



Unified Carrier Registration Plan
Audit Subcommittee Meeting Minutes
October 21, 2021

Subcommittee Members

Mike Hoeme, Chair
Lydia Sahley, Vice Chair
William Debord
Suzanne Stillwell
Crystal Boies
Amanda Shehane
Verna Jackson
Rod Moser
Ryan Nance
Jessica Kines
Inga Johnson
Abe Droste

Absent Subcommittee Members:

Robert Pitcher, Eric Belford

Others in Attendance:

UCR: Avelino, Gutierrez, Scott Morris,
Kellen Company: Dave Scholz, Tom Lawrence, Matt Mantione, Jess Ku
Seikosoft: Toby Piquet

**UNIFIED CARRIER
REGISTRATION PLAN AUDIT
SUBCOMMITTEE MEETING**

**MEETING
MINUTES**

I. Call to Order – Subcommittee Chair

The Subcommittee Chair welcomed attendees, called the meeting to order at 12:00 pm ET, called role for the Subcommittee, confirmed a quorum was present, and facilitated self-introductions.

II. Verification of Publication of Meeting Notice – 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 email on October 13, 2021, followed by the subsequent publication of the notice in the *Federal Register* on October 14, 2021, in volume 86, number 196, starting on page 57268.

III. Review and Approval of Subcommittee Agenda and Setting of Ground Rules – Subcommittee Chair

The Agenda was reviewed, and the Subcommittee took action to adopt.

A MOTION was MADE and SECONDED to approve the agenda for the October 21, 2021 Audit Subcommittee Meeting. The MOTION CARRIED.

IV. Review and Approval of Subcommittee Minutes from the May 20, 2021 Meeting – Subcommittee Chair

Draft minutes from the May 20, 2021 Subcommittee meeting via teleconference were reviewed. The Subcommittee took action to approve.

A MOTION was MADE and SECONDED to approve the minutes from the May 20, 2021 Audit Subcommittee Meeting. The MOTION CARRIED.

V. Proposal to Select New External Auditing Firm of the UCR Depository – UCR Executive Director and UCR Depository Manager

The UCR Executive Director and the UCR Depository Manager presented a proposal to the Subcommittee to consider initiating a request-for-proposal (RFP) process to identify and engage a new independent auditing firm to conduct an assurance engagement of the UCR Depository's financial statements for the year ending December 31, 2021. It is a widespread practice to rotate auditing firms every four years to ensure proper integrity of the audit process. The current firm has now provided these audit services for the past four years from 2017 – 2020.

A MOTION was MADE and SECONDED to recommend to the Board to initiate an RFP process to engage a new auditing firm to audit the UCR Depository's financial statements for the year ending December 31, 2021. The MOTION CARRIED.

VI. Proposal to Adopt Written Internal Control Procedures for the UCR Depository –
UCR Executive Director and UCR Depository Manager

The UCR Executive Director and the UCR Depository Manager led a review of the draft of written internal controls intended for implementation by the Depository. The Subcommittee considered a recommendation to the Board to adopt the written internal controls procedures.

A MOTION was MADE and SECONDED to recommend to the Board to adopt written internal controls procedures as drafted. The MOTION CARRIED.

VII. Review the Impact on UCR from Future Changes to the FMCSA’s Unified Registration System (URS) – Subcommittee Chair

The Subcommittee Chair discussed the potential impact from future changes to the URS and its affect to limit state users’ abilities to update data in the Motor Carrier Management Information System (MCMIS).

VIII. Review States’ Audit Compliance Rates for Registration Years 2020 and 2021 –
Subcommittee Chair

The Subcommittee Chair reviewed the audit compliance rates for the states for registration years 2020 and 2021 and included compliance percentages for FARs, retreat audits and registration compliance statistics.

IX. Support States to Improve Registration Compliance – Audit Subcommittee Chair and DSL Transportation, Inc. (DSL)

The Subcommittee Chair and DSL led a discussion regarding methods to help participating states improve registration compliance (percentages). Suggested methods included educating various parties such as state registration offices, state motor carrier association offices, state highway patrols, etc. New entrant audits were an additional suggestion. Input from the Subcommittee on other ideas was encouraged.

X. Improve Low Registration Compliance Among Non-Participating States (NPS) –
Subcommittee Chair and DSL

The Subcommittee Chair and DSL led a discussion regarding methods to address low registration compliance (percentages) among the NPS. Suggested methods would include those described above.

XI. Review 2020 Audits and FARs Collection Procedures – Audit Subcommittee Chair

The Subcommittee Chair reviewed the 2020 audit and FARs collection procedures through the end of calendar year 2021 based on audits conducted through the Administrative Portal.

XII. Review Inspection Audits Assigned in the National Registration System (NRS) –
Subcommittee Chair, Subcommittee Vice-Chair and Seikosoft

The Subcommittee Chair, Subcommittee Vice-Chair and SeikoSoft reviewed inspection audits assigned in the NRS. The intent of the discussion was to understand what causes an inspection audit in the current year to potentially result in the auto-generation in the NRS of an inspection audit for a previous or subsequent registration year.

XIII. Introduction/Update on Plate Violations Report – Subcommittee Chair and DSL

The Subcommittee Chair and DSL updated the Subcommittee on the Plates Violations Report prepared by DSL. The purpose for the report was to raise awareness of IRP violations and encourage states to follow-up with violators and get them compliant with UCR when necessary.

XIV. Other Items – Subcommittee Chair

The Subcommittee Chair called for any other items Subcommittee members would like to discuss. UCR Executive Director mentioned that the next Subcommittee meeting is December 2, 2021 via teleconference. The Subcommittee Chair notified the Subcommittee that the March 10 Subcommittee meeting in Charleston, South Carolina is now a teleconference on April 14, 2022.

XV. Adjournment – Subcommittee Chair

The Subcommittee Chair adjourned the meeting at 1:45 pm ET.