



Unified Carrier Registration Plan

Audit Subcommittee Meeting

September 19, 2019
1:00 – 4:00 p.m. ET

The Towers at Wildwood
3200 Windy Hill Rd. SE
Suite 600W
Atlanta, GA 30339

Teleconference
1-866-210-1669
5253902#

UNIFIED CARRIER REGISTRATION PLAN

Audit Subcommittee Meeting Proposed Agenda

- I. **Call to Order** – Subcommittee Chair
Chair will call the meeting to order.
- II. **Verification of Meeting Notice** – Subcommittee Chair
Chair will verify the publication of meeting notice in the Federal Register.
- III. **Roll Call & Confirmation of Quorum** – Operations Manager
Operations Manager will call roll of the Subcommittee members and confirm whether a quorum is present.
- IV. **Approval of Minutes from June 3, 2019 Meeting** – Operations Manager
Minutes from the June 3, 2019 Registration System Subcommittee meeting will be reviewed and the Subcommittee will consider action to approve.
- V. **Status Report on 2019 Audit Plan** – Depository Manager
 - **Depository Audit**
Auditor will report on the status of the independent financial review recently conducted by a third-party accounting firm for the UCR Depository.
 - **State Compliance Reviews**
Depository Manager will provide an update on the recent state compliance review conducted in Kansas, as well as plans to conduct reviews in Minnesota and Wisconsin later this year.
- VI. **2020 Proposed Audit Plan** – Depository Manager
For Discussion & Possible Subcommittee Action
 - **State Compliance Reviews**
Subcommittee will review and possibly approve recommending to the Board a proposal for conducting UCR compliance reviews for eight (8) participating states in 2020.
 - **National Registration System Financial Review**
Subcommittee will review and possibly approve recommending to the Board a proposed plan to conduct an independent financial review of the National Registration System next year.
 - **Independent State System Interconnection**
Subcommittee will consider and possibly approve recommending to the Board criteria for interconnecting independent UCR registration systems, operated at the state level, to the National Registration System.

- **Depository Audit**
Subcommittee will consider and possibly approve recommending to the Board a preferred vendor to conduct the independent financial audit of the Depository next year.
- **Carrier Audit Procedure for States**
Subcommittee will consider and possibly approve recommending to the Board a proposal to amend the UCR state carrier audit procedure to include a new step that would require states to review unregistered carriers based in their respective state.

VII. Amendment to UCR Refund Procedure – Subcommittee Chair

For Discussion & Possible Subcommittee Action:

Subcommittee will consider and possibly approve recommending to the Board a proposal to amend the UCR refund procedure for the purpose of establishing the timing and criteria for the potential issuance of a refund that may result from an audit of a UCR registrant.

VIII. 2018 State Carrier Audits

Subcommittee Chair will report on the number of participating states that have completed their 2018 annual carrier audits.

IX. Audit Portal in National Registration System – Seikosoft

Subcommittee will receive an update on new functionality in the National Registration System for states to conduct and manage their annual carrier audits.

X. Focused Anomalies Review (FARs) – DSL Transportation

Subcommittee will receive an update on the amount of registration fees collected through the Focused Anomalies Review program in 2019 to date.

XI. 2020 Operating Budget – Depository Manager

Depository Manager will report on the development of a proposed budget for 2020, particularly any expenses related to the UCR audit program.

XII. Other Items – Subcommittee Chair

The Subcommittee Chair will call for any other items the subcommittee members would like to discuss.

XIII. Adjourn – Subcommittee Chair

Chair will adjourn the meeting.

This agenda will be available no later than 5:00 p.m. Eastern daylight time, August 30, 2019 at: <https://plan.ucr.gov>.

CONTACT FOR MORE INFORMATION:

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