

**Seneca County Surrogate's Court
E-FILING PROTOCOL
NYS Courts Electronic Filing (NYSCEF)**

The Administrative Judge of the 7th Judicial District, Seneca County Surrogate and the Chief Clerk of the Seneca County Surrogate's Court hereby promulgate local user protocols to assist users in practice of the New York State Courts E-Filing System (hereinafter referred to as "NYSCEF") implemented in the Seneca County Surrogate Court in accordance with the program established by the Chief Administrator of the Courts pursuant to Uniform Rules 207.4a and 207.4aa and provide guidance with respect to local practice and procedures used to process filings, fees, and court calendaring.

Users should also review the NYSCEF website (www.nycourts.gov/efile).

These Protocols do not supersede any statutory or regulatory provisions regarding electronic filing as those are controlling and take precedence.

Case Types Eligible for E-Filing:

Mandatory E-Filing: Seneca County Surrogate's Court is a mandatory e-filing court. All Administrations, Probates, and related matters thereto, including Small Estate Proceedings, are required to be e-filed. Except in limited circumstances, all such proceedings must be commenced by filing with the court electronically through the NYSCEF system.

All subsequent documents in such proceedings must also be e-filed.

Guardianships and Lifetime Trust Matters are exempt from e-filing.

Exemptions from Mandatory E-Filing: An attorney who certifies in good faith, that he or she lacks the equipment or knowledge needed to e-file and has no staff member or employee under his or her direction who has such knowledge and equipment may opt out of e-filing in each mandatory proceeding by filing an opt out form¹ with the Clerk. Attorneys also may be exempted by the court for good cause shown. Proposed intervenors (non-

¹ All forms referred to in the Protocol are available on the Forms page of the NYSCEF website at <https://iappscontent.courts.state.ny.us/NYSCEF/live/forms.htm>

attorneys) and unrepresented non-parties are exempt from e-filing. (Uniform Rule § 207.4-aa(e)(1)). Unrepresented litigants are exempt from e-filing but may choose to participate. (CPLR § 2111)

Unrepresented litigants in a consensual proceeding are not required to decline consent or to attach the Notice of Hard Copy Submission – E-Filed Proceeding to any of their hard copy filings.

Notice of Hard-Copy Submission: Where, within the e-filing rules, an attorney or an unrepresented litigant who is participating in e-filing submits a document in hard copy, the document must bear a Notice of Hard Copy Submission – E-Filed Proceeding (see NYSCEF Forms page). Attorneys who are exempt from e-filing are required to attach this form to all hard copy filings, while unrepresented litigants who are not participating in e-filing are not so required.

E-Filing Documents in Surrogate’s Court:

Creating New Estate Records & Subsequent Filings:

*****Essential Step Prior to E-Filing:** Prior to entering any information into an initial filing, you should run an inquiry on the decedent’s last name, using the first initial, to determine if a file is already open. Due to the numbering system in Surrogate’s Court, an inquiry based on the file number alone may not produce accurate results. In addition, you must contact the Court to ascertain whether there may be another will for the decedent on file with the Court (e.g., filed for safekeeping).

- 1. Initial Entering of Case Information:** Any error in the initial entry of case information can significantly delay the proceeding. Please double check to be sure to select the correct county you’re intending to file in.

The case name must be entered as follows:

- Initial entry must be identical to the signature on the will;
- If the name on the death certificate is different, that becomes an “AKA”
- If the name on the will does not match the signature, that becomes an “AKA”
- No punctuation or spaces should be used when entering the name or “AKA”

This court requires the” **Request for Surrogate’s Court Action**” (see NYSCEF Forms page) as the first document uploaded with each filing. This is to be filed as a stand-alone document. Do not scan any other documents with the Request.

For subsequent filings, do not re-use the original Request form. Prepare a new form for each filing with the appropriate information entered. If requesting court certified documents or Certificates of Appointment, use a Request for Surrogate’s Court Action Non-Proceeding Relief (p.2 of the Request form). Do **not** submit a blank Request for Surrogate’s Court Action form.

2. **Death Certificates:** In addition to e-filing the death certificate, a hard certified death certificate if required, must be filed within two (2) business days of e-filing.
3. **Wills:** The original Will is required to be scanned by the e-filer; Will must not be unstapled.

Scan the original will, but DO NOT UNSTAPLE. File the original paper will within two (2) business days of e-filing.

4. **Citations:** Submit a proposed citation electronically through NYSCEF only. The Court will complete the citation and upload the completed version to NYSCEF as quickly as possible. If your proposed citation requires amendment, you will be notified. Otherwise, an e-mail notification will be sent when the completed citation is posted to NYSCEF. After receipt of the notification, print the citation and serve it, in accordance with the SCPA. Service of the Citation should be accompanied by a Notice of Commencement of Proceeding Subject to Mandatory Electronic Filing or a Notice Regarding Availability of Electronic Filing, as the case may be. (See Forms page on NYSCEF site.)
5. **Decrees and Orders:** E-file proposed decrees and orders through NYSCEF only. Once the decree or order is signed, the court will upload the signed version to NYSCEF and notify all consenting parties that the decree or order has been signed and posted. Users who have requested a certified copy of the decree or order and have paid the appropriate fee via NYSCEF will receive the certified copy by regular mail.

6. **Stipulations**: If a matter is settled, discontinued, or otherwise disposed of, counsel shall promptly e-file the Stipulation. If the court is notified, or a settlement was reached in court and the fully executed Stipulation, Receipt & Releases are not received within sixty (60) days via NYSCEF, or the court is not informed that there is a problem with the settlement that is holding up the Stipulation, the action will be placed back on the calendar on the court's own Motion and parties shall appear in-person to address the status.
7. **Oversized Exhibits**: If an exhibit or attachment is unsuited for electronic filing (e.g., a large map or a videotape), it shall be submitted to the court and served on the other parties in hard copy. Attach a Notice of Hard Copy Submission – E-Filed Proceeding. In addition, a Notice of Hard Copy Exhibit must be completed and electronically filed. (See Forms page on the NYSCEF site.)
8. **Working Copies**: Seneca County requires submission of hard copies of e-filed documents, also known as working copies, in such instances that the filing (i.e. Exhibits, Transcript Copies) *exceed 200 pages* in total.

The filer must attach proof that the document has been e-filed (e.g., the thank you page or the e-mail notification) to the back of all working copies submitted to the court. Working copies must be exact hard copy duplicates of the e-filed documents. They do not become part of the official record and will be destroyed by chambers at the disposition of the case.

9. **Payment**: This court accepts payment of fees required by the SCPA by credit card payments made via NYSCEF or by payments made at the court. There is no fee to use the NYSCEF System, however effective and commencing, April 1, 2021, the Unified Court System will assess a service fee of 2.99% of the payment amount to account for the credit card service fee(s) assessed. The court does not receive any portion of the service fee.

Filing Fees are calculated in accordance with SCPA § 2402 based on the documents filed with NYSCEF and the representation of the filing user regarding the size of the estate. Review by the Court may result in a

modification of the fees initially anticipated or charged in connection with this transaction. In the event of any such modification, the Court will contact the filing user by e-mail with the proper amount and request an additional fee, if applicable. This court will not allow the filing of any additional documents by the filer if the filer owes an outstanding fee in that proceeding.

If choosing to pay by credit card at time of filing on NYSCEF website, enter credit card information directly on website. You must insert the credit card information with each filing; your credit card will be charged at the time of filing. Make sure credit limit is large enough to cover anticipated filings.

If choosing to pay at the court, be aware that documents are not "Filed" until payment is received. The court cannot process the filing until payment is received in full and will delete the filing if payment is not received within five (5) business days.

Notification of defective filings will be sent out via e-mail with the Subject of the e-mail being: "Sticky Note(s)- Corrections Needed".

10. Certificates and Letters: Upon request made via NYSCEF, the court will mail out Certificates and Letters.

Prepaid stamped envelopes are required for return of such documents.

11. General Correspondence: All general correspondence, adjournment requests, and conference requests shall be electronically filed through NYSCEF.

12. Signatures: Documents requiring signatures shall be considered to be signed under the circumstances outlined in Uniform Rule §207.4-a(f). When e-filing a document bearing an actual signature, the e-filer is responsible for maintaining the original, executed document pursuant to Uniform Rule 207.4-a(f)(2).

13. Applying for a Sealing Order: A party who wishes to file a document under seal must file a hard copy of the document, along with the “Notice of Hard Copy Submission” with the Surrogate’s Court. Unless the document is being filed ex-parte, the filing party shall serve all parties with hard copies of the document, along with the “Notice of Hard Copy Submission” form, in the traditional manner. (See Forms page on the NYSCEF site.)

If the Court grants the sealing request, the Surrogate Clerk will then file the documents in the appropriate manner, as directed. If the application is denied, an order will be issued that directs the party to file the document electronically.

14. In Camera Documents: Documents submitted to the Court for in camera review should be delivered to the Court in a sealed envelope conspicuously marked “FOR IN CAMERA REVIEW BY THE COURT” with a Notice of Hard Copy Submission form attached. (See Forms page on the NYSCEF web site.)

15. Decrees, Orders, and Judgments: Decrees, orders, and judgments will be signed in hard copy by the Surrogate and forwarded to the Clerk for filing and scanning into the NYSCEF system, which will then transmit notification to all parties. However, the notification does not constitute service of notice of filing upon any party (see, Uniform Rule § 207.4-a[h]).

Court issued Letters and Certificates of Appointment will be provided in hard copy to the filer via the usual means (SASE, USPS).