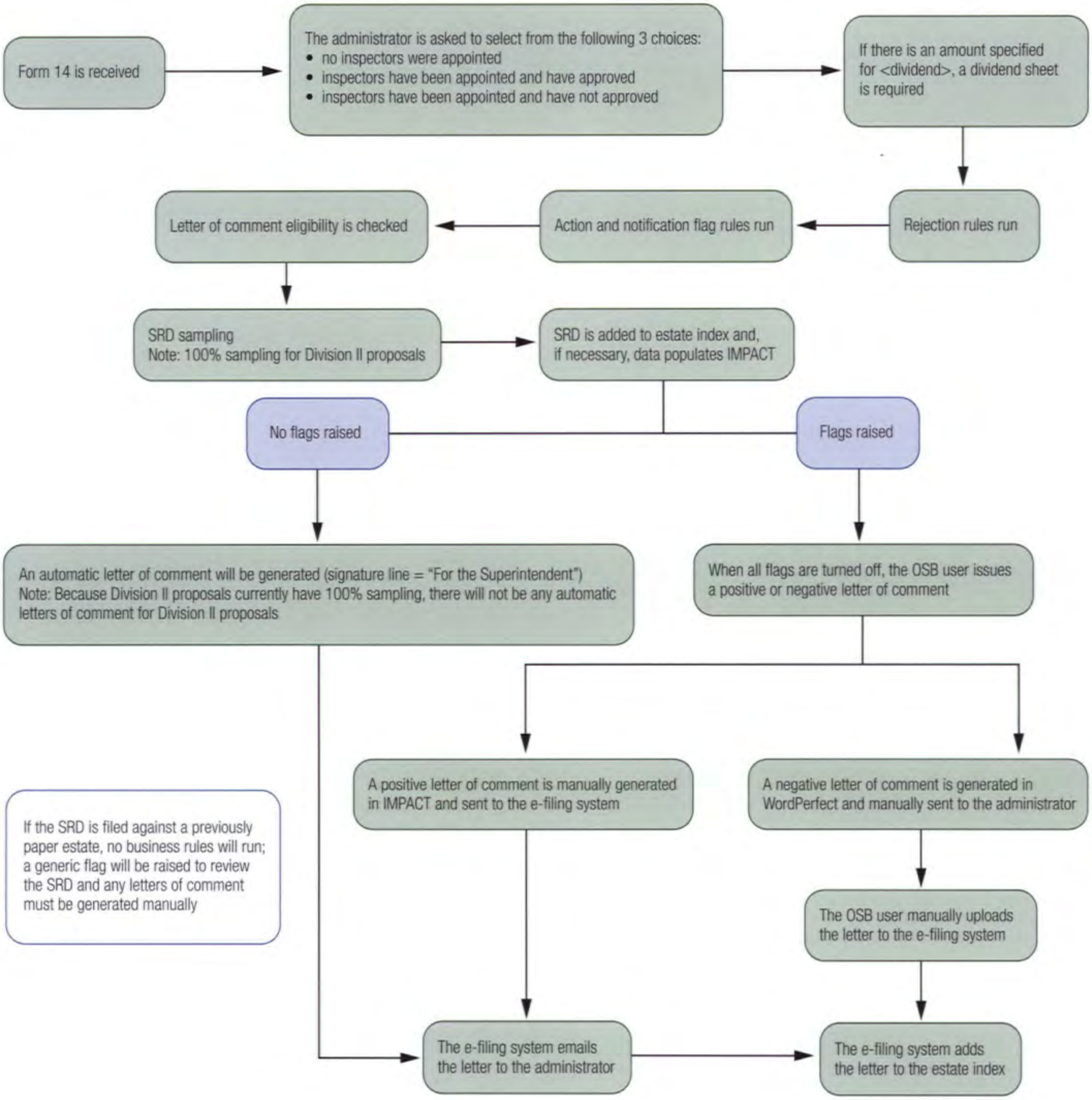
Notes:
1) The bankrupt discharge table will not be populated if the form is a *subsequent* Form 56.
2) Form 56 will be rejected if any of forms 52, 53, 53.1, 54 and 54.1 are in the estate index.

Court annulled Form 53 is received → Run return and flag rules →

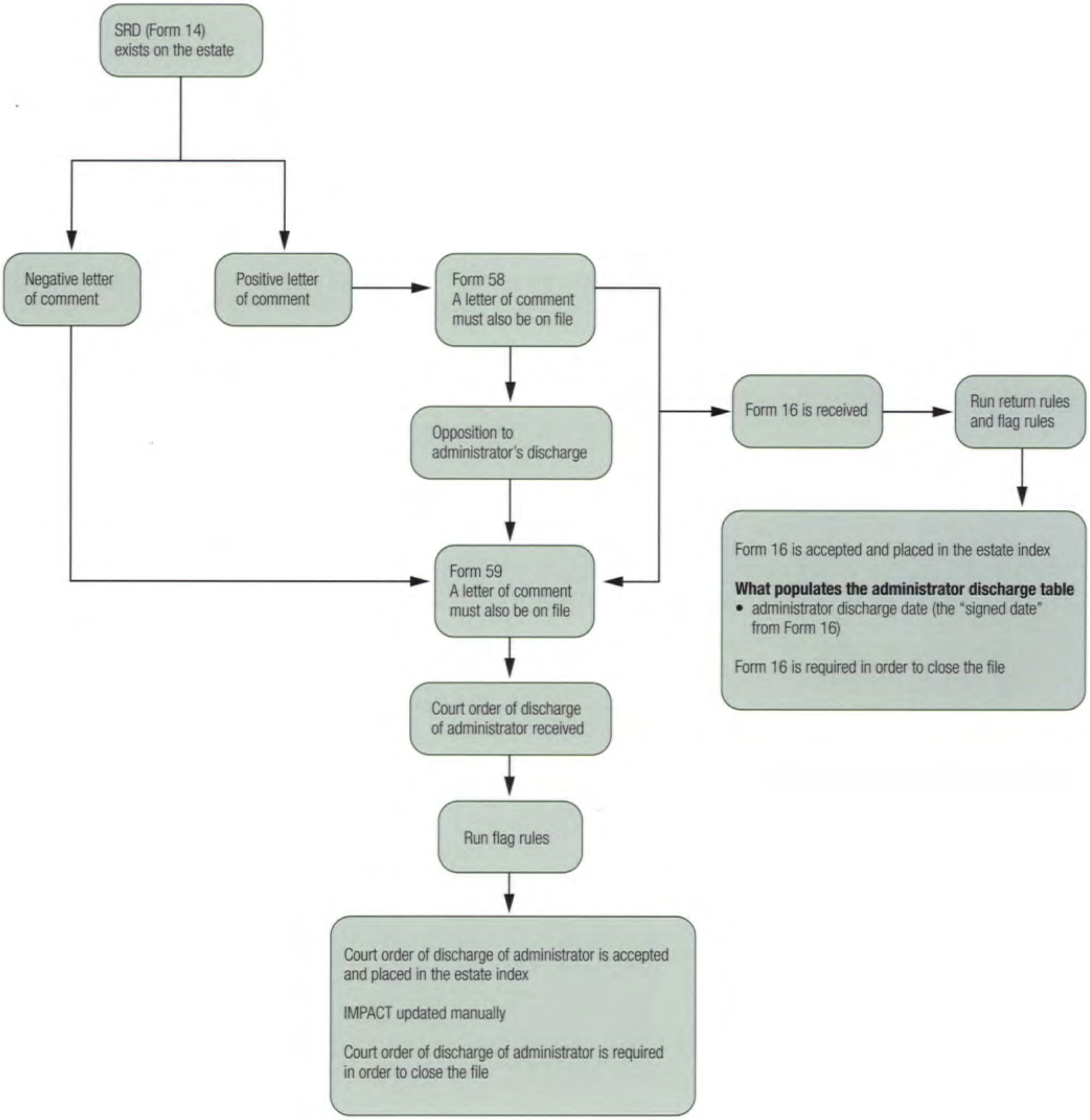
What populates the bankrupt discharge table
- discharge type: 11
- discharge date: order date on Form 53
- estate type code: 84
- estate type date: current date

Notes:
1) A flag will be raised for every Form 53.
2) The bankrupt discharge table will not be populated if the form is a *subsequent* Form 53 (a notification flag will be raised to review data propagation).
3) If Form 53.1 is received before Form 53, a flag will be raised for the OSB to do updates (Form 53.1 is a softcopy document).
4) The bankrupt discharge table will be populated/overwritten if Form 53.1 is received before Form 53.
5) For a court annulment of a Division II proposal by a bankrupt, Form 54 and Form 54.1 must be submitted. The bankrupt discharge table will not be populated because the bankrupt will be put back into bankruptcy.

SRD (FORM 14) FOR DIVISION II PROPOSALS



ADMINISTRATOR DISCHARGE ON DIVISION II PROPOSAL



What to do When…

1. Certified True Copies vs. Certified Copies

Only copies of original documents may be certified as true copies. Consequently, the official receiver will be able to certify as true only the following:

- copies of the *Certificate of appointment* or *Certificate of filing* (the OSB generates these documents; when certifying a *Certificate of appointment* or *Certificate of filing* as true, the official receiver does not have to sign on the signature line of the certificate), and
- copies of the *Assignment* and *Statement of affairs*, but only if the original document was provided to the official receiver (originals and copies must be compared to ensure data integrity and accuracy).

NOTE **Copies of faxes will NOT be certified by the official receiver as being true copies. A new "certified copy" stamp has been issued to each division office for use where a true copy is not required. The new stamp may be used with copies of documents received by the division office either by fax or electronically.**

2. What to Do When the E-filing System or IMPACT is not Available

We do not advise trustees/proposal administrators of every maintenance or shutdown of the system (as often they may take very little time and not even be noticed by users). DASs will be advised when trustees/administrators are alerted of a planned outage during regular business hours. When an upload is unsuccessful due to system availability, trustees/administrators are told to try again a few minutes later or to contact the Help Desk.

If you can't access the system, contact the Help Desk.

How to contact the Help Desk

Trustees/administrators	OSB
Tel.: 1-877-227-3672 email: **itservices.efiling@allstream.com**	Tel.: (613) 288-5233 email: **itservices.efiling@allstream.com**

Source and type of problem		Action to be taken (*see* section)
E-filing server	Planned maintenance	2.1
	Unscheduled shutdown	2.2
Trustee/administrator e-filing application	Planned maintenance	2.1
	Unscheduled shutdown	2.2
OSB e-filing application	Planned maintenance	2.1
	Unscheduled shutdown	2.2
Strategis	Planned maintenance	2.3
	Unscheduled shutdown	2.4
Intranet	Planned maintenance	2.5
	Unscheduled shutdown	2.5
IMPACT	Planned maintenance	2.6
	Unscheduled shutdown	2.6
Power outage or unplanned disruption of service		2.7

2.1 PLANNED MAINTENANCE TO THE E-FILING SERVER/E-FILING APPLICATIONS:

A message will be posted on the "What's New" page on the OSB Web site. The OSB will contact Allstream and advise that they proceed to link the e-filing Web site with the "What's New" message with a direction to the trustee/administrator to click on the link for important information concerning the outage. The message will contain the date(s) and reason(s) for the shutdown, and will include the number of the Help Desk should the user wish to make enquiries. An email message regarding the outage will also be forwarded to appropriate OSB users.

2.2 UNSCHEDULED SHUTDOWN OF THE E-FILING SERVER/E-FILING APPLICATIONS:

Neither the OSB nor trustees/administrators will be able to access their respective e-filing Web pages. Report the shutdown to the Help Desk at (613) 288-5233 or **itservices.efiling@allstream.com**.

2.3 PLANNED SHUTDOWN/MAINTENANCE OF STRATEGIS:

Will be publicized ahead of time on the Strategis home page. Access to the OSB e-filing system is not affected. OSB employees will be advised of the planned shutdown via an ICINFO e-mail message. Trustees/administrators will not be able to access their e-filing Web page. The OSB will contact Allstream and advise that they proceed to link the e-filing Web site with the "What's New" message with a direction to the trustee/administrator to click on the link for important information concerning the outage. The message will contain the date(s) and reason(s) for the shutdown, and will include the number of the Help Desk should the user wish to make enquiries.

2.4 UNSCHEDULED SHUTDOWN OF STRATEGIS:

Trustees/administrators will not be able to access their e-filing Web page, and will at first not be able to determine whether the situation is due to the failure of Strategis or the failure of the e-filing system. Trustees/administrators can report the situation to the Help Desk.

2.5 PLANNED OR UNSCHEDULED SHUTDOWN OF THE INTRANET:

OSB users will not be able to access their e-filing Web page. Trustees/administrators will likely still be able to file. OSB users will be advised of the shutdown via e-mail if possible.

2.6 PLANNED MAINTENANCE OR UNSCHEDULED SHUTDOWN OF IMPACT:

The e-filing system will not populate IMPACT with any new data when IMPACT is down. Trustees/administrators will, however, still be able to upload to the e-filing system, business rules will run and certificates of appointment, certificates of filing and letters of comment will be issued. When IMPACT is back up, the uploaded documents will populate IMPACT in the order in which they were received by the e-filing server. Should you discover problems with IMPACT, please contact Robert Morin at (613) 941-9049.

2.7 POWER OUTAGE OR UNPLANNED DISRUPTION OF SERVICE, LONG-TERM SITUATIONS:

The Help Desk or division office will be informed. The Help Desk or division office will instruct trustees/administrators to file any rush assignments via fax or courier/mail.

3. Joint Filing

3.1 FORM 1

- During phases 1 and 1.1, the e-filing system checked that the number of debtors on Form 1 matched the number of debtors in the attached form and rejected the filing if the two didn't match. With phase 2, the filing is not rejected automatically; instead, an action flag is raised.
- The e-filing system doesn't properly handle the submission of a *Notice of bankruptcy* for a joint filing when the notice contains two names but applies to only one bankrupt. The notice populates both estates. *Insolvency Manager* from Insolvency Software System (ISS) doesn't produce a Form 1 with only one name.

3.2 PRIMARY ESTATE

- When a joint filing is accepted by the e-filing system: if one of the debtors was previously bankrupt, the previous bankrupt will be the primary estate regardless of the order of the debtors on the EIS.
- When a joint filing is put into manual review: if one of the debtors was previously bankrupt, to ensure that the previous bankrupt's assignment is the primary estate the OSB user must accept the previous bankrupt's assignment first.

3.3 MERGING A FILE

The e-filing system can't automatically detect the need to merge a file. A file may need to be merged if we receive a softcopy order from the court merging an open summary administration or Division II proposal with a new joint filing.

The merged file will therefore be detected manually. The OSB user will determine whether the estate can remain in the e-filing system. If the estate must be handled as a paper file, the OSB user will use the **change estate to paper** function and select the following reason for changing the estate to paper: "Estate needs to be merged." The words "Change to Paper" will appear as a hyperlink for the estate's status in the e-filing header. When the hyperlink is clicked the reason indicated by the OSB (in this case, "Estate needs to be merged") will be displayed in a pop-up window. This will serve as the notation of what has occurred.

3.4 SPLITTING A FILE

The e-filing system can't automatically detect the need to split a file. Since there is no field in any form to indicate to the e-filing system that an estate needs to be split, the fact that an estate must be split must be detected manually. This will occur only as a result of a court order so that will be the indicator to split a file. All orders result in a flag when the softcopy order is uploaded by the trustee or the OSB.

The OSB user will determine whether the estate can remain in the e-filing system. If the estate must be handled as a paper file, the OSB will use the **change estate to paper** function and the following reason for changing the estate to paper: "Estate needs to be split." The words "Change to Paper" will appear as a hyperlink for the estate's status in the e-filing header. When the hyperlink is clicked the reason indicated by the user (in this case, "Estate needs to be split") will be displayed in a pop-up window. This will serve as the notation of what has occurred.

3.5 CROSS REFERENCE

- All joint and corollary files will also be cross-referenced.
- All estates identified as previous/current proceedings (on the EIS) will be cross-referenced automatically.
- A hyperlink to the estate will be created if the estate is in an electronic format; if not, the estate number will be indicated in the header.

NOTE **The only cross reference not performed by the system is the cross reference between husband and wife files if they are not joint or not indicated as corollary.**

4. Complex Estates

Currently, we have the ability to mark an estate as "complex." Estates marked as "complex" are estates where the processing is so complicated it cannot be handled by the e-filing system. Most business rules will cease to run, and every document submitted will trigger an action flag. This feature will allow us to keep some estates under close scrutiny.

Criteria for marking an estate as complex have not been established as of the publication of this manual. Estates will be assessed on a case-by-case basis and these situations will be captured in this manual as they occur.

5. Trustee/Administrator Substitution

The OSB will receive substitution order(s) for the trustee/administrator's files or will receive instructions from HQ to substitute files. Once the substitution takes place, the information will be messaged to the e-filing system (the OSB must first determine if the new/substituted trustee/administrator is registered to e-file). Only the trustee/administrator on record in the e-filing system will be able to upload to the system (*see* "Notification of trustee substitution – softcopy document" work flow, p. Q.10; *see* "System Administrator Functions," p. U.1) The trustee/administrator is responsible for maintaining his or her preferences, including who can upload documents on his or her behalf.

6. Converting a Paper File to Electronic

Trustees/administrators can begin e-filing during the administration of the estate. To make the conversion from a paper file to an electronic file, the trustee/administrator has to submit a prescribed form to the e-filing system. Because the estate number will not change, these files will not be 700000 files. IMPACT is "notified" by the e-filing system that the previously paper file is now an electronic file.

The first document submitted to the e-filing system triggers an action flag (*see* "File changed from paper (first submission)" work flow, p. J.1), while subsequent documents submitted (prescribed forms or otherwise) trigger a notification flag (*see* "File changed from paper" work flow, p. P.1). Documents submitted to previously paper files **do not** trigger any business rules in the e-filing system, and therefore must be reviewed as per office procedures. The estate header will be populated only with the data from the documents actually submitted. Data from prescribed forms will not populate IMPACT.

7. Matching Paper to Electronic

As matching processes are reviewed, this document will be updated. If you have questions about matching paper to electronic files, please contact your local e-filing co-ordinator.

INITIAL FILING

Form	Criteria	Match	Comments
Estate Information Summary	Form must be submitted as part of the initial filing	Yes	Paper-filed assignments are reviewed to ensure this form has been received. The e-filing system will advise the trustee that the information is incomplete.
	Name must be the same as listed on all other filing documents and must follow the format "given name, family name"	Yes	All paper forms are reviewed for spelling errors and inconsistencies in name use. *Certificates of appointment* are reviewed to ensure that names have been entered properly in IMPACT. The e-filing system can verify the consistency of debtors' names.
	Trustee alerts	Yes	On identifying the issues (e.g., warnings of potentially violent persons) on paper assignments, the CO-1/CO-2 is notified. Information is entered in the TCD. The e-filing system will flag these estate files to ensure the same office procedure is followed.
	Conflict of interest	Yes	On review of the nature of the conflict on paper assignments, the CO-1/CO-2 is notified and IMPACT is updated. The e-filing system will flag these estate files to ensure the same office procedure is followed.
	Business Debts: If "No" has been entered in the "Consumer Debts only" field, the % of business debts must be listed	Yes	When business debts of over 50% are identified, the OSB must assign a standard industry code in IMPACT. The e-filing system will flag files where business debts over 50% are identified so the standard industry code can be entered into IMPACT.
	Creditors' meetings set	Yes	Information from the paper file is entered into IMPACT and the CO-1/CO-2 is notified. The e-filing system will flag these estate files to ensure a similar office procedure is followed.
	Official receiver examination request	Yes	Information from the paper file is entered into IMPACT and the CO-1/CO-2 is notified. The e-filing system will flag these estate files to ensure a similar office procedure is followed.

Form	Criteria	Match	Comments
Estate Information Summary *(continued)*	Locality of the debtor overridden by trustee	Yes	The trustee is advised when he/she has filed in the wrong office. The correct division office is notified that the file is being sent to them. The correct division office sends an amended *Certificate of appointment* to the trustee. This procedure will be followed for both e-filed and paper-filed assignments/Division II proposals. The e-file that was filed in the wrong division office will be terminated.
Assignment for the benefit of creditors	Form must be submitted as part of the initial filing	Yes	This is a statutory document and must be submitted as part of the initial filing for both paper and e-filed assignments. The e-filing system will advise the trustee that information is incomplete if this form is missing.
	The trustee files an assignment where there is a Division II proposal previously filed by the debtor (after court approval)	Yes	Officers review Division II proposals to ensure that all necessary documents required to close the file have been received from the administrator (e.g., annulment, *Statement of receipts and disbursements*) prior to proceeding with the bankruptcy assignment. The e-filing system checks for previous updates and documents. If all is in order, coding and dating is automatic. If not, a manual review flag is set and coding and dating will be manual.
	Name must be the same as listed on all other filing documents and must follow the format "given name, family name"	Yes	All paper forms are reviewed for spelling errors and inconsistencies in name use. *Certificates of appointment* are reviewed to ensure that names have been entered properly in IMPACT. The e-filing system can verify the consistency of debtors' names.
Statement of affairs (non-business) (Form 79)	Must be submitted as part of the initial filing	Yes	This is a statutory document and must be submitted as part of the initial filing for both paper and e-filed assignments and Division II proposals. The e-filing system will advise the trustee that the information is incomplete.
	Name must be the same as listed on all other filing documents and must follow the format "given name, family name"	Yes	All paper forms are reviewed for spelling errors and inconsistencies in name use. *Certificates of appointment* are reviewed to ensure that names have been entered properly in IMPACT. The e-filing system can verify the consistency of debtors' names.
	Business liabilities exceed $100,000	Yes	Officers determine whether any follow-up is necessary (e.g., notifying CO-1/CO-2) if business liabilities exceed $100,000 on paper-filed assignments. The e-filing system will raise a flag so that these e-filed assignments can similarly be reviewed.

Form	Criteria	Match	Comments
Statement of affairs (non-business) (Form 79) *(continued)*	Indication of "exempt" or "not exempt" is missing	Yes	Officers review this form to ensure these fields have been completed. If they have not been completed, the trustee is contacted and a new form is requested. Similarly, the e-filing system will notify trustees that the information is incomplete.
	Return if a creditor's name is entered but the address is missing	No	It is better to have partial information than to have the trustee leave out the creditor information all together. One or two creditors can appear without addresses on paper-filed estates, but the trustee must be contacted and the file BF'd. If information is missing in any of these fields on an e-filed assignment, the trustee will be notified that the information is incomplete.
	The revised Form 79 contains a field for the Liabilities Type Code that must be completed (Real Property Mortgage, bank loans, student loans, etc.)	Yes	Officers have to ensure that the revised Form 79 is completed properly. If this field has not been completed on an e-filed assignment, the trustee will be notified that the information is incomplete.
	On the revised Form 79, the "secured," "unsecured" or "preferred" fields must contain a numerical value of $0 to indicate debts of a contingent nature or unknown dollar amount where a "best estimate" cannot be provided. Trustees cannot enter "unknown" in these fields.	Yes	Officers need to ensure these fields are completed and that the dollar amount provided for each asset is adequate on both paper-filed estates and e-filed estates. If the trustee neglects to enter a $0 figure in these fields on e-filing the assignment, the e-filing system will notify the trustee that the information is incomplete.
	Total debt is less than $1,000	No	Officers review assignments to ensure that the total debt is not less than $1,000. If the debt is less than $1,000, the officer returns the bankruptcy assignment to the trustee. The trustee will receive notification that the assignment will not be accepted.

NOTE A paper-filed preliminary *Statement of affairs* will no longer be accepted **unless there is a special reason.** This will be evaluated on a case-by-case basis. The e-filing system **will not** accept a preliminary *Statement of affairs.*

SUBSEQUENT FORMS

Form	Match	Comments
Request for mediation made by trustee (Form 60)	Yes	Officers review this form to ensure it is completed properly: • Form 60 has been co-filed with Form 65 • Check boxes are not completed for more than one category (68 or 170) The estate file is then brought to the attention of the DAS so a mediator can be appointed. The e-filing system will flag these files to ensure office procedures are followed. However, if the form has been completed improperly, the e-filing system will return the form to the trustee.
Notice of first meeting of creditors (Form 71)	Yes	Information from the paper form regarding the meeting time, date and location is entered into IMPACT. The e-filing system will populate IMPACT with this information on uploading of the form and a flag will be raised.
Minutes of first meeting of creditors Minutes of subsequent meeting of creditors (softcopy)	Yes	Update IMPACT, as necessary, from information provided on the paper form. The e-filing system will raise a flag on these forms once uploaded by the trustee.
Change of name (softcopy)	Yes	Update IMPACT. The e-filing system will raise a flag on all name change documents (*see* "Submission of change of debtor name" work flow, p. F.2) Note: The OSB requires either a sworn affidavit from the trustee or a court order.
Change of date of birth (softcopy)	Yes	If the information is received from a third party (usually the OSB receives this information from the Canada Revenue Agency), contact the trustee to verify the information and, if necessary, update the TCD. IMPACT should be updated for paper-filed estates. For estates that have been e-filed, any hardcopy pertaining to a correction to the debtor's date of birth should be scanned into the system.
Trustee substitution/change (softcopy)	Yes	Verify the information and update IMPACT as necessary. If the form has been e-filed, once it is verified select the trustee name and number to associate with the softcopy document and update IMPACT.

▶

Form	Match	Comments
Notice of bankruptcy (Form 70)	Yes	Paper forms are reviewed to ensure the date of bankruptcy corresponds with the initial filing data and that the debtor is a first-time bankrupt. The e-filing system will send an error message to the trustee if the date is incorrect or if the debtor is not a first-time bankrupt.
Notice of bankruptcy (Form 70) Request of a first meeting of creditors (Form 67)	Yes	Paper forms are reviewed to ensure the date of bankruptcy corresponds with the initial filing data and that the debtor is a first-time bankrupt. The e-filing system will send an error message to the trustee if the date is incorrect or if the debtor is not a first-time bankrupt.
Notice of first meeting of creditors (Form 71)	Yes	Upon receipt of a paper form information is entered into IMPACT and the CO-1/CO-2 is notified. When this form is submitted by the trustee, the e-filing system populates IMPACT with the meeting time, date and location. The uploaded form is flagged to ensure that office procedure is followed.

Forms and Documents

T – Forms and Documents

1. Prescribed Forms

The following tables list the prescribed forms that may be submitted to the e-filing system, and whether each form needs to be uploaded in xml format. The first table lists the forms by form number; the second lists the forms alphabetically by form name.

Generally, prescribed forms that DO NOT have to be submitted in xml format are:

- sent by a third party,
- sent by the OSB,
- sent by a trustee/administrator to a third party (i.e., there is no direct requirement under the *Bankruptcy and Insolvency Act* to file with the OSB),
- licence applications, which are sent directly to headquarters,
- court orders, or
- not subject to any business rules.

1.1 PRESCRIBED FORMS BY FORM NUMBER

Form Number	Form Name	Must Be Uploaded in xml
	Estate Information Summary (EIS): Not prescribed but required to e-file an initial filing	✓
1	General title for proceedings	✓
2	Application for trustee licence (individual)	
3	Application for trustee licence (corporation)	
4	Trustee licence	
5	Trustee licence (with conditions)	
6	Notice to Canada Post Corporation	
7	Application of former trustee to pass accounts	✓
8	Affidavit verifying application to pass accounts	✓
9	Notice of former trustee's application to pass accounts	✓
10	Application of trustee for discharge	✓
11	Notice of final dividend and application for discharge of trustee	✓
12	Final statement of receipts and disbursements	✓
13	Trustee's statement of receipts and disbursements (summary administration)	✓

Form Number	Form Name	Must Be Uploaded in xml
14[1]	Administrator's statement of receipts and disbursements (consumer proposal)	✓
15	Notice of deemed taxation of trustee's accounts and deemed discharge of trustee	✓
16	Certificate of compliance and deemed discharge of trustee (or administrator)	✓
17	Notice of hearing for taxation of trustee's accounts and discharge of trustee	✓
18	Notice of application for taxation of accounts and discharge of interim receiver	✓
19	Certificate of appointment of trustee	
20	Certificate of appointment of trustee	
20.1	Certificate of appointment of trustee	
21	Assignment for the general benefit of creditors (corporation or other legal entity)	✓
22	Assignment for the general benefit of creditors (natural person)	✓
23	Preliminary statement of affairs (Note: We do not allow preliminary statement of affairs in summary administrations)	✓
24	Notice of examination before the official receiver (corporate bankrupt)	
25	Notice of examination before the official receiver (individual bankrupt)	
26	Questions to be put to the bankrupt by the official receiver (individual in business)	
27	Examination of bankrupt by official receiver (non-business)	
28	Questions to be put to an officer of the bankrupt corporation, or a designated person, by the official receiver	
29	Trustee's report on cash-flow statement	✓
30	Report on cash-flow statement by the person making the proposal	✓
31	Proof of claim	
32	Proof of claim for securities firm bankruptcies	
33	Notice of intention to make a proposal	✓
34	Report of trustee on non-filing of cash-flow statement or proposal	✓
35	Certificate of assignment	
36	Proxy	
37	Voting letter	
38	Report of trustee on refusal by creditors to approve proposal	✓

▶

1 No flags will be raised for an interim *Administrator's statement of receipts and disbursements (consumer proposal)* (Form 14). The form will be uploaded under the document category "Closing Process."

Form Number	Form Name	Must Be Uploaded in xml
39	Certificate of assignment	
40	Report of trustee on proposal	✓
40.1	Notice of hearing of application for court approval of proposal	✓
41	Report of trustee on refusal by court to approve proposal	✓
42	Certificate of assignment	
43	Notice of default in the performance of a proposal	✓
43.1	Report of trustee on annulment of proposal	✓
43.2	Order annulling proposal	
44	Certificate of assignment	
45	Notice to landlord to disclaim a lease by commercial tenant	
46	Certificate of full performance of proposal	✓
47[2]	Consumer proposal	
48	Report of administrator on consumer proposal	
49	Notice to creditors of consumer proposal	✓
50	Notice of meeting of creditors to consider consumer proposal	✓
51	Report of administrator on consumer proposal and conduct of consumer debtor	✓
51.1	Notice of hearing of application for court review of consumer proposal	✓
52[3]	Notice of status of consumer proposal	✓

▶

2 When an administrator submits a subsequent *Consumer proposal* (Form 47), the e-filing system asks for the following information:

Please indicate the reason for submitting this subsequent Consumer Proposal (Form 47):

This is a correction:

- ❑ the terms of the proposal have not changed;
- ❑ the terms of the proposal have been altered; the original proposal has not yet been sent to the creditors.

This is an amendment to the terms of the proposal:

- ❑ these amended terms were accepted at a creditor's meeting;
- ❑ these amended terms have not yet been accepted by the creditors.

For more information, *see* "Process Flowcharts," p. R.31.

3 When an administrator files a *Notice of status of consumer proposal* (Form 52) and selects the "withdraw," "creditors refused" or "court rejected" fields, the e-filing system will automatically update IMPACT with the appropriate estate type code. If the administrator provides the status in a text field (which the e-filing system is unable to read), a flag will be raised and the estate type code will need to be entered manually.

The system will reject a proposal that is withdrawn after court approval if the administrator uses the "withdraw" field referred to above.

Form Number	Form Name	Must Be Uploaded in xml
53	Notice to creditors and report to official receiver on annulment of consumer proposal of a consumer debtor who was not a bankrupt	✓
53.1	Order annulling the consumer proposal of a consumer debtor who was not a bankrupt	
54	Report to official receiver on annulment of consumer proposal of a consumer debtor who was a bankrupt	✓
54.1	Order annulling the consumer proposal of a consumer debtor who was a bankrupt	
55	Certificate of assignment	
56	Notice to creditors and report to official receiver on deemed annulment of consumer proposal	✓
57	Certificate of full performance of consumer proposal	✓
58	Notice of taxation of administrator's accounts and discharge of administrator	✓
59	Notice of hearing for taxation of administrator's accounts and discharge of administrator	✓
60	Request for mediation made by trustee	✓
61	Notice of mediation	
62	Notice of cancellation of mediation	
63	Mediation settlement agreement	
64	Notice of non-resolution by mediation	
65	Monthly income and expense statement of the bankrupt and the family unit and information (or amended information) concerning the financial situation of the individual bankrupt	✓
66	Notice to bankrupt of meeting of creditors	
67[4]	Notice of bankruptcy and first meeting of creditors	✓
68[4]	Notice of impending automatic discharge of first-time bankrupt	✓
69[4]	Notice of bankruptcy and of impending automatic discharge of first-time bankrupt, and request of a first meeting of creditors	✓
70[4]	Notice of bankruptcy and request of a first meeting of creditors	✓
71	Notice of first meeting of creditors	✓
73	Notice of bankruptcy and first meeting of creditors in local newspaper	
74	Proof of claim (property)	
75	Demand for repossession of goods	

▶

4 The e-filing system doesn't properly handle the submission of a *Notice of bankruptcy* that applies to only one bankrupt in a joint filing if the form contains more than one name. The notice populates all estates. *Insolvency Manager* from Insolvency Software System (ISS) doesn't produce a Form 1 with only one name.

Form Number	Form Name	Must Be Uploaded in xml
76	Notice by trustee requiring filing of proof of security	
77	Notice of disallowance of claim, right to priority or security or notice of valuation of claim	
78	Statement of affairs (business bankruptcy)	✓
79	Statement of affairs (non-business bankruptcy)	✓
80	Notice of intended opposition to discharge of bankrupt	✓
81	Notice of hearing for bankrupt's application for discharge	✓
82	Report of trustee on bankrupt's application for discharge	✓
83	Report of trustee under subsections 171(1) and (2)	✓
84	Certificate of discharge	✓
85	Certificate of discharge (conditions met)	✓
86	Notice of intention to enforce a security	
87	Notice and statement of the receiver	✓
88	Notice of hearing and trustee's report to the court after three years	✓
89	Order of substituted service of petition	
90	Notice of substituted service of petition	
91	Receiving order	
92	Notice of proposal to creditors	✓

1.2 PRESCRIBED FORMS BY FORM NAME

Administrator's statement of receipts and disbursements (consumer proposal)[5]	14	✓
Affidavit verifying application to pass accounts	8	✓
Application for trustee licence (corporation)	3	
Application for trustee licence (individual)	2	
Application of former trustee to pass accounts	7	✓
Application of trustee for discharge	10	✓
Assignment for the general benefit of creditors (natural person)	22	✓

▶

[5] No flags will be raised for an interim *Administrator's statement of receipts and disbursements (consumer proposal)* (Form 14). The form will be uploaded under the document category "Closing Process."

Assignment for the general benefit of creditors (corporation or other legal entity)	21	✓
Certificate of appointment of trustee	19	
Certificate of appointment of trustee	20.1	
Certificate of appointment of trustee	20	
Certificate of assignment	55	
Certificate of assignment	35	
Certificate of assignment	44	
Certificate of assignment	39	
Certificate of assignment	42	
Certificate of compliance and deemed discharge of trustee (or administrator)	16	✓
Certificate of discharge (conditions met)	85	✓
Certificate of discharge	84	✓
Certificate of full performance of proposal	46	✓
Certificate of full performance of consumer proposal	57	✓
Consumer proposal[6]	47	
Demand for repossession of goods	75	
Estate Information Summary (EIS): Not prescribed but required to e-file an initial filing		✓
Examination of bankrupt by official receiver (non-business)	27	
Final statement of receipts and disbursements	12	✓
General title for proceedings	1	✓
Mediation settlement agreement	63	✓
Monthly income and expense statement of the bankrupt and the family unit and information (or amended information) concerning the financial situation of the individual bankrupt	65	✓
Notice and statement of the receiver	87	✓
Notice by trustee requiring filing of proof of security	76	✓

▶

[6] When a trustee submits a subsequent *Consumer proposal* (Form 47), the e-filing system asks for the following information:

Please indicate the reason for submitting this subsequent Consumer Proposal (Form 47):

This is a correction:
- ❑ the terms of the proposal have not changed;
- ❑ the terms of the proposal have been altered; the original proposal has not yet been sent to the creditors.

This is an amendment to the terms of the proposal:
- ❑ these amended terms were accepted at a creditor's meeting;
- ❑ these amended terms have not yet been accepted by the creditors.

For more information, see "Process Flowcharts," p. R.31).

Notice of application for taxation of accounts and discharge of interim receiver	18	✓
Notice of bankruptcy and first meeting of creditors in local newspaper	73	
Notice of bankruptcy and first meeting of creditors	67	✓
Notice of bankruptcy and of impending automatic discharge of first-time bankrupt, and request of a first meeting of creditors[7]	69	✓
Notice of bankruptcy and request of a first meeting of creditors[7]	70	✓
Notice of cancellation of mediation	62	
Notice of deemed taxation of trustee's accounts and deemed discharge of trustee	15	✓
Notice of default in the performance of a proposal	43	✓
Notice of disallowance of claim, right to priority or security or notice of valuation of claim	77	
Notice of examination before the official receiver (corporate bankrupt)	24	
Notice of examination before the official receiver (individual bankrupt)	25	
Notice of final dividend and application for discharge of trustee	11	✓
Notice of first meeting of creditors	71	✓
Notice of former trustee's application to pass accounts	9	✓
Notice of hearing for bankrupt's application for discharge	81	✓
Notice of hearing for taxation of administrator's accounts and discharge of administrator	59	✓
Notice of hearing for taxation of trustee's accounts and discharge of trustee	17	✓
Notice of hearing of application for court approval of proposal	40.1	✓
Notice of hearing of application for court review of consumer proposal	51.1	✓
Notice of hearing and trustee's report to the court after three years	88	✓
Notice of impending automatic discharge of first-time bankrupt[7]	68	✓
Notice of intended opposition to discharge of bankrupt	80	✓
Notice of intention to enforce a security	86	
Notice of intention to make a proposal	33	✓
Notice of mediation	61	
Notice of meeting of creditors to consider consumer proposal	50	✓
Notice of non-resolution by mediation	64	
Notice of proposal to creditors	92	✓

▶

7 The e-filing system doesn't properly handle the submission of a *Notice of bankruptcy* that applies to only one bankrupt in a joint filing if the form contains more than one name. The notice populates all estates. *Insolvency Manager* from Insolvency Software System (ISS) doesn't produce a Form 1 with only one name.

Notice of status of consumer proposal[8]	52	✓
Notice of substituted service of petition	90	
Notice of taxation of administrator's accounts and discharge of administrator	58	✓
Notice to bankrupt of meeting of creditors	66	
Notice to Canada Post Corporation	6	
Notice to creditors and report to official receiver on annulment of consumer proposal of a consumer debtor who was not a bankrupt	53	✓
Notice to creditors and report to official receiver on deemed annulment of consumer proposal	56	✓
Notice to creditors of consumer proposal	49	✓
Notice to landlord to disclaim a lease by commercial tenant	45	
Order annulling proposal	43.2	
Order annulling the consumer proposal of a consumer debtor who was a bankrupt	54.1	
Order annulling the consumer proposal of a consumer debtor who was not a bankrupt	53.1	
Order of substituted service of petition	89	
Preliminary statement of affairs (Note: We do not allow preliminary statement of affairs in summary administrations)	23	✓
Proof of claim (property)	74	
Proof of claim	31	
Proof of claim for securities firm bankruptcies	32	
Proxy	36	
Questions to be put to an officer of the bankrupt corporation, or a designated person, by the official receiver	28	
Questions to be put to the bankrupt by the official receiver (individual in business)	26	
Receiving order	91	
Report of administrator on consumer proposal	48	
Report of administrator on consumer proposal and conduct of consumer debtor	51	✓
Report of trustee on bankrupt's application for discharge	82	✓
Report of trustee on non-filing of cash-flow statement or proposal	34	✓
Report of trustee on proposal	40	✓
Report of trustee on refusal by creditors to approve proposal	38	✓

▶

8 When an administrator files a *Notice of status of consumer proposal* (Form 52) and selects the "withdraw," "creditors refused" or "court rejected" fields, the e-filing system will automatically update IMPACT with the appropriate estate type code. If the administrator provides the status in a text field (which the e-filing system is unable to read), a flag will be raised and the estate type code will need to be entered manually.

The system will reject a proposal that is withdrawn after court approval if the administrator uses the "withdraw" field referred to above.

Report of trustee on annulment of proposal	43.1	✓
Report of trustee on refusal by court to approve proposal	41	✓
Report of trustee under subsections 171(1) and (2)	83	✓
Report on cash-flow statement by the person making the proposal	30	✓
Report to official receiver on annulment of consumer proposal of a consumer debtor who was a bankrupt	54	✓
Request for mediation made by trustee	60	✓
Statement of affairs (business bankruptcy)	78	✓
Statement of affairs (non-business bankruptcy)	79	✓
Trustee licence	4	
Trustee licence (with conditions)	5	
Trustee's report on cash-flow statement	29	✓
Trustee's statement of receipts and disbursements (summary administration)	13	✓
Voting letter	37	

2. Softcopy Documents

NOTES Be sure to use the proper document title when uploading a softcopy document; the e-filing system uses the title to determine which category to file the document under.

The Power of Attorney (softcopy) no longer has to be filed. The trustee/administrator must ensure that he/she has a valid Power of Attorney.

Document Title	Document Category		May be uploaded by		Flag
	Summary Administration	Div. II Proposal	Trustee / administrator	OSB	
170(3) Report	Bankrupt Discharge	not applicable	no	yes	no flag
Acknowledgement of Duties	Estate Administration	not applicable	yes	yes	no flag
Affidavit of Mailing	Estate Administration	Estate Administration	yes	yes	no flag
Application by Trustee For A Taxation Date	Trustee Taxation and Discharge	Closing Process	yes	yes	no flag
Applications To Court	Estate Administration	Estate Administration	yes	yes	Notification
Approval of Inspectors for a Div II by a Bankrupt	not applicable	Other	yes[1]	yes	no flag
Certificate of Appointment—Amended	Initial Filing	not applicable	no	yes	no flag
Certificate of Filing—Amended	not applicable	Initial Filing	no	yes	no flag
Change of Address	Estate Administration	Estate Administration	yes	yes	no flag
Change of Date of Birth	Estate Administration	Estate Administration	yes	yes	Action
Change of Name	Estate Administration	Estate Administration	yes	yes	Action
Complaint	Estate Administration	Estate Administration	yes[2]	yes	no flag

▶

1 Trustees/administrators must upload those documents as "Other (specify title/category)." Note that, as they are entering the document's name, it may vary slightly from the ones on this list.

2 Trustees/administrators must upload complaints and enquiries as "Other (specify title/category)."

Document Title	Document Category		May be uploaded by		Flag
	Summary Administration	Div. II Proposal	Trustee / administrator	OSB	
Consumer proposal (Form 47)	not applicable	Initial Filing	yes	yes	Action or Notification[4]
Counselling Certificate Stage 1	Estate Administration	Estate Administration	yes	yes	no flag
Counselling Certificate Stage 2	Estate Administration	Estate Administration	yes	yes	no flag
Court Order Annulling Bankruptcy	Estate Administration	not applicable	yes	yes	Action (Summary)
Court order annulling the consumer proposal (bankrupt) (Form 54.1)	not applicable	Closing Process	yes	yes	Action or Notification[5]
Court order annulling the consumer proposal (non bankrupt) (Form 53.1)	not applicable	Closing Process	yes	yes	Action or Notification[6]
Court Order Approving Proposal	not applicable	Estate Administration	yes	yes	Action (Div II)
Court Order of Discharge of Bankrupt or Notification of Adjournment[3]	Bankrupt Discharge	not applicable	yes	yes	Action (Summary)
Court Order of Discharge of Trustee/Administrator	Trustee Taxation and Discharge	Closing Process	yes	yes	Action

▶

[3] Any type of softcopy court order of bankrupt's discharge (conditional orders, suspended orders, or any other discharge order issued by the court, including absolute orders) should be uploaded under the document title "Court Order of Discharge of Bankrupt or Notice of Adjournment."

[4] Submission of a Form 47 will raise a flag in the following circumstances:
- Notification flag (*see* "Review Div II initial filing" work flow, p. K.21)
- Action flag (*see* "Review Amended Div II" work flow, p. F.19)
- Action flag (*see* "Amended Div II, creditor meeting requested. Data entry required" work flow, p. F.20)
- Action flag (*see* "Request an updated EIS" work flow, p. F.21)
- Notification flag (*see* "Certificate of full performance (Form 57) on file" work flow, p. L.27)
- Action flag (*see* "Meeting date is outside the parameters" work flow, p. F.22)
- Action flag (*see* "Update IMPACT, amended Div II deemed court approval" work flow, p. F.28)

[5] Submission of a Form 54.1 will raise a flag in the following circumstances:
- Notification flag (*see* "Submission of Form 54.1" work flow, p. F.37)
- Action flag (*see* "Submission of court order annulling Div II (bankrupt) (Form 54.1) and no report on annulment (Form 54) on file" work flow, p. F.26)

[6] Submission of a Form 53.1 will raise a flag in the following circumstances:
- Notification flag (*see* "Submission of Form 53.1" work flow, p. F.36)
- Action flag (*see* "Submission of court order annulling Div II (non-bankrupt) (Form 53.1) and no report on annulment (Form 53) on file" work flow, p. F.25)

Document Title	Document Category		May be uploaded by		Flag
	Summary Administration	Div. II Proposal	Trustee / administrator	OSB	
Creditor Opposition to Bankrupt's Application for Discharge	Bankrupt Discharge	not applicable	yes	yes	Action (Summary)
Creditor Opposition to Trustee Discharge	Trustee Taxation and Discharge	not applicable	yes	yes	Action (Summary)
Detail Trial Balance	Trustee Taxation and Discharge	Closing Process	yes	yes	Notification
Dividend Sheet	Trustee Taxation and Discharge	Closing Process	yes	yes	no flag
Dividend Sheet—Interim	not applicable	Estate Administration	yes	yes	no flag
Enquiry	Estate Administration	Estate Administration	yes[1]	yes	no flag
Examinations—Notices	Estate Administration	Estate Administration	no	yes	no flag
Examinations—Questionnaire	Estate Administration	Estate Administration	no	yes	no flag
Examinations—Reports[7]	Estate Administration	Estate Administration	yes	yes	no flag
Financial Statement	Estate Administration	not applicable	yes	yes	no flag
Inspector Meeting: Minutes/Resolutions/ Resignation	Estate Administration	Estate Administration	yes	yes	Notification (Summary)
Mediation—Notice of cancellation of mediation (Form 62)[8]	Estate Administration	not applicable	no	yes	no flag
Mediation—Notice of mediation (Form 61)[8]	Estate Administration	not applicable	no	yes	no flag
Mediation—Notice of non-resolution by mediation (Form 64)[8]	Estate Administration	not applicable	no	yes	no flag

▶

7 Examinations conducted by a party other than the official receiver should be uploaded as "Other (specify title/category)" by the trustee/administrator and as "Other—No flag" by OSB users. The trustee/administrator must select the appropriate document title and category; OSB users must select the document title and the "Estate Administration" category. All documents uploaded by the trustee/administrator as "Other" will be flagged.

8 All documents related to mediation must be uploaded to the e-filing system by the OSB. These documents must be sent to the trustee in the same manner as paper files.

Document Title	Document Category		May be uploaded by		Flag
	Summary Administration	Div. II Proposal	Trustee / administrator	OSB	
Mediation settlement agreement (Form 63)[8]	Estate Administration	not applicable	no	yes	no flag
Minutes of First Meeting of Creditors	Estate Administration	Estate Administration	yes	yes	Action
Minutes of Subsequent Meeting of Creditors	Estate Administration	Estate Administration	yes	yes	Action
Negative Letter of Comment	Trustee Taxation and Discharge	Closing Process	no	yes	no flag
Notice of Stay of Proceedings	Estate Administration	Estate Administration	yes	yes	no flag
OSB Opposition to Bankrupt's Application for Discharge	Bankrupt Discharge	not applicable	no	yes	no flag
OSB Opposition to Trustee/ Administrator Discharge	Trustee Taxation and Discharge	Closing Process	no	yes	no flag
Positive Letter of Comment	Trustee Taxation and Discharge	Closing Process	no	yes	no flag
Proof of Claim (Forms 31, 32, 74)	not applicable	Other	yes[1]	yes	no flag
Proxy (Form 36)	not applicable	Other	yes[1]	yes	no flag
Report of the administrator on the consumer proposal (Form 48)	not applicable	Initial Filing	yes	yes	Action or Notification[9]
Request for Change of Status	Estate Administration	not applicable	yes	yes	Action (Summary)
Request for Court Review of Proposal	not applicable	Estate Administration	yes	yes	Notification (Div (II))
Request For Exam of Bankrupt	Estate Administration	not applicable	yes	yes	Action (Summary)

9 Submission of a Form 48 will raise a flag in the following circumstances:

- Action flag (*see* "Submission of report of the administrator on Div II" work flow, p. L.11)
- Notification flag (*see* "Certificate of full performance (Form 57) on file" work flow, p. L.15)

Document Title	Document Category		May be uploaded by		Flag
	Summary Administration	Div. II Proposal	Trustee / administrator	OSB	
Request for Remote/ Telephone Counseling	Estate Administration	Estate Administration	yes	yes	Action
Taxed Copy of Legal Fees	Trustee Taxation and Discharge	not applicable	yes	yes	Notification (Summary)
Taxed SRD	Trustee Taxation and Discharge	Closing Process	yes	yes	Notification
Trustee's Report to the Creditors on Preliminary Administration	Estate Administration	not applicable	yes	yes	Notification (Summary)
Voting Letter (Form 37)	not applicable	Other	yes[1]	yes	no flag

Other	Document Category		May be uploaded by		Flag
	Summary Administration	Div. II Proposal	Trustee / administrator	OSB	
Other—No flag (specify title/category)[10]	(Based on the category the user has selected.)	(Based on the category the user has selected.)	no	yes	no flag
Other (specify title/category)	(Based on the category the user has selected.)	(Based on the category the user has selected.)	yes	yes	Action

10 Trustees/administrators cannot upload documents as "Other—No flag."

3. Certificates

The e-filing system will automatically generate the appropriate certificate and send it electronically to the trustee/administrator.

In the case of a filing placed into manual review, the certificate is sent to the e-filing system from IMPACT using the **send to e-file** function found on the document review screen in IMPACT.

If changes are made to IMPACT after the filing of an assignment (e.g., changes to the court number, trustee, debtor name, date of proceeding or creditor meeting information) use the **send to e-file** function to send an amended certificate to the trustee (the word "amended" will be at the top of the certificate).

The following is a list of all certificates generated by the e-filing system:

Summary Administrations

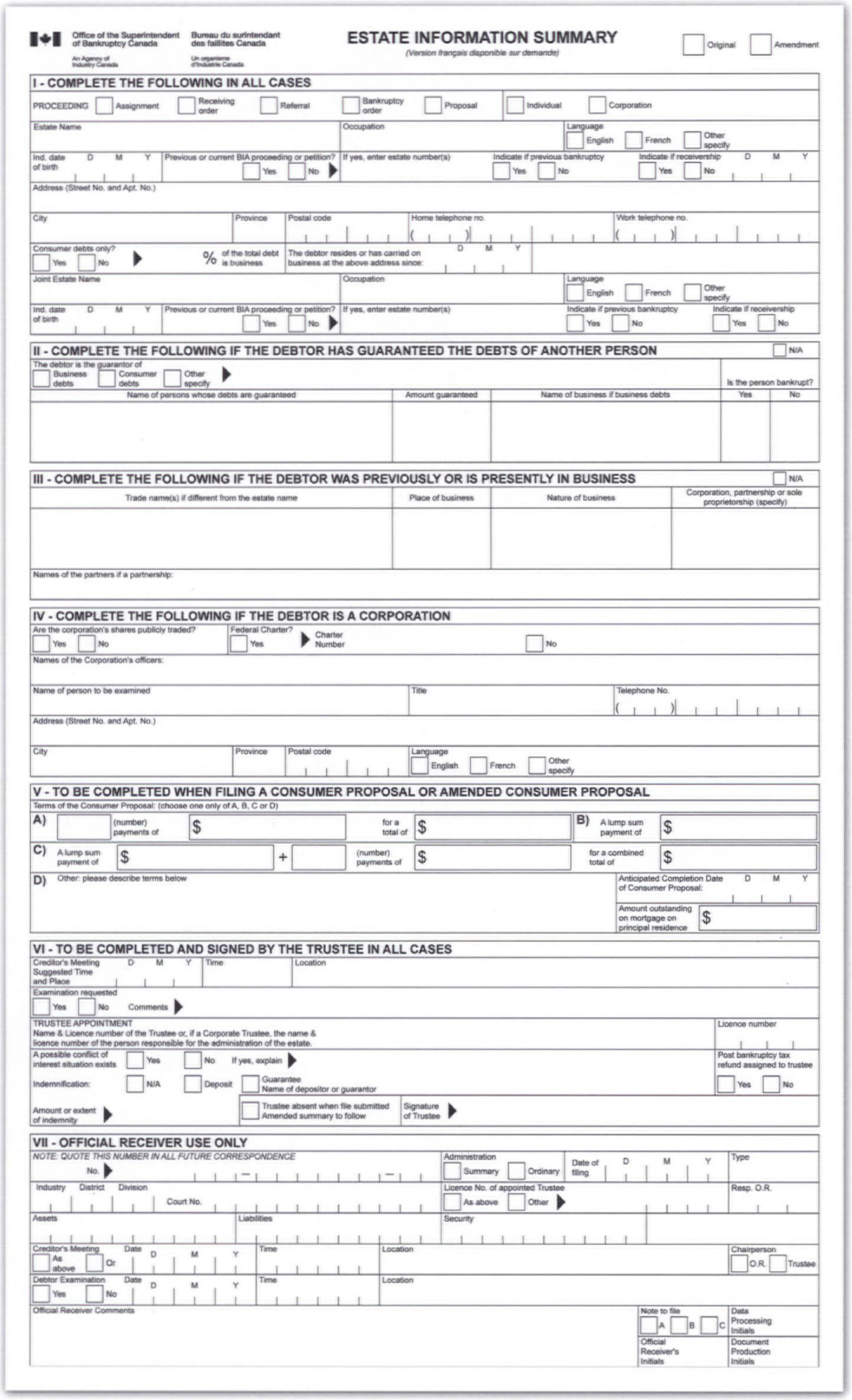
Every assignment accepted by the e-filing system receives a *Certificate of appointment* (Form 19) (Section 49, Rule 85), with the following exceptions:

- On receipt of a *Report to the official receiver on annulment of consumer proposal of a consumer debtor who was a bankrupt* (Form 54), the e-filing system sends a *Certificate of assignment* (Form 55) (Paragraph 66.3(5) of the *Bankruptcy and Insolvency Act*).
- If an assignment is filed and the previous proceeding is a Division II proposal without court approval, the e-filing system sends a *Certificate of appointment of trustee* (Form 20.1) (Sections 49, 66.33; Rule 85).

Division II Proposals

- All registrations with estate type code 31 or 32 receive a *Certificate of filing*.
- If a Division II proposal is filed for an undischarged bankrupt (estate type code 65: Division II by a bankrupt), a *Certificate of filing by a bankrupt* is issued.

4. Estate Information Summary (EIS)



Office of the Superintendent of Bankruptcy Canada — Bureau du surintendant des faillites Canada
An Agency of Industry Canada — Un organisme d'Industrie Canada

ESTATE INFORMATION SUMMARY
(Version français disponible sur demande)

☐ Original ☐ Amendment

I - COMPLETE THE FOLLOWING IN ALL CASES

PROCEEDING ☐ Assignment ☐ Receiving order ☐ Referral ☐ Bankruptcy order ☐ Proposal | ☐ Individual ☐ Corporation

Estate Name | Occupation | Language ☐ English ☐ French ☐ Other specify

Ind. date of birth D M Y | Previous or current BIA proceeding or petition? ☐ Yes ☐ No | If yes, enter estate number(s) | Indicate if previous bankruptcy ☐ Yes ☐ No | Indicate if receivership ☐ Yes ☐ No D M Y

Address (Street No. and Apt. No.)

City | Province | Postal code | Home telephone no. ( ) | Work telephone no. ( )

Consumer debts only? ☐ Yes ☐ No | % of the total debt is business | The debtor resides or has carried on business at the above address since: D M Y

Joint Estate Name | Occupation | Language ☐ English ☐ French ☐ Other specify

Ind. date of birth D M Y | Previous or current BIA proceeding or petition? ☐ Yes ☐ No | If yes, enter estate number(s) | Indicate if previous bankruptcy ☐ Yes ☐ No | Indicate if receivership ☐ Yes ☐ No

II - COMPLETE THE FOLLOWING IF THE DEBTOR HAS GUARANTEED THE DEBTS OF ANOTHER PERSON ☐ N/A

The debtor is the guarantor of ☐ Business debts ☐ Consumer debts ☐ Other specify

Name of persons whose debts are guaranteed	Amount guaranteed	Name of business if business debts	Is the person bankrupt? Yes	No

III - COMPLETE THE FOLLOWING IF THE DEBTOR WAS PREVIOUSLY OR IS PRESENTLY IN BUSINESS ☐ N/A

Trade name(s) if different from the estate name	Place of business	Nature of business	Corporation, partnership or sole proprietorship (specify)

Names of the partners if a partnership:

IV - COMPLETE THE FOLLOWING IF THE DEBTOR IS A CORPORATION

Are the corporation's shares publicly traded? ☐ Yes ☐ No | Federal Charter? ☐ Yes Charter Number ☐ No

Names of the Corporation's officers:

Name of person to be examined | Title | Telephone No. ( )

Address (Street No. and Apt. No.)

City | Province | Postal code | Language ☐ English ☐ French ☐ Other specify

V - TO BE COMPLETED WHEN FILING A CONSUMER PROPOSAL OR AMENDED CONSUMER PROPOSAL

Terms of the Consumer Proposal: (choose one only of A, B, C or D)

A) ☐ (number) payments of $ for a total of $ | B) A lump sum payment of $

C) A lump sum payment of $ + ☐ (number) payments of $ for a combined total of $

D) Other: please describe terms below | Anticipated Completion Date of Consumer Proposal: D M Y | Amount outstanding on mortgage on principal residence $

VI - TO BE COMPLETED AND SIGNED BY THE TRUSTEE IN ALL CASES

Creditor's Meeting Suggested Time and Place D M Y | Time | Location

Examination requested ☐ Yes ☐ No Comments

TRUSTEE APPOINTMENT
Name & Licence number of the Trustee or, if a Corporate Trustee, the name & licence number of the person responsible for the administration of the estate. | Licence number

A possible conflict of interest situation exists ☐ Yes ☐ No If yes, explain | Post bankruptcy tax refund assigned to trustee ☐ Yes ☐ No

Indemnification: ☐ N/A ☐ Deposit ☐ Guarantee Name of depositor or guarantor

Amount or extent of indemnity | ☐ Trustee absent when file submitted Amended summary to follow | Signature of Trustee

VII - OFFICIAL RECEIVER USE ONLY

NOTE: QUOTE THIS NUMBER IN ALL FUTURE CORRESPONDENCE
No. – – | Administration ☐ Summary ☐ Ordinary | Date of filing D M Y | Type

Industry District Division Court No. | Licence No. of appointed Trustee ☐ As above ☐ Other | Resp. O.R.

Assets | Liabilities | Security

Creditor's Meeting ☐ As above ☐ Or Date D M Y | Time | Location | Chairperson ☐ O.R. ☐ Trustee

Debtor Examination ☐ Yes ☐ No Date D M Y | Time | Location

Official Receiver Comments | Note to file ☐ A ☐ B ☐ C | Data Processing Initials | Official Receiver's Initials | Document Production Initials

5. Form Letters

5.1 NOTICE – CHANGE OF COURT DIVISION / DISTRICT

Notice
Change of Court Division / District

Office of the Superintendent of Bankruptcy
Address

Date:	Fax #	No. of Pages
Trustee / Proposal Administrator:		
Attention:		
Estate #	Re:	

Please note that the Court Division / District selected by you when submitting this estate has been amended by The Office of the Superintendent of Bankruptcy. We have attached an amended Certificate of Appointment / Certificate of Filing which indicates the correct District and Division Number. Please ensure that should a court file be required, it is opened within the correct Court Division / District.

____

Office of the Superintendent of Bankruptcy

5.2 NOTICE TO RESUBMIT

Notice to Resubmit

Office of the Superintendent of Bankruptcy
Address

Date:	Fax #	No. of Pages
Trustee / Proposal Administrator:		
Attention:		
Estate #	Re:	

The following prescribed document was received in paper format for an electronic file:

(Name of document)

Please resubmit the document electronically to the OSB within two business days.
If you are experiencing difficulty uploading the document, please contact the E-Filing Help Desk.

____

Office of the Superintendent of Bankruptcy

5.3 FINAL NOTICE TO RESUBMIT

Final Notice to Resubmit

Office of the Superintendent of Bankruptcy
Address

Date:	Fax #	No. of Pages
Trustee / Proposal Administrator:		
Attention:		
Estate #	Re:	

The following prescribed document was received in paper format for an electronic file. A Notice to Resubmit was sent to your office on xxxxx. To date, we have not received the electronic document requested:

(Name of document)

Please resubmit the document electronically to the OSB prior to the close of business (insert date - two full business days to comply). As per your E-Filing Terms of Use, all prescribed forms must be sent electronically for an E-File. Failure to comply with this request will result in the conversion of this estate to a paper file, with no further access to the electronic file.

____

Office of the Superintendent of Bankruptcy

5.4 NOTICE – ELECTRONIC ESTATE FILE CONVERTED TO PAPER

Notice
Electronic Estate File Converted to Paper
Requirement to Send Future Estate Documents in Paper Format

Office of the Superintendent of Bankruptcy
Address

Date:	No. of Pages
To:	
Attention:	
Re:	Estate #

Please note that the above mentioned electronic estate has been converted to a paper file for the following reason:

- ❑ Estate has been converted from a Summary Administration to an Ordinary Administration
- ❑ Bankrupt has filed a Div I Proposal or a Div II debtor has filed a Div I
- ❑ A jointly filed administration needs to be split
- ❑ Assignment filed following a Division 1 proposal from which the trustee has not been discharged
- ❑ Assignment filed when Petition for a Receiving Order is outstanding
- ❑ Partnership Assignment filed
- ❑ File transferred to ________________ Division Office

From this date forward, all documents to be filed against this estate must be in paper format.

____

Office of the Superintendent of Bankruptcy

6. Style Sheets

A document style sheet can be copied from the estate index. The copy will include all information, not just the information in specific data fields. It may not, however, retain formatting if it is a prescribed form.

System Administrator Functions

Because of the addition of "messaging" between the e-filing system and IMPACT, the local and HQ system administrator functions have been reduced to only a few items (For additional information, *see* "Messages between IMPACT and the e-filing system," p. R.5).

1. Local System Administrator Functions

1) **Remove a softcopy document:** Because softcopy documents can't be moved from one estate to another, softcopy documents that have been uploaded to the wrong estate must be removed from that estate by the local system administrator and resubmitted to the correct estate by the OSB or the trustee/administrator. IMPACT must be updated manually.

NOTE **A document cannot be retrieved once it has been removed from the e-filing system.**

2) **Change an estate to paper or mark as "complex":** There are several reasons why an estate might be changed from electronic to paper, including the following:
   - a conversion from summary to ordinary
   - a conversion from summary to Division l proposal
   - a conversion from Division II proposal to ordinary
   - a conversion from Division II Proposal to Division I proposal
   - joint estate needs to be split
   - single estate needs to be merged into a joint estate
   - trustee/administrator no longer e-filing
   - contravention with terms of use
   - related joint changed to paper
   - form not available in xml format

NOTES **When one file in a joint filing is changed to paper, the related files must also be changed to paper. In this situation, indicate the following reason: "related joint changed to paper."**

The estate header will indicate that the file has been changed to paper. No other documents can be uploaded to the electronic estate by the trustee/administrator or the OSB.

There are several reasons why an estate might be marked as "complex," including the following:
   - estate is complex
   - related joint is complex
   - other

NOTES There are not yet criteria for marking an estate as complex, so this determination will be made on a case-by-case basis.

Any additional uploads to a complex estate will be flagged, but most business rules will not run and the data will not populate IMPACT. All uploads must be reviewed and IMPACT must be manually updated.

3) **Add or modify an OSB user:** The local system administrator is responsible for adding new OSB users to the e-filing system and defining their privileges (admin user or not), default division office(s), trustee associations, etc. The system administrator will give the new user an interim password and default preferences that the user can change once he/she is able to log in to the e-filing system. OSB users who change their names must ask the system administrator to modify their user ids. The system administrator will also update the trustee/administrator associations for each user when necessary. Please note that only the HQ system administrator can remove a user's default trustees/administrators.

4) **SRD Sampling:** IMPACT will maintain two sampling tables for SRDs (summary administration and Division II). All Division II proposals will be 100% sampled. As is the current procedure for paper files, the sampling table for summary administrations is maintained by the local IMPACT system administrator. When the e-filing system is running the sampling process, it will access the IMPACT table to set any review flags. Any changes to the sampling table will follow the current office practice (e.g., discussion with the DAS prior to forwarding the required changes to the local IMPACT system administrator).

2. HQ System Administrator Functions

Requests to the HQ system administrator will be coordinated through the local system administrator. The local system administrator will send the requests to a central mailbox for the HQ system administrator found in the global address book at **OSB E-Filing Admin BSF**.

1) **Setting the dollar amount for the unsecured assets flag:** The generic amount for this flag has been set at $100,000. Division offices can, with DAS approval, ask that this amount be adjusted to an appropriate figure for their area.

2) **Creating trustee/administrator users:** Before a trustee/administrator can e-file, he/she must send a request to the DAS, which the DAS will forward to the HQ system administrator, to create the trustee/administrator user and set his/her e-filing privileges. The HQ system administrator will let the DAS know when this has been done.

3) **Maintaining division office profile:** Each division office has a user profile that contains its address, phone number and email address. The HQ system administrator keeps this information up to date.

3. Other

Postal code additions/corrections are communicated through the Help Desk.

Glossary

Administrator (*see* Consumer Proposal Administrator)

After Acquired Property

Property acquired by the bankrupt after the date of bankruptcy.

Amended

The label in the estate index for any document received after an original has already been received. The document may or may not contain an actual amendment, so it must be looked at to determine whether there are changes. An amended document may or may not be flagged. If flagged, the flag will say "subsequent form xx". The flag message may also indicate that data entry could be required. (for more information, refer to Subsequent)

Assessment

An evaluation of an individual debtor's circumstances in which the financial situation of the debtor is considered along with the various options available to the debtor. These options are explained to the debtor, who is then able to make an informed decision as to which option to pursue. The assessment is carried out by the trustee, usually with the assistance of a qualified staff member. In the case of a consumer proposal, the proposal administrator is qualified to carry out the assessment. Directive 6R sets out the criteria to be followed in conducting assessments.

ATG Control Centre

A component of the ATG product suite that provides developers and system administrators with access to the e-filing system. The HQ system administrator has access to specific sections of the control centre to make appropriate changes. ATG is the name of the company that developed the system software. The abbreviation ACC is also used for ATG Control Centre.

Audit

A thorough review of a selection of a trustee's files carried out by an OSB auditor. The auditor files a report on the trustee's overall standards of administration with the DAS of the divisional office in the locality of the trustee.

Bankrupt's Discharge (*see* Discharge)

Bankruptcy

The legal process by which an insolvent debtor can absolve him/herself of the liability to pay off debts in return for surrendering his estate for the benefit of his creditors. Bankruptcy occurs when a debtor files an assignment in bankruptcy, is deemed by law to be bankrupt upon certain circumstances occurring or is ordered into bankruptcy by the court.

Bankruptcy Assistance Program (BAP)

An OSB program to help insolvent debtors access the bankruptcy process in cases where their estates have insufficient assets to cover the trustee's administrative costs. Trustees who voluntarily participate in the program are assigned on a rotational basis to accept such estates, even though there is no assurance of payment for their services.

Bankruptcy Trustee (*see* Trustee in Bankruptcy)

Bond

A type of insurance acquired by the trustee of an estate to safeguard the value of estate assets against loss and/or embezzlement.

Browser

A type of software that allows you to navigate the Internet, e.g. Netscape Navigator, Internet Explorer.

Browse Button

Clicking the "browse" button in the e-filing system opens a new window that permits you to find a file on your computer system.

Bulk Filing

Storing documents from different estates together in the same location; thus documents from different estates could be filed consecutively.

Business Bankruptcy

A bankruptcy in which the principal debts were incurred as the result of operating a business (for more information, refer to Consumer Bankruptcy).

Business Proposal (*see* Proposal)

Code of Ethics

Rules 34 to 53 of the Rules section of the *Bankruptcy and Insolvency Act*. This code sets the general ethical standards for the conduct of trustees (for more information, refer to Rules).

Commercial Reorganization

Another term for a business restructuring its debts either under the *Companies' Creditors Arrangement Act* or a Division I proposal (for more information, refer to Division I proposal).

***Companies' Creditors Arrangement Act* (CCAA)**

Legislation for the reorganization of a business's debts through a judicial proceeding in which the court approves a repayment plan that becomes binding on the creditors. The intent is similar to a Division I proposal but is less structured. Where the debts of a business are less than $5 million, the business must use the proposal provisions of the *Bankruptcy and Insolvency Act* rather than the CCAA.

Complex Estates

A feature in the e-filing system for keeping estates under close scrutiny. When an estate is marked "complex," most business rules cease to run, and every document submitted will trigger an action flag. Criteria for marking an estate as complex have not been established as of the publication of this manual. Estates will be assessed on a case-by-case basis and these situations will be captured in this manual as they occur.

Connected

An estate is considered connected when a new proceeding comes into the e-filing system and there is already a proceeding for the same individual that has not been discharged. The exact items checked by the e-filing system are:

- bankrupt discharge status on the prior proceeding is blank;
- the prior proceeding is a bankruptcy that is not absolutely discharged, including a suspended discharge with a date in the future; or
- in the case of a Division II Proposal, the bankrupt discharge status on the prior proceeding is a code 11.

For more information, see "Processing rules related to prior proceedings," p. R.10.

Consumer Bankruptcy

A bankruptcy in which the majority of the debts were incurred as the result of consumer spending (for more information, refer to Business Bankruptcy).

Consumer Proposal (*see* Division II Proposal)

Consumer Proposal Administrator

A person responsible for administering a consumer proposal. A consumer proposal administrator is designated by the Superintendent of Bankruptcy to administer proposal estates. Bankruptcy trustees may also fill this role.

Conversion to Ordinary

The changeover of a summary administration bankruptcy estate to an ordinary administration. This is done at the discretion of the official receiver. Trustees may request the conversion but the authority lies with the official receiver, with leave to appeal to the court. (for more information, refer to Summary Administration and Ordinary Administration)

Court Order

The court's ruling on some matter that has been brought before it. This term is also used for the written transcript of the order signed by the judge/registrar.

Creditor

A person, including a corporation, who has a provable claim in the bankruptcy. In some cases it may also apply to anyone believed to have a claim provable in the insolvency proceeding. Creditors fall into different classes. (for more information, refer to Secured Creditors)

Creditors' Meeting Minutes

The formal meeting notes of a meeting of creditors. They include the details of the proceedings including motions passed, the attendance list and the trustee's preliminary report to the creditors when that report is in written form.

Date of Bankruptcy

The date on which an insolvent debtor entered the state of being bankrupt. This may be:

- the date on which the official receiver accepted the filing of an assignment;
- the date the court issued a receiving order placing a debtor into bankruptcy;
- the date on which a Division I proposal was rejected by the creditors or the court;
- the date on which the court annulled a Division I proposal;
- the date on which a debtor failed to file a proposal or cash flow statement within the required time after having filed a Notice of Intention; or
- the date on which the court refused or annulled a Division II proposal by a bankrupt.

(for more information, refer to Date of Initial Bankruptcy Event)

Date of Initial Bankruptcy Event (DIBE)

The date on which the proceeding that culminated in bankruptcy occurred. This date is important for Stay of Proceeding purposes, which affect creditors' rights and claims. This date may coincide with the date of bankruptcy or it may be different. Some examples of when the date of the initial bankruptcy event varies from the date of bankruptcy include:

- the filing date of a Division I proposal that is rejected by the creditors or the court;
- the filing date of a Notice of Intention where it leads ultimately to a bankruptcy;
- the filing date of the first petition for a receiving order that is subsequently granted;
- the filing date of a proposal where an assignment in bankruptcy is filed pending court approval of the proposal; or
- when a voluntary assignment is filed while another insolvency proceeding is in process.

Debtor

A person who is financially indebted to another. Debtors may be either solvent or insolvent. (for more information, refer to Insolvency; Insolvent Persons)

DIBE (*see* Date of Initial Bankruptcy Event)

Directives

Instructions issued by the Superintendent of Bankruptcy to define how various administrative procedures of the *Bankruptcy and Insolvency Act* are to be carried out. The directives establish uniform standards of administration and are legally enforceable. The directives can be found on the OSB Web site, under the "Trustee Information and Services" section.

Discharge

A release from obligations under the *Bankruptcy and Insolvency Act*. A bankrupt's discharge releases the bankrupt from the responsibilities imposed by the BIA and from the obligation to pay debts that are dischargable under the BIA. A trustee's discharge releases the trustee from the administrative duties imposed by the BIA, and its rules and directives. If new matters arise in an estate after the trustee has been discharged, that trustee remains the trustee of record to deal with those matters (for more information, refer to Discharge Order—Bankrupt; Discharge Order—Trustee).

Discharge Order—Bankrupt

An order of the court or deemed order pertaining to the bankrupt's release from bankruptcy.

Discharge Order—Trustee

An order of the court releasing the trustee from carrying out any further tasks in relation to the administration of an estate, except those incidental to the completion of the estate.

Division I Proposal

A proceeding under the *Bankruptcy and Insolvency Act* for the repayment, or partial repayment, of debts according to terms to be agreed on by the creditors and the court. The agreed-on terms replace the original obligations of the debtor and the debts are discharged on fulfilment of the proposal terms. Division I proposals are sometimes referred to as commercial reorganizations, although the procedure can be used by individuals with either business or consumer debts. (compare with Division II proposal)

Division II Proposal

A proceeding under the *Bankruptcy and Insolvency Act* for the repayment, or partial repayment, of debts according to terms to be agreed on by the creditors and the court. The agreed-on terms replace the original obligations of the debtor and the debts are discharged upon fulfilment of the proposal terms. This simplified procedure is available only to individual debtors and differs from a Division I proposal in that the debts should not exceed $75,000 or such other maximum as is prescribed, not including a mortgage on the debtor's principal residence. Although often referred to as a consumer proposal, any non-corporate debtor, including businesses that meet the eligibility criteria, may file a Division II proposal.

Drop-Down List

A list of options that displays as a single-item text box until you select the command, which causes a list of options to drop down (source: *Webster's New World Dictionary of Computer Terms*, 8th edition). After you "drop down" the list, you can choose one of its options by clicking the left mouse button.

EIS—Estate Information Summary

A non-prescribed form that the OSB requires trustees and administrators to file with all new proceedings. It provides a summary of basic information required for OSB records. An electronically filed EIS automatically populates IMPACT; the information on a paper EIS is recorded in IMPACT by data entry clerks.

Encryption

Technical process used to transform data into a secure scrambled form that ensures it can only be used by a person who has the key to restore it to its original form.

Estate Assets

All the assets of a debtor.

Estate Information Summary (*see* EIS—Estate Information Summary)

Estate Bonds

Estate bonds are taken out by the trustee of an estate to insure the assets of an estate against loss. The official receiver is given the authority under the *Bankruptcy and Insolvency Act* to set a bond and to specify the amount of the bond. The bond is then required to be filed with the official receiver (directive 13 applies).

Estate Number

A number assigned by the OSB to each estate filed. The number is preceded by a two-digit divisional office identifier, followed by a six-digit estate number in the e-filing system and four to six digits for paper files. Estate numbers are assigned to bankruptcy estates, proposals, receiverships, petitions for receiving orders and notices of intention.

Examination

An examination is a series of prescribed questions posed to someone under oath. Several types of examinations of the debtor may be conducted under the authority of the *Bankruptcy and Insolvency Act*. The most common examination is conducted by the official receiver pursuant to Section 161 of the BIA. The trustee and the creditors also have the right to examine the debtor and others under oath pursuant to Section 163 of the BIA.

Exempt Property

Property exempted from seizure by either federal or provincial statute. Exemptions vary from province to province. Exemptions are recognized in bankruptcy and constitute property that cannot be made available to the creditors.

Filing Information Sheet (*see* EIS—Estate Information Summary)

Firewall

A security measure designed to protect an informatics system from unauthorized access.

Forms, Prescribed (*see* Prescribed forms)

Fraudulent Preference

A payment made to a creditor with the intention of preferring that creditor for payment over other creditors. Time frames set in the *Bankruptcy and Insolvency Act* in which a payment may be regarded as a fraudulent preference vary according to circumstances. The court has the power to order restitution to the estate if a payment is judged to be a fraudulent preference. Although the term fraudulent is used, a fraudulent preference is treated as a civil matter and not as a criminal offence.

Hardcopy

A paper document.

Homepage

A document intended to serve as an initial point of entry to a Web site or related documents.

HTML

Abbreviation for Hyper Text Markup Language, a markup language for identifying the portions of a document so that, when accessed by a program called a Web browser (e.g., Netscape Navigator, Internet Explorer), each portion appears with a distinctive format. HTML is the markup language behind the appearance of documents on the World Wide Web. (source: *Webster's New World Dictionary of Computer Terms*, 8th edition)

HTTP

Abbreviation for Hypertext Transfer Protocol, the Internet standard that supports the exchange of information on the World Wide Web. (source: *Webster's New World Dictionary of Computer Terms*, 8th edition)

Hyperlink

In a hypertext system, an underlined or otherwise emphasized word or phrase that displays another document when clicked with the mouse. (source: *Webster's New World Dictionary of Computer Terms*, 8th edition)

IMPACT

The database used to record information about each insolvency estate proceeding filed with the OSB. The information helps support the public record.

Insolvency

A financial state in which a debtor is unable to meet his/her financial obligations as they become due or has ceased to do so. It is contrasted with bankruptcy, which is the legal state a debtor enters when becoming a bankrupt. (for more information, refer to Bankruptcy)

Insolvent Persons

The BIA defines insolvent persons as:

> Persons who are not bankrupt and who reside or carry on business in Canada or have property in Canada, and
>
> - who are $1,000 or more in debt; and
> - who are unable to meet their obligations as they generally become due; or
> - who have ceased paying their debts; or
> - the aggregate of whose property if disposed of under legal process is not sufficient to enable payment of all their obligations.

A debtor ceases to be insolvent on becoming a bankrupt.

Inspectors

A committee elected by the creditors to represent the interests of the creditors and generally monitor the administration of the estate. Inspectors can assist the trustee in granting authorizations that would otherwise require court orders.

Interim Receiver

A licensed trustee appointed by the court to safeguard the estate assets for a temporary period during which the court determines the outcome of a proceeding prior to the approval of a proposal or the making of a receiving order.

Joint Assignments

Two or more estates that, according to criteria set out in Directive 2R, may be administered jointly as though they were one estate. Only consumer proposals and summary administration bankruptcies may be dealt with this way. To be processed as a joint filing, the debts of the individuals must be subtantially the same and the trustee/administrator must be of the opinion that this is in the best interest of debtors and creditors.

JPEG

Abbreviation for Joint Photographic Experts Group, an image compression format used to transfer colour photographs and images over computer networks. JPEG is one of the most common ways images are moved over the Web or through electronic mail. (source: *Webster's New World Dictionary of Computer Terms*, 8th edition)

Letter of Comment

A letter prepared for the Superintendent of Bankruptcy that comments on the administration of the estate. The letter is issued to the trustee or consumer proposal administrator following a review of their accounts. Any deficiencies will be noted in the letter and the registrar of the court will take note of the comments upon taxing the trustee's or administrator's accounts. (for more information, refer to SRD; Taxation)

Locality of the Debtor

The principal place where a debtor lived or carried on business during the year preceding the bankruptcy or proposal. Should that not be applicable, it is the locality where the greater portion of the debtor's assets are located. Proceedings under the *Bankruptcy and Insolvency Act* must be filed with the official receiver in the locality of the debtor.

Mediation

A process where a senior bankruptcy analyst acts as a mediator in cases where the amount of surplus income payments a bankrupt has agreed to pay into the bankruptcy estate are disputed by either the trustee or the creditors. Where no agreement is reached, the court may set an amount it considers reasonable in the circumstances.

Merge

The bringing together of two or more estates to be administered jointly, even thought they were originally filed as separate proceedings. (for more information, see Joint Assignments; "Merging a file," p. S.5); "Splitting a file," p. S.6)

Monitoring

An OSB program handled by senior bankruptcy analysts to review trustees' documentation in a random selection of estates. Monitoring is intended to provide a snapshot of the overall level of administrative standards for a particular trustee. It is not as intensive as a full audit. (for more information, refer to Audit)

Monthly Income and Expense Statement (Form 65)

The *Monthly income and expense statement of the bankrupt and the family unit and information concerning the financial situation of the individual bankrupt* (Form 65) is used to report the monthly income and expenses of an individual bankrupt and to calculate what portion of the bankrupt's income should be paid to the bankruptcy estate as surplus income.

Navigation Bar

The set of task bars at the top of each screen of the e-filing system.

Office of the Superintendent of Bankruptcy (*see* OSB)

Official Receiver

An officer of the court appointed by the Privy Council and authorized by the *Bankruptcy and Insolvency Act* to receive assignments in bankruptcy and accept or reject the assignments depending on whether the proper criteria have been met. Official receivers are also empowered to examine a bankrupt under oath and chair the first meeting of creditors.

Opposition

An opposition can be filed against either the discharge of the bankrupt or the discharge of the trustee. An objection to the bankrupt's discharge is required to be filed with the court and include a notification requesting that the bankrupt not be discharged and that the court hear the application for discharge; this notification must be sent to the OSB, trustee and bankrupt. At the court hearing the registrar will hear the reasons for the objection before ruling on the bankrupt's entitlement to be discharged. A creditor who has a provable claim in the bankruptcy, the trustee or the OSB may oppose the discharge of a bankrupt. (for more information, refer to Discharge Order—Bankrupt)

OR (*see* Official Receiver)

Orderly Payment of Debts

A program, offered by certain provincial governments, allowing a debtor to consolidate his/her debts by making regular payments to the court or its delegate. The received funds are then distributed among the creditors on a pro rata basis, thus discharging the debtor from his/her debt.

Ordinary Administration

All bankruptcy estates that do not meet the criteria for a summary administration are administered pursuant to the general provisions of the *Bankruptcy and Insolvency Act*. The administrative criteria for ordinary administrations are more demanding than for summary administrations and are therefore used in corporate estates and larger personal bankruptcies where there are significant assets. Trustee fees in ordinary administrations are taxed by the court. (for more information, refer to Summary Administration)

OSB

Office of the Superintendent of Bankruptcy. The OSB is an agency of Industry Canada. Its chief function is to ensure that insolvency and bankruptcy estate administrations follow statutory requirements and standards.

PDF

Abbreviation for Portable Document Format, an electronic format that creates an "image" of a document. The document looks exactly the same either on screen and in print, regardless of which computer or printer is used and regardless of what software was originally used to create it.

Petition

A creditor's request to the court to issue a receiving order against the assets of a debtor. The court schedules a hearing to consider the petition and any defence the debtor presents. If the court grants the petition, it issues a receiving order against the assets of the debtor and gives custody of the assets to a trustee in bankruptcy named in the order. On a receiving order being issued, the debtor becomes bankrupt. This is not to be confused with a voluntary assignment. (for more information, refer to Receiving Order; Voluntary Assignment)

Preference (*see* Fraudulent Preference)

Preferential Payment (*see* Fraudulent Preference)

Preliminary Report

An oral or written report of the trustee, delivered to the creditors at the first meeting of creditors, elaborating on the trustee's investigation of pertinent facts related to the bankruptcy, the actions taken to date and any issues that have been identified. The report also attempts to make an estimate of possible recoveries. For ordinary administration bankruptcies and Division I proposals, the report must be in written format. For summary administrations and consumer proposals, the report may be either written or oral.

Prescribed Form

A form with a specific title and number, e.g., Form 79—*Statement of affairs (non-business bankruptcy)*, found in Schedule III of the *Bankruptcy and Insolvency Act* (BIA). Prescribed forms refer back to sections of the BIA. The Superintendent has the power, by directive, to prescribe and authorize BIA forms.

Property

The assets of the bankrupt. The definition is broad enough to include any interest or entitlement in addition to physical property that may have a cash value that the bankrupt had at the date of bankruptcy or that may accrue to the bankrupt prior to his/her discharge.

Proposal

An arrangement for the payment of all debts provable in bankruptcy, either in full or in part, in which the debtor offers terms of repayment. If accepted by the creditors and the court, the terms become the new legal obligations of the debtor. On meeting the agreed terms, the debts are discharged, even if the original debt was not paid in full. (for more information, refer to Division I Proposal; Division II proposal; *Companies' Creditors Arrangements Act* (CCAA); Orderly Payment of Debts)

R&D (*see* SRD)

Receiver

A person, who does not have to be a trustee, charged with the responsibility of seizing and liquidating the assets of a debtor. Receivers are appointed by the court, or privately appointed by secured creditors, to realize on the creditor's security. Receivers who take possession or control of all, or substantially all, of a business's assets must file a *Notice and statement of the receiver* (Form 87) with the OSB.

Receivership

The administration handled by a receiver. Also, the state of being under the control of a receiver (e.g., the company is in receivership).

Receiving Order

An order of the court directing that the debtor's assets be turned over to a trustee in bankruptcy. The order is issued on consideration of a petition filed against the debtor by a creditor. On a receiving order being issued, the debtor becomes bankrupt. (for more information, refer to Petition)

Registrar

An officer of the court, ranking just below a judge, who handles many of the more routine court functions for insolvency and bankrupt estates: the hearing of the bankrupt's application for discharge, the taxation of the trustee's accounts and the trustee's application for discharge.

Report of Examination

A report prepared by the official receiver (OR) that accompanies the completed examination of a bankrupt. The report highlights those matters that, in the opinion of the OR, are relevant to the administration. Although the report follows a standard format, it is not an official form.

Reviewable Transaction

A transaction carried out between the bankrupt and a party, not dealing at arms length, in which the amount received or paid in the transaction was substantially inconsistent with fair market value. If the transaction occurred within one year of the initial bankruptcy event, the trustee may seek restitution for the difference between the true value and the paid value of the transaction.

Rules

Defined standards for the implementation of requirements found in the *Bankruptcy and Insolvency Act*. The Rules form an appendix to the Act. The Rules contain, among other things, a Code of Ethics for trustees, the formulas for trustee fees and allowances and filing fees. (For more information, refer to Code of Ethics)

Screen Resolution

The number of pixels (dots) per inch on a computer screen. The e-filing system runs optimally with the following screen resolution: 1024 by 768.

Secured Creditors

A person, including a corporation, holding a mortgage, lien or other like instrument on or against the property of a debtor as security for a debt due to the person or corporation from the debtor. (section 2.1 of the *Bankruptcy and Insolvency Act*). (for more information, refer to Creditors)

Severed

Two proceedings for the same debtor that are not connected, as the debtor has been absolutely discharged or has fully performed the former proceeding prior to initiating the next proceeding. (for more information refer to Connected)

Softcopy Documents

With respect to the e-filing system, any electronic document other than a prescribed form. There are two ways in which a softcopy document may be entered into the e-filing system:

1. by uploading an electronic version of a document created using software such as WordPerfect or Excel; or
2. by digitalizing (using a scanner or fax/modem) a paper document into an image file and uploading the electronic image.

Split

A split occurs when two or more estates that have been filed jointly have become separate administrations. (for more information, refer to "Merging a file," p. S.5; "Splitting a file," p. S.6)

SRD

Statement of receipts and disbursements (also called R&D). The trustee's statement of account prepared at the completion of an administration shows all monies received, all disbursements paid, all dividends due to creditors and the trustee's fee calculation. An official receiver reviews the SRD and ensures all administrative requirements have been met. A letter of comment is then issued indicating whether administrative deficiencies have been noted. If deficiencies have been noted, the trustee is required to present the letter of comment along with the SRD to the registrar of the court at the time of taxation of the trustee's accounts.

Staging Table

An electronic 'waiting room' where an estate is held after it has been processed by the e-filing system, until it is 'picked up' and populates IMPACT. Estates are held in a staging table in the order in which they arrive.

Statement of Affairs

A listing of the estimated value of the bankrupt's assets and the names and addresses of creditors and the amounts owed, prepared with the assistance of the trustee. Depending on the nature of the bankruptcy, different information is required. Form 78 is used for business bankruptcies and Form 79 is used for non-business bankruptcies.

Statement of Receipts and Disbursements (*see* SRD)

Stay of Proceedings

A restriction against further legal actions taken by creditors against a debtor. The restriction goes into effect on the issuance of a receiving order or the filing of an assignment in bankruptcy, notice of intention or proposal. Some exceptions to the general restriction apply.

Style Sheet

A template for a prescribed form that is displayed on screen with the data received from a trustee/administrator for that form. When a prescribed form is uploaded to the e-filing system, only certain data are sent from the trustee/administrator's software. These data are then entered into corresponding data fields in the e-filing system. When someone wants to look at a prescribed form, an image of that form, with those data fields filled, is displayed on the screen.

Subsequent

Any document received in the e-filing system after an original has already been received (e.g., a subsequent 170 report would be any 170 report submitted after the original 170 report). Subsequent documents may be flagged depending on the business rules run. The document flag will indicate *subsequent*, and may or may not indicate whether IMPACT data entry is required based on the appropriate work flow. (for more information, refer to Amended)

Summary Administration

A simplified administration process for non-corporate bankruptcies in which the estate assets are not expected to exceed $10,000. Trustee fees and disbursements in a summary administration are set by a tariff formula (Rule 128). If the receipts of the estate exceed $10,000, the Official Receiver will allow the estate to retain its summary status if the trustee agrees to cap his/her fees at the amount allowed on $10,000.

Superintendent of Bankruptcy

The senior public official appointed by the Governor in Council to oversee the administration of insolvency and bankruptcy proceedings subject to the *Bankruptcy and Insolvency Act*.

Surplus Income

The portion of income an individual bankrupt is required to pay into the estate during bankruptcy. The required amounts are set out in Directive 11.

Tariff

Formulas and rates set out in Rules 128 to 130 of the *Bankruptcy and Insolvency Act* governing the fee and disbursement allowances of trustees for summary administration bankruptcies, consumer proposals and counselling sessions.

Taxation

A court procedure handled by the registrar to determine the fee entitlement of a trustee/administrator. The procedure is required in all bankruptcy and proposal estates, except summary estates and consumer proposals where neither the OSB nor any creditor have requested taxation. (for more information, refer to Registrar)

Text Field

A text box in which you can type text. Click in the text field before starting to type.

Trustee Compliance Database (TCD)

A tool in IMPACT that documents the level of compliance of each trustee. The TCD provides the OSB with an overall picture of the level of trustee compliance at the national level.

Trustee in Bankruptcy

A person licensed by the Superintendent of Bankruptcy to administer bankruptcy and proposal estates.

Trustee's Discharge (*see* Discharge)

Trustee/Administrator Screens

The screens trustees/administrators see when using the e-filing system. Trustees/administrators can submit electronic documentation, answer Web page questions and upload softcopy documents using these screens.

Upload

Sending a file from a computer to the e-filing system throught the Internet.

Voluntary Assignment

A bankruptcy commenced as a result of the debtor's own decision. The debtor becomes bankrupt when an assignment in bankruptcy is accepted by an official receiver.

XML

Abbreviation for eXtensible Markup Language. XML enables more sophisticated hyperlinks than HTML, including links that point to multiple documents or retrieve material that is dynamically incorporated into the linking page. (Source: *Webster's New World Dictionary of Computer Terms*, 8th edition)

Office of the Superintendent of Bankruptcy Canada
An Agency of Industry Canada

Bureau du surintendant des faillites Canada
Un organisme d'Industrie Canada

Flag Responsibility

Reference Guide

Canada

OSB • BSF

Protecting the Integrity of the Insolvency System

Protéger l'intégrité du système d'insolvabilité

Flag Responsibility Reference Guide

Flag	Responsibility	Page
170 Report after more than 8 months	PM-2	G.1
170 Report has fewer assets than SofA	PM-2	M.1
170(3) Report on file. IMPACT data entry may be required	PM-2	M.27, M.34
A		
A value for non-discretionary/other expenses exists	PM-2	K.30
After meeting date corrected, generate amended certificate of filing	CR/PM-2	F.23
Alert	PM-2	E.3
Amended Div II, creditor meeting requested. Data entry required.	PM-2	F.20
Amended SRD submission	PM-2	H.2
Amount refunded to debtor	PM-2	H.8
Answer to the deceased question is different from that on the previous proceeding	PM-2	K.25
Appendix A included	PM-2	M.2
Appendix A missing despite surplus income on monthly income and expense statement	PM-2	M.3
Arrival more than 30 days after the date of automatic discharge	CR	M.20
Arrival more than 30 days after the date trustee-imposed conditions were met	CR	M.23

Flag	Responsibility	Page
B		
Bankrupt available monthly income different than on initial Form 65	PM-2	M.4
C		
Certificate of compliance (Form 16) not yet submitted against Div II portion of estate	PM-2	O.2
Certificate of compliance (Form 16) not yet submitted against summary administration portion of estate	PM-2	I.2
Certificate of full performance (Form 57) on file (Form 47 submitted)	PM-2	L.27
Certificate of full performance (Form 57) on file (Form 48 submitted)	PM-2	L.15
Certificate of full performance (Form 57) on file (Form 49 submitted)	PM-2	L.16
Certificate of full performance (Form 57) submission, IMPACT already contains discharge information	PM-2	I.1
Conflict of interest information is different than previous proceeding	PM-2	K.24
Corollary debt is different than on previous proceeding	PM-2	K.22
Court fee after Form 84 or 85	PM-2	N.4
Court fee is zero, court order on file	PM-2	O.6
Court order of discharge of bankrupt or Notification of adjournment on file. IMPACT data entry may be required.	PM-2	M.28, M.35
Court order required for Div II filing, previous failed Div II	PM-2	E.17

Flag	Responsibility	Page
Creditor meeting date more than 21 days from date amended proposal was filed	PM-2	L.32
Creditor meeting date more than 66 days from date of filing	PM-2	L.10
Creditor meeting date/time is different from EIS	PM-2	L.17
Creditor meeting requested	PM-2	E.9
Creditor opposition to bankrupt's application for discharge on file	CR	G.2
Creditor opposition to bankrupt's application for discharge on file. IMPACT data entry may be required	PM-2	M.29, M.36
D		
Date of bankruptcy and date of discharge are not 9 months and 1 day apart	PM-2	M.21
Date of birth different than previous proceeding	PM-2	K.27
Date of birth does not match previous proceeding	PM-2	D.21
Debtor has a non Canadian address	PM-2	D.2
Disbursement related to the realization of assets	PM-2	N.2
Div II amended, no minutes on file	PM-2	O.7
Div II by a bankrupt, different trustee	PM-2	K.18
Document conversion failed	CR	F.1

Flag	Responsibility	Page
E		
E-filing selected court division – new or missing postal code	CR	E.7
E-filing selected court division – postal code not mapping to jurisdiction	CR	E.8
E-filing selected division office – new or missing postal code	PM-2	D.8
E-filing selected division office – postal code not mapping to jurisdiction	PM-2	D.9
Estate name different than previous proceeding	PM-2	E.16
Estate of a deceased. IMPACT data entry may be required	PM-2	M.32, M.39
Estate type not supported in e-filing, change to paper	PM-2	F.35
Examination requested	PM-2	E.10
F		
Family available monthly income different than on initial Form 65	PM-2	M.5
Family unit refused to divulge financial information	PM-2	K.7
File changed from paper	CR	P.1
File changed from paper (first submission)	CR	J.1
Filing in designated area	PM-2	K.1
Form 60 submission	CR	F.7
Form 67 received for a first-time bankrupt	PM-2	L.5
Form 70 received for a first-time bankrupt	PM-2	L.6

Flag	Responsibility	Page
Form 71 submission	PM-2	L.1
Form 81 on file. IMPACT data entry may be required	PM-2	M.31, M.38
Form 84 on file. IMPACT data entry may be required	PM-2	M.24, M.33
Form 85 on file. IMPACT data entry may be required.	PM-2	M.25, M.26
Form 88 submission	CR	F.9
G		
Generate certificate of appointment	PM-2	E.1
Generate certificate of filing	PM-2	E.2
Guaranteed debtor is bankrupt	PM-2	K.2
H		
Hearing date is less than 30 days away	CR	I.3
Hearing date set at least 10 days in advance	PM-2	L.18
Hearing date set less than 15 days in advance	PM-2	F.15
I		
Indemnity is different than previous proceeding	PM-2	K.26
Inspector field contains information. Resolution included	PM-2	N.7, O.16
Inspector field contains information. Resolution not included	PM-2	N.6

Flag	Responsibility	Page
J		
Joint filing with 3 or more estates	PM-2	H.7
L		
Language of the debtor different than previous proceeding	PM-2	E.15
Levy calculation error	PM-2	H.10
Levy is not 5%	PM-2	O.1
M		
Meeting date different than notice (Form 50)	PM-2	L.25
Meeting date is outside the parameters	CR/PM-2	F.22
Minutes not on file	PM-2	L.29
N		
NAICS code required	CR/PM-2	E.13
Negative receipts	PM-2	N.1
No proven claims exist	PM-2	O.8
No unsecured debts on SofA (Form 79)	PM-2	K.31
Notice of creditors meeting (Form 50) received within 10 days	PM-2	L.9
Notice of deemed annulment (Form 56) received, estate already deemed annulled	PM-2	L.12

Flag	Responsibility	Page
Notice of hearing (Form 51.1) not received	PM-2	L.19
Notice of hearing (Form 51.1) received	PM-2	L.22
Notice of hearing (Form 51.1) received, proposal already annulled	PM-2	L.24
Notice of hearing (Form 51.1) received, proposal already withdrawn/rejected/refused	PM-2	L.23
Notice of hearing for taxation (Form 59) submission	CR	O.11
Notice of hearing for taxation (Form 59) submission, proposal is withdrawn/rejected/refused/annulled	CR	O.4
Notice of intended opposition on file	PM-2	M.22
Notice of meeting of creditors (Form 50) on proposal with inactive status	PM-2	L.8
Notice of status (Form 52) received, proposal withdrawn/rejected/refused or bankruptcy reinstated	PM-2	L.26
Notice of status (Form 52) submission, status is provided in the text field	PM-2	F.31
Notice/report of annulment (Form 53) received	PM-2	L.13, O.10
O		
OSB opposition to bankrupt's application for discharge on file. IMPACT data entry may be required	PM-2	M.30, M.37

Flag	Responsibility	Page
P		
Percent business debt is now greater than 50%	CR/PM-2	F.32
Potential conflict of interest	PM-2	E.11
Previous bankrupt	CR	E.12
Previous bankruptcy information different than previous proceeding	PM-2	K.23
Previous bankruptcy information differs on SofA and EIS	PM-2	K.4
Previous/current proceeding for only one debtor in this joint file	PM-2	K.29
Previous Div I annulled by the court, no bankruptcy	PM-2	K.28
Previous financial advice paid for	PM-2	K.17
Previous proceeding indicates interim receiver	CR	K.19
Previous proceeding is an active receivership	CR	K.20
Previous proceeding was a receivership	CR	K.20
Proposal already deemed annulled	PM-2	L.21
Proposal already withdrawn/rejected/refused	PM-2	L.20
Proposal completed more than 60 months from date of filing	PM-2	O.3
Proposal refused by court	PM-2	F.16
Proposal withdrawn after deemed court approval	PM-2	F.17

Flag	Responsibility	Page
R		
Report of administrator (Form 48) has not been received	PM-2	L.28
Report of conduct (Form 51) received less than 10 days in advance of hearing	PM-2	F.13
Report of conduct (Form 51) submission, creditor meeting indicated, no minutes attached/on file	PM-2	F.14
Report on annulment (Form 54) received	PM-2	F.18, I.8
Request an updated EIS	PM-2	F.21
Request updated EIS, Div II amended at meeting	PM-2	F.24
Required surplus > $100	PM-2	K.6
Review amended Div II	PM-2	F.19
Review counselling fee(s)	PM-2	H.9
Review Div II initial filing	PM-2	K.21
Review examination information	PM-2	M.18
Review other disbursements	PM-2	H.6
Review SI flag	PM-2	M.19

Flag	Responsibility	Page
S		
Secured creditor payment	PM-2	N.13
SRD (Form 13) received on summary portion of estate	CR	I.5
SRD (Form 14) received on Div II portion of estate	PM-2	I.4
SRD flag in IMPACT	PM-2	H.1
SRD receipts greater than EIS proposal amount	PM-2	O.9
SRD receipts less than EIS proposal amount	PM-2	O.9
SRD sampled	PM-2	H.13
Submission against an annulled bankruptcy	PM-2	L.14
Submission of application to court	PM-2	F.10
Submission of change of debtor date of birth	PM-2	F.3
Submission of change of debtor name	CR	F.2
Submission of court order annulling bankruptcy	PM-2	F.12
Submission of court order annulling Div II (bankrupt) (Form 54.1) and no report of annulment (Form 54) on file	PM-2	F.26
Submission of court order annulling Div II (non-bankrupt) (Form 53.1) and no report on annulment (Form 53) on file	PM-2	F.25
Submission of court order of discharge of administrator	PM-2	I.9

Flag	Responsibility	Page
Submission of court order of discharge of bankrupt or notification of adjournment	CR	G.3
Submission of court order of discharge of trustee	CR	H.11
Submission of creditor opposition to discharge of trustee	CR	H.12
Submission of detail trial balance	PM-2	N.15
Submission of discharge order for previous proceeding – no data entry required	PM-2	F.27
Submission of financial statements	PM-2	L.3
Submission of Form 53.1	PM-2	F.36
Submission of Form 54.1	PM-2	F.37
Submission of minutes of first meeting of creditors	CR	F.4
Submission of other softcopy document	PM-2	F.30
Submission of report of the administrator on Div II	PM-2	L.11
Submission of request for change of status	PM-2	F.5
Submission of request for court review of proposal	PM-2	L.31
Submission of request for examination of bankrupt	CR	F.6
Submission of request for remote/telephone counselling	PM-2	F.29
Submission of taxed copy of legal fees	PM-2	N.16
Submission of taxed SRD	CR	N.14, O.17

Flag	Responsibility	Page
Submission of trustee's report to the creditors on preliminary administration	PM-2	L.4
Subsequent final SRD submission	PM-2	H.4, I.10
Subsequent Form 65 submission	PM-2	F.8
Subsequent Form 71	PM-2	L.2
Subsequent notice of creditors meeting (Form 50) submission. IMPACT data entry may be required	PM-2	L.7
Summary administration submitted before Div II has been updated to annulled	PM-2	D.19
Supplemental SRD submission	CR	H.3
Supplementary SRD (Form 13) received on summary portion of estate	PM-2	I.7
Surplus income amount different than on initial Form 65	PM-2	M.6
T		
Tax miscalculation on counselling fees	PM-2	N.3
Tax miscalculation on remuneration	PM-2	N.5
Terms of proposal altered at creditor meeting, IMPACT data entry may be required	PM-2	F.34
Three or more debtors listed on EIS	PM-2	D.20
Total assets exceed $10,000	PM-2	K.8
Total liabilities are different from those on the original Statement of affairs (Form 79)	PM-2	L.30

Flag	Responsibility	Page
Total proposal amount on EIS is undefined	PM-2	O.5
Total unsecured liabilities exceed $100,000	PM-2	K.9
Trade name(s) different than on previous EIS	PM-2	F.33
Trustee has chosen court division – new or missing postal code	CR	E.5
Trustee has chosen court division – postal code not mapping to jurisdiction	CR	E.6
Trustee has chosen division office – new or missing postal code	PM-2	D.4
Trustee has chosen division office – postal code not mapping to jurisdiction	PM-2	D.5
Trustee has overwritten court division – postal code mapping did not fail	CR	E.4
Trustee has overwritten division office – postal code mapping did not fail	PM-2	D.7
Trustee indicated estate of a deceased	CR	K.5
Trustee indicated: inspectors appointed and approved. Inspectors' resolution not included	PM-2	O.12
Trustee indicated: inspectors appointed and approved. Resolution included	PM-2	N.11, O.14
Trustee indicated: inspectors appointed and approved. Resolution not included	PM-2	N.9
Trustee indicated: inspectors appointed and not approved. Inspectors' resolution not included	PM-2	O.13
Trustee indicated: inspectors appointed and not approved. Resolution included	PM-2	N.12, O.15

Flag	Responsibility	Page
Trustee indicated: inspectors appointed and not approved. Resolution not included	PM-2	N.10
Trustee indicated: inspectors appointed but didn't approve	PM-2	N.8
Trustee license flagged for manual review	PM-2	D.1
U		
Undistributed assets	PM-2	H.5
Update IMPACT, amended Div II deemed court approval	CR	F.28
Update IMPACT, deemed court approval	CR	F.11
V		
Verify inactive status of petition	PM-2	D.14
Verify inspector approval on Div II filing by undischarged bankrupt	PM-2	K.32
Verify no previous debts exist on current Div II	PM-2	E.14
Verify previous Div II status with trustee	PM-2	D.10
Verify status of previous petition	PM-2	D.12
Verify status of receiving order	PM-2	D.16
Verify trade name	CR	K.3

Flag	Responsibility	Page
Y		
Yes to Q5A (failure to perform duties)	PM-2	M.7
Yes to Q5B (responsible for facts pursuant to s. 173)	PM-2	M.8
Yes to Q5C (committed offence)	PM-2	M.9
Yes to Q6A (previous proposal)	PM-2	M.10
Yes to Q6B (previous bankrupt)	PM-2	M.11
Yes to Q7 (inspectors appointed)	PM-2	M.12
Yes to Q8A (trustee intends to oppose)	PM-2	M.13
Yes to Q8B (creditor or OSB intends to oppose)	PM-2	M.14
Yes to Q9 (did not receive counselling)	PM-2	M.15
Yes to Q9A (disposed of property)	PM-2	K.10
Yes to Q9B (excess payments)	PM-2	K.11
Yes to Q9C (seized property)	PM-2	K.12
Yes to Q10 (matters justifying refusal of absolute discharge)	PM-2	M.16
Yes to Q10A (disposed of property within 5 years)	PM-2	K.13
Yes to Q10B (gifts over $500)	PM-2	K.14
Yes to Q11 (other pertinent info)	PM-2	M.17
Yes to Q11A (previous proposal)	PM-2	K.15
Yes to Q11B (previous bankruptcy)	PM-2	K.16