



Unified Carrier Registration Plan

Audit Subcommittee Meeting

November 3, 2022
12:00 PM – 2:00 PM Eastern Time

Subcommittee Members in Attendance

Mike Hoeme, Chair
Ryan Nance, Vice-Chair
Kristen Burch
William Debord
Abe Droste
Verna Jackson
Jessica Kines
LaBrina Matthews
Rod Moser
Patrick Remfrey
Amanda Shehane
Monte Wiederhold

Absent Subcommittee Members

Eric Belford
Debbie Garcia
Ingabrit Johnson

Others in Attendance

UCR: Avelino Gutierrez, Elizabeth Leaman, Scott Morris, Crystal Stevens
Kellen Company: Tom Lawrence, Matt Mantione, Jessie Yuhaniak
Seikosoftware: Lori Lefai
DSL: Dave Lazarides

**UNIFIED CARRIER REGISTRATION PLAN
AUDIT SUBCOMMITTEE MEETING
November 3, 2022**

MINUTES

- I. Call to Order** – Mike Hoeme, UCR Audit Subcommittee Chair
The UCR Audit Subcommittee Chair welcomed attendees and called the meeting to order at 12:00 PM. Ryan Nance, the UCR Audit Subcommittee Vice-Chair, called roll for the Audit Subcommittee, confirmed a quorum, and facilitated self-introductions.
- II. Verification of Publication of Meeting Notice** – Avelino Gutierrez, UCR Executive Director
The UCR Executive Director verified the publication of the meeting notice on the UCR website and distribution to the UCR contact list via e-mail on October 26, 2022, followed by the subsequent publication of the notice in the *Federal Register* on October 28, 2022, in Volume 87, Number 208, starting on page 65288.
- III. Review and Approval of Subcommittee Agenda and Setting of Ground Rules** – Mike Hoeme, UCR Audit Subcommittee Chair
The agenda was reviewed, and the Subcommittee took action to adopt.

A MOTION was MADE by Jessica Kines and SECONDED to approve the agenda for the November 3, 2022 Audit Subcommittee Meeting. The MOTION CARRIED unanimously.
- IV. Review and Approval of Subcommittee Minutes from the September 8, 2022 Meeting** – Mike Hoeme, UCR Audit Subcommittee Chair
Draft minutes from the September 8, 2022 Subcommittee meeting via teleconference were reviewed. The Subcommittee took action to approve.

A MOTION was MADE by Monte Wiederhold and SECONDED to approve the minutes from the September 8, 2022 Audit Subcommittee Meeting. The MOTION CARRIED unanimously.
- V. Review the Compliance Evaluation Tools for the Annual State Audit Progress Report** – Mike Hoeme, UCR Audit Subcommittee Chair
The UCR Audit Subcommittee Chair reviewed the recently adopted evaluation tools for the participating states’ audit programs that are currently required by the UCR Agreement, confirming that states may now meeting 3 of 6 available requirements.
- VI. Discuss Options for DSL Transportation Services, Inc. (DSL) to Close Out FARs in the National Registration System (NRS) on behalf of the States Once the Motor Carrier Makes the Appropriate Adjustment** – Mike Hoeme, UCR Audit Subcommittee Chair, and Dave Lazarides, DSL Transportation Services, Inc. (DSL)
The UCR Audit Subcommittee Chair and DSL Representative provided an update on how this service is working with the non-participating States Focused Anomaly Reviews (FARs.) DSL will offer this service for both participating and non-participating states.
- VII. Review Recent Updates to the UCR Handbook** – Mike Hoeme, UCR Audit Subcommittee Chair, Avelino Gutierrez, UCR Executive Director
The UCR Audit Subcommittee Chair and UCR Executive Director led a discussion on the updated clarifying the language in the UCR Handbook regarding the usage of the term “operated” as it

relates to a motor carrier beginning operations. A general update on other revisions to the UCR Handbook was also provided.

VIII. Update on the State Compliance Review Program – Avelino Gutierrez, UCR Executive Director

The UCR Executive Director provided an update regarding the transition from the previous Depository Manager to a new team member and shared that leadership will meet to review and continue efforts on program objectives and states scheduled for review in 2022.

IX. Maximizing the Value of the Should Have Been (SHB) and Enforcement Efficiency Tools – Mike Hoeme, UCR Audit Subcommittee Chair, Dave Lazarides, DSL Transportation Services, Inc. (DSL)

The UCR Audit Subcommittee Chair led a discussion regarding enforcement efficiency tools and the need for agency coordination within states to help improve enforcement. The discussion also clarified notification procedures for any issues experienced in the NRS system to ensure the efficient prioritization. The discussion also highlighted the financial value to the states by vetting businesses for UCR compliance, Commercial registration, IFTA, intrastate, and interstate Operating Authority.

X. Discuss Options for Future Audit Zoom Training Sessions for States Auditors – Mike Hoeme, UCR Audit Subcommittee Chair

The UCR Audit Subcommittee Chair led a discussion regarding the value of a series of 30-minute virtual audit training sessions. A survey will be sent shortly to state auditors to gather additional information about information they receive and what tools could be valuable to them. The goal of these items is to integrate new auditors into the system and provide them with resources as soon as possible.

XI. Discuss Options for Hosting a Monthly Question and Answer (Q & A) Session for States Auditors – Mike Hoeme, UCR Audit Subcommittee Chair

The UCR Audit Subcommittee Chair led a discussion regarding the value of a series of 60-minute virtual question and answer sessions. The Subcommittee sees value in these sessions and the UCR Executive Director and Kellen Staff will follow up regarding the Sunshine Act requirements that may be triggered by these meetings so proper planning may begin.

XII. Discuss Future Audit Subcommittee Meetings – Mike Hoeme, UCR Audit Subcommittee Chair

The UCR Audit Subcommittee Chair shared that the next Audit Subcommittee meeting will take place on February 9, 2023. All currently scheduled meetings are planned to be virtual.

XIII. Other Items – Mike Hoeme, UCR Audit Subcommittee Chair

The UCR Audit Subcommittee Chair called for any other items Subcommittee members would like to discuss. Several Subcommittee members shared that the updates to the Option A and Option B terminology and workflow made a noticeable difference in auditing procedures for states.

XIV. Adjournment – Mike Hoeme, UCR Audit Subcommittee Chair

The meeting was adjourned by general consent at 12:43 PM.