### The Uniform Adult Guardianship and Protective Proceedings Jurisdiction Act

Meredith Smith Clerk of Superior Court Winter Conference March 2021

#### The Stress Banana

One word each: your mental state + the last food you ate

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Or

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#### 2

#### Session Goals

- 1. Refresh our knowledge of UAGPPJA and check in
- 2. Review the basics of the three main areas of UAGPPJA
- 3. Answer some common questions associate with each of the three main areas of UAGPPJA

2016....







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#### Session Law 2016-72

- Created G.S. Chapter 358: Uniform Adult Guardianship and Protective Proceedings Jurisdiction Act, effective December 1, 2016
- Applies to G.S. Chapter 35A incompetency and adult guardianship proceedings



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#### **Bulletin**



SOCIAL SERVICES LAW BULLETIN

NO. 46 | NOVEMBER 2016

New Rules for Adult Guardianship Proceedings: Applying the Uniform Adult Guardianship and Protective Proceedings Jurisdiction Act (G.S. Chapter 35B) in North Carolina

Meredith Smith

#### Application

Uniform **Adult** Guardianship and Protective Proceedings Jurisdiction Act

→ Does not apply to minor guardianship proceedings (but the UCCJEA does apply to minor GOP and GG b/c "custody"...)



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#### The Change

The established system in NC for determining incompetency, appointing guardians, and managing estates as governed by G.S. Chapter 35A is not affected by G.S. Chapter 35B.

"This chapter is limited in scope to  ${\bf jurisdiction}."$ 

GS 35B-1(c)

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The "Jurisdiction" Act

Jurisdiction - the power of the court to decide a matter in controversy.

#### 35B is the gatekeeper to 35A for adults



Can't get to a 35A substantive hearing without authority under 35B.

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#### **STATE to STATE** Analysis

The General Assembly of North Carolina finds that there is ambiguity in the law with respect to jurisdiction in guardianship proceedings **when more than one state is involved.** G.S. 358-1(b).



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#### Public Policy Goals of UAGPPJA

- To ensure that jurisdiction is located in **one and only one state**; except when an emergency exists or where the individual owns property in multiple states
- 2. To establish procedures for **transferring** guardianship from one state to another state when the incapacitated adult moves
- 3. To provide a uniform national system for **registration** and enforcement of out-of-state guardianship orders.

G.S. 35B-1(d)

#### Three Main Areas of UAGPPJA

- 1. Initial filings (which state may adjudicate and appoint a guardian)
- 2. Transfer (move guardianship state to state)
- 3. Registration (recognition of out of state orders in NC)

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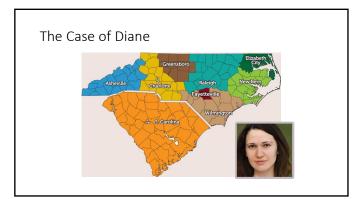
#### The Case of Carmen

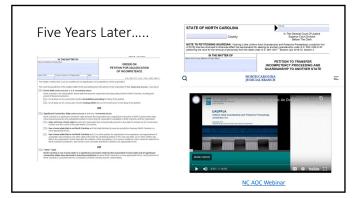


- Carmen lives in SC
- Has 2 children Eddie and Linda
- Eddie in SC, Linda in NC
- Linda moves Carmen back to a nursing home in NC in June 2020
- Linda files for guardianship in NC

14







What are your thoughts?

Benefits of UAGPPJA

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What are your thoughts?

Challenges of UAGPPJA

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#### The Case of Carmen

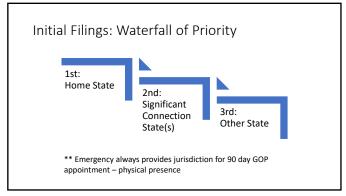


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# Granny Snatching War of the Guardians "Cover me, will you, dear? I'm going to snatch his purse."

Exclusive Basis  "35B provides the exclusive jurisdictional basis for a North Carolina court to adjudicate incompetence, appoint a general guardian or guardian of the person, or issue a protective order."  GS 35B-9  Consent Not an Option  - Court must find jurisdiction exists before proceeding with the substantive hearing – AUMYS MAKE SURE BOX CHECKED ON SP-202  - Petitioner makes sworm statements in verified petition (SP-200) and at commencement of hearing  - Parties may not consent to or waive jurisdiction if it is otherwise improper	_		1	
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#### Home State – Physical Presence

#### Q #1: 6 Month Lookback

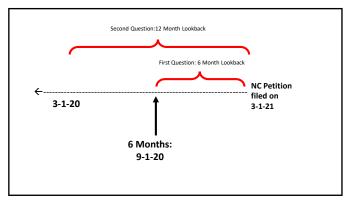
 R physically present in one state for 6 months immediately prior to petition

#### Q #2: 12 Month Lookback

 $\boldsymbol{\mathsf{-}}\,\mathsf{R}$  physically present in one state for 6 months over the last 12 months

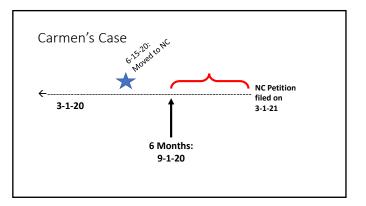
\*Doesn't include of periods of temporary absence, e.g. business trip, vacation, visit to family.

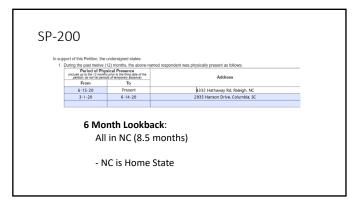
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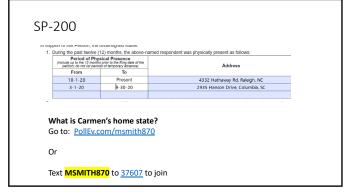


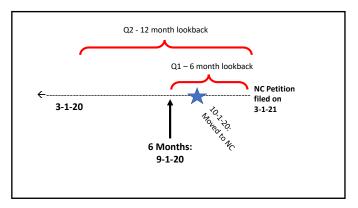
STATE OF NORTH CA		Pile No.
NOTE TO PETITIONER: If you ar accept guardianship on transfer fro not an appropriate form to use.	County e petitioning the court to om another state, this is	In The General Court Of Justice Superior Court Division Before The Clerk
IN THE MATT	ER OF:	PETITION FOR ADJUDICATION OF
Address Of Respondent		INCOMPETENCE AND APPLICATION FOR APPOINTMENT OF GUARDIAN OR LIMITED GUARDIAN AND INTERIM GUARDIAN AND INTERIM GUARDIAN
County Of Residence Of Respondent	Date Of Birth	G.S. 35A-1105, -1112, -1114, -1210, 35B-17, -18
1		
and also applies for the appli	ointment of the person(s) na ne undersigned states:	ourt, after notice and hearing, adjudicate the respondent above to be incompete amed below to serve, in the capacity indicated, as guardian(s) of the respondent. named respondent was physically present as follows:
Period of P	hysical Presence this prior to the filing date of the woods of femporary absence)	Address
From	То	

	en's Ca		200
1.	During the past twelve (	<ol><li>months, the above-n</li></ol>	amed respondent was physically present as follows:
	Period of Phys (include up to the 12 months petition; do not list period	sical Presence prior to the filing date of the is of temporary absence)	Address
	From	To	
	6-15-20	Present	4332 Hathaway Rd, Raleigh, NC
	3-1-20	6-14-20	2935 Hanson Drive, Columbia, SC







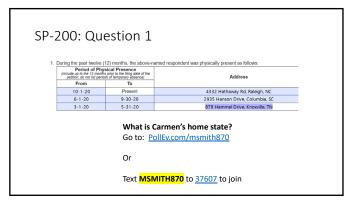


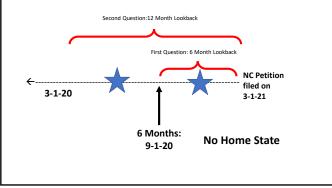
III bul	OO: Que  During the past twelve (  Period of Phy  (include up to the 12 month)	inuersigned states.  12) months, the above-n  sical Presence	amed respondent was physically present as follows:  Addresss
	From	То	
	10-1-20	Present	4332 Hathaway Rd, Raleigh, NC
1	3-1-20	9-30-20	2935 Hanson Drive, Columbia, SC
-	6 Month L	ookback:	12 Month Lookback:
	5 mont	hs – NC	5 months – NC
	1 mont	h - SC	7 month - SC
			- SC is home state.

Home State: Two Questions

1. Do they have a home state?

2. If so, what is it?





Second Question:12 Month Lookback	
First Question: 6 Month Lookback  NC Petition	
3-1-20 filed on 3-1-21	<u> </u>
C Manahar	
6 Months: 9-1-20 No Home State	

Initial Filing: Common Questions

North Carolina is technically Carmen's home state, but it is clear Linda moved here and just waited six months to file a petition.

How does she get away with that??

38

37

Home State Declines Jurisdiction

Question for NC court – is South Carolina a "more appropriate forum"?

 _	

Appropria	Appropriate Forum, GS 35B-13				
Court shall con	sider all relevant fact	tors, including:			
Express preference of the respondent	Whether abuse, neglect, or exploitation occurred or is likely and the state that can best protect the respondent	Length of time the respondent physically present in or legal resident of NC or another state			
Distance of respondent from court in NC and other state	Financial circumstances of respondent's estate	Ability of the court to monitor the guardian, if appointed			
Nature and location of evidence	Familiarity of the court in each state with facts and issues of the case	Ability of the court to decide the issue expeditiously and procedures necessary to present evidence			

#### NC as Home State decides...

South Carolina is the more appropriate forum.

- NC court may enter an order dismissing or staying the proceeding.
- NC court may impose any condition "just and proper" including instructing petitioner to file promptly in SC.

GS 35B-13(b)

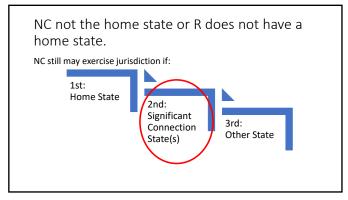
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#### Initial Filing: Common Questions

Jane moved to North Carolina in January 2021. Her son, John, filed an incompetency petition here on March 1, 2021. North Carolina is not the respondent's home state.

Don't I have to dismiss it?

1.	During the past twelve (	12) months, the above-n	amed respondent was physically present as follows:
Period of Physical Presence (include up to the 12 months prior to the filing date of the petition; do not list periods of temporary absence)		prior to the filing date of the	Address
	From	То	
	10-1-20	Present	4332 Hathaway Rd, Raleigh, NC
	3-1-20	9-30-20	2935 Hanson Drive, Columbia, SC

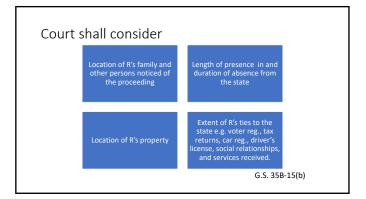


### Significant Connection State

A state, other than the home state, with which respondent has a significant connection other than mere physical presence and in which **substantial evidence** concerning respondent is available.

G.S. 35B-15(a)(3).

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#### More than just connections

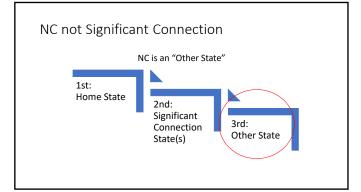
Look to G.S. 35B-17(2) – connections plus...

- 1. No home state, or
- 2. Home state declines jurisdiction, or
- 3. Home state + no prior pending petition in home state or SCS + before appointment of guardian (i) no petition filed in home state, (ii) no objection to jurisdiction is filed, and (iii) NC court says NC is appropriate forum
  - 2. (check a cricket and complete b) (MDTE: in both a and b). Intake "includes a state of the Linked States, the District of Counthia, Planch Rice, the United States (the District of Counthia, Planch Rice, the United States (the District of Counthia, Planch Rice, the United States (the District of Counthia, Planch Rice, the United States (the District of the United States).

    | There is no other perioding proceedings involving the respondent in any count or agency of a state or foreign country. In the Country of the Country of the Country, as set forth below.

    | District Open Country of Co

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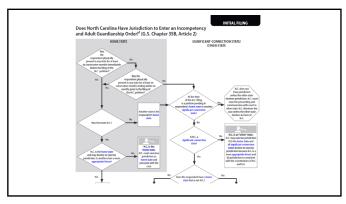
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NC not Home State or Significant Connection State

NC may proceed as an "Other State" in very limited circumstances.

NC may exercise jurisdiction only if:

- The home state and all significant connection states decline to exercise jurisdiciton b/c NC is more appropriate forum, and
- 2. Jurisdiction consistent with constitution of NC and US.



SP-202: Order on Petition for Adjudication
The court has junished out of the subject makes of this proceeding and of the persons of the respondent in this powder where he has it. Betweek 5).  Here State  1   Note Charles in the respondent is home slight because the respondent was physically present in North Cardina, encluding any person of the trought above, and a fault as it is inconscious months interestingly presenting the life of the specifical present in the contraction of the contra
OR
Spottanet Convertien State  3 ()— the Confirmation is a supplicated convection state because the respondent has a supplicated convection to North Continue of their than more physical presence and undestated in evidence concerning the respondent is available to North Continue, and the recognised over the continue of the past balanct (Continue) can see all physical points are part for past continued (on seeing for past continued) continued to continue continued to the continued of the past balanct (Continued continued cont
4 The Courties is a significant convocation talls because the respondent has a significant convocation to both Courties agent the name of the courties of t
© The Combine is applicated conversion delet because the recognised that a significant control to the Combine delet that me men places are and extension and execution of the combine o
OR
**Owner** State  6   The Chapter's series in a known state or a significant-connection state but the responder's home state and all applicant-connection    The Chapter's series and all applicant-connection state but the responder's home state and all applicant-connection    Chapter's series   Chapter's series

50

Initial Filing Common Questions

This stuff seems complicated.

What happens if there is an emergency, the respondent is in NC, but we don't know which NC county should proceed?

#### Initial Filing Common Questions

This stuff seems complicated.

What happens if there is an emergency, the respondent is in NC, but we don't know whether NC or another state should proceed?

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# R physically present in NC Petition Filed \*Circumstance likely will result in substantial harm to a respondent's health, safety, or welfare, + GOP necessary because no other person has authority and is willing to act on the respondent's behalf. G.S. 358-15(a)(1).

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#### What states have you seen?

Go to: PollEv.com/msmith870

Drop a pin on all the states you have had a transfer to or from.

(Text answer not available)

55



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#### Transfer: Common Questions

What if the other state does not have UAGPPJA?

States currently without UAGPPJA:

- Texas
   Florida
- 3. Kansas 4. Michigan

#### Options:

- Party tries to get the other state to follow UAGPPJA (GS 35B-30 and
- Party seeks to terminate guardianship in other state.
- File in NC despite existing guardianship in other state?

## Transfer Out of North Carolina State of North Carolina Ocusely Will 13 De Timbus Guardon North Carolina • Starts with petition (AOC-E-350) • Starts with petition (AOC-E-350) • Filed by the GG, GOP, or GOE • Filed in the existing E file • See RRK 6.1, Comment G G.S. 358-30

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#### Service of the Petition to Transfer Out of NC

By first class mail to original parties to the incompetency and guardianship proceeding.

- 1. Ward
- 2. Any guardian other than the petitioner
- 3. Next of kin
- 4. GAL or ward's counsel
- 5. Other parties of record
- 6. Anyone else designated by the clerk

G.S. 35B-30(b)

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#### Transfer Out: Common Questions



Must the clerk appoint a guardian ad litem attorney (GAL)?

- GS 35A-1217 provides that the clerk shall appoint a GAL to represent the ward in a guardianship proceeding if
  - the ward has been adjudicated incompetent and
  - the clerk determines the ward's interests are not adequately represented
- Appointment and discharge of the GAL is pursuant to IDS rules

**My advice**: Appoint GAL in response to petition to transfer IF clerk determines ward's interests not adequately represented

#### Transfer Out: Common Questions



Do I have to hold a hearing?

- · CSC may decide summarily, but
- Hearing must be held upon request of a party or on the clerk's own motion

G.S. 35B-30(c)

61

#### Provisional Order: Findings to Transfer **GOP** Out of NC

The court shall issue the provisional order **IF the court is satisfied** that the GOP will be accepted by the other state and finds the following:

- The ward is physically present in or reasonably expected to move permanently to the other state
- No objection or, if an objection, objector did not establish transfer is contrary to interests of the ward
- Plans for care and services for the incapacitated person in the other state are reasonable and sufficient

G.S. 35B-30(d)

62

#### Provisional Order: Findings to Transfer **GOE** Out of NC

The court shall issue the provisional order **IF the court is satisfied** that the GOE will be accepted by the other state and finds the following:

- The ward is physically present in or reasonably expected to move permanently to the other state, or significant connection to the other state
- No objection or, if an objection, objector did not establish transfer is contrary to interests of the ward
- Adequate arrangements will be made for management of the ward's property

G.S. 35B-30(e)

### **Provisional Order** Out of NC IN THE MATTER OF Form Order: AOC-E-351 Grants provisional approval for transfer and directs the petitioner to file in the other state. G.S. 35B-30(d), (e). NC retains jurisdiction over the guardianship pending transfer.

64

#### Transfer Out: Common Questions

How long does the court wait after a petition for transfer is filed to enter a provisional order?

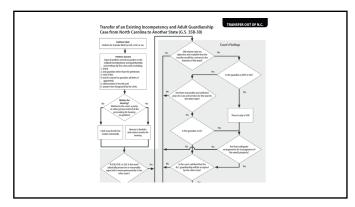
→ Statute does not say....

65

#### Final Account and Order of Transfer Out of NC

- Guardian files a copy of provisional order from the other state with NC court. G.S. 35B-30(g)(1).
- Guardian files final accounting; CSC audits and approves account. G.S. 35B-30(g)(2).
- CSC enters final order authorizing transfer and discharging the guardian, AOC-E-352. G.S. 35B-30(g).

County	In The General Court Of Justice Superior Court Division Before The Clerk
IN THE MATTER OF	
The And Current Address (If Abut Ward	FINAL ORDER ON PETITION TO TRANSFER INCOMPETENCY PROCEEDING AND GUARDIANSHIP TO ANOTHER STATE
	0.5 598-30 <sub>12</sub>
tione ANJ Aldress Of Petitioning Quartier	Name And Address Of Co-Ouerdain (Flagoristins)  Also A Perdouring Quantities
Of the Estate Of the Person Openeral Quant	lan Grithe Estate Grithe Person General Guardian
FINE	INGS OF FACT
The Court finds the following facts:	
The petitioning guardian(s) indicated above petitioned the counamed word to the state of	It to transfer the incompetency proceeding and guardianship of the above- (hereinafter, the "Other State").



#### Transfer To North Carolina

- Starts with petition (AOC-E-355) PLUS a certified copy of the provisional order from the other state
- Filed by the GOP, GOE, or GG appointed in the other state
- Open a new "E" file • See RRK 6.1(y)

G.S. 35B-31(a)



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#### Service of the Petition to Transfer to NC

- Service of the petition must be given to the parties to original incompetency and guardianship (i) in NC *and* (ii) the transferring state
- Service required in same manner used upon commencement of case, so for NC parties that means:

  - Ward personal service
    GAL or R's counsel, if appointed Rule 4
  - Next of Kin 1st class mail

G.S. 35B-31(b)

#### Provisional Order:

Findings to Transfer GOP, GOE, or GG to NC

The court shall enter the provisional order **UNLESS** 

- An objection is made, and the objector establishes transfer is contrary to interests of the ward
- The GG, GOP, or GOE is ineligible for appointment in NC

G.S. 35B-30(d)

70

#### Transfer to NC: Common Questions



Must the clerk appoint a guardian ad litem attorney (GAL)?

- GS 35A-1217 provides that the clerk shall appoint a GAL to represent the ward in a guardianship proceeding if
  - the ward has been adjudicated incompetent and
  - the clerk determines the ward's interests are not adequately represented
- Appointment and discharge of the GAL is pursuant to IDS rules

**My advice**: Lower bar here as the receiving state; GAL may not be necessary as part of the question of whether to transfer but rather what is needed **after** transfer (modification, limited, restoration, etc.)

71

#### Transfer to NC: Common Questions



Do I have to hold a hearing?

- CSC may decide summarily, but
- Hearing must be held upon request of a party or on the clerk's own motion

G.S. 35B-30(c)

**Consider**: Is hearing necessary at this point? Or, would it make more sense after transfer is complete?

#### If enter order granting transfer to NC...

Court accepting transfer **shall** recognize order from the other state including the determination of incapacity and appointment of guardian.

Not later than 90 days after entry of final order accepting the guardianship, NC court determines whether the guardianship needs to be modified to conform with NC law.

→ Modify? Limited guardianship? Restoration?

GS 35B-31(f) and (g)

73

#### Provisional Order To NC

Form Order: AOC-E-356

Grants provisional approval for transfer to NC

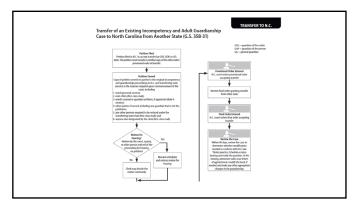


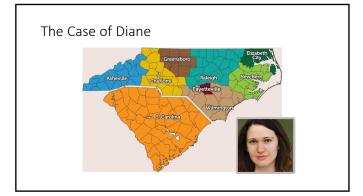
74

#### Order of Transfer To NC

- GOP, GOE, or GG files a copy of provisional order from the other state with NC court. G.S. 35B-31(e).
- CSC enters final order authorizing transfer and discharging the guardian, AOC-E-357

County		In The General Court Of Justice Superior Court Division Before The Clerk			
IN THE MATTER OF	ACI	FINAL ORDER ON PETITION TO ACCEPT GUARDIANSHIP ON TRANSFER FROM ANOTHER STATE			
Nume And Address CF Paddoner	Name And A	diffess Of Co-Phillioner (Fapplicable)			
	FINDINGS OF FAC	ī			
The Court finds the following facts:	1	T  p of the above-named ward on transfer from the state of			
The Court finds the following facts:	out to accept the guardianshi	p of the above-named ward on transfer from the state of			
The Court finds the following facts: The petitioner(s) indicated above petitioned the C A provisional order was issued by this Court on. This Court has received from just the specific court	ourt to accept the guardianshi	p of the above-named ward on transfer from the state of			





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#### Registration

- GOP, GOE, GG notifies the appointing court of intent to register
- Files certified copies of order and letters in registration state, and bond, if any posted in other state

  - GOP: filed in any appropriate county
     GOE/GG: filed in any county where ward has property
- Court files as foreign judgment RRK 6.1(z) open E file

Registration of O	ut of S	State	Orde	ers	
Statement in Support of Re	egistratio	n, AOC-	E-359		
STATE OF NORTH CARG	<b>DLINA</b> County	) for	In The General C Superior Cou	art Division	
IN THE MATTER Asian And Current Asians CF Abut Word	OF	GUARDIANSH GENERAL GUI	N SUPPORT OF IP OF THE PERSO ARDIANSHIP/PRO IM ANOTHER S	REGISTRATION N ORDER TECTIVE ORDER* TATE	
Name And Address Of Guardian Filing For Regulation		Name And Address Of Other	Guardian Por Ward (if appli		
Of the Estate Or the Person Side in shore Guarda sang Collectivation of the Case Guardanang Collectivation of other Entered in		Trame And Address Of Appoin	Of The Person ong Court Of Other State	Oeneral Guardian	
Registration Of Guardianship Of The III  Pursuant to G. 5.05-05, the undersize concerning the above-marked at at 1. I have been appointed guardian of	gned guardian is filing for No nd in support of this filing, sto	orth Carolina registration ates the following:		the person order	

Who has registered an out of state order?

Go to: PollEv.com/msmith870

(Text answer not available)

80

Decistantian Communa Overtions	
Registration: Common Questions	
Mary is the conservator for her daughter, Emily. Mary was appointed by a court in South Carolina. Emily inherits property from her father in North Carolina. Mary registers the order in North Carolina.	
Is Mary authorized to sell the property on Emily's behalf once the order	
is registered?	
Go to: PollEv.com/msmith870	
Or	
Text MSMITH870 to <u>37607</u> to join	
Registration: Effect	
Exercise all powers of guardian authorized under NC law, BUT	
1. Still must obtain ancillary guardian, G.S. 35A-1280, -1301	
2. Still must file SP to remove personalty, G.S. 35A-1281	