

Case Number: \_\_\_\_\_

Debtor: \_\_\_\_\_

### CHECKLIST FOR MID-POINT AUDIT/REVIEW

- ☐ Review case notes. Familiarize yourself with the recent circumstances of the case.
- ☐ Review plan, modifications and order confirming and as the attorney hearing notes.
- ☐ Reconcile court claim register with the Trustee's payee records to ensure that all claims filed with the court are reflected properly in the Trustee's system. View images of claims for accuracy.
- ☐ Review the Court Docket to ensure that all modifications, stipulations and orders are entered and the case is being administered in accordance with the documents filed.
- ☐ Review of Plan, modifications and stipulations
  - ☐ Tax/Wage Directive filed if appropriate and up to date; are funds actually being received from wage directive.
  - ☐ Base or 100%
  - ☐ Plan payments and duration of plan is equal to base amount
  - ☐ 100% of claims filed vs. 100% of *timely* filed claims
  - ☐ Dividend to unsecureds has/is maintained (means testing and/or L/A results) (enter appropriate case notes for later review)
  - ☐ Fee Application/Order Awarding filed/reflected in system
  - ☐ Disbursements made by trustee
    - ☐ Claim types, levels, per mos. etc.
    - ☐ Separate class
    - ☐ Ponce vs. Games
  - ☐ Disbursements made by debtor
  - ☐ Special provisions
  - ☐ Property sales committed to funding of the plan. Received receipt or status update?
- ☐ Search for any related adversary cases and ensure that the implications of documents filed therein are reflected properly in the Trustee's system.
- ☐ If applicable, calculate the number of payments made to the mortgage creditor to ensure that the continuing/post petition payments are current through the month for which the Trustee has last disbursed. Note any payment changes to the mortgage over the term of the plan, or included in correspondence. Enter a case note for easy reference should the creditor or debtor contact the Trustee with questions or concerns.

- ☐ Review the payment history noting any debtor refunds.
- ☐ Verify that the TPI=posted receipts, less debtor refunds is equal to "Total Paid In".
- ☐ P. I. or L&I claims, etc. settled? If not, request status at this point and calendar for follow up.
- ☐ Verify that the "Base Amount", less the "Total Paid In" equals the "Base Balance."
- ☐ Review the total paid/principal owed to creditors ensuring that creditors were paid pursuant to the debtor's Chapter 13 Plan.
- ☐ Ensure that there is treatment provided for all of the claims filed, and that orders are entered on objections to claims and motions to value.
- ☐ Browse through the case file looking for improperly flagged fields (I.E. incorrect debtor address information, hold fields reflecting a dollar amount, etc.) Compare debtor address in our system with that on the court docket and follow up on any discrepancy.
- ☐ Review the case for continued feasibility.
- ☐ Has debtor education course been completed and is there a certificate on file.
- ☐ Document the review and status of the case in the case notes referencing any pertinent information. Send an e-mail to the claims or disbursement person or your supervisor requesting resolution and calendar the case for follow up, if appropriate.

**NOTES:**

[illegible]

Date: \_\_\_\_\_

CA