



Unified Carrier Registration Plan

Board Attendance

Elizabeth Leaman
Mike Hoeme
Bill Debord
Suzanne Stillwell
Terry Mercer
Crystal Stevens
Tamara Young
Monte Wiederhold
Carol Fallin
Ken Riddle
Chris Burroughs
Scott Morris

Absent Board Members

Rick Schweitzer

Board Members in Waiting

Brandon Buchanan
Jessica Kines

Absent Board Members in Waiting

David Bauer

Others in Attendance

UCR: Avelino Gutierrez
FMCSA: Rick Wood
Kellen Company: Jessalynne Ku, Dave Scholz, Tom Lawrence, Matt Mantione,
Katherine Thurman
DSL Transportation: Dave Lazarides
Seikosoft: Toby Piquet, Lori Lefai,

Represented States
AK, AL, AZ, CA, CO, DC, FL, GA, ID, IN, KS, KY, LA, MA, MD, ME, MI, MN, MO,
ND, NE, NM, OH, OK, RI, TX, VA, WA, WI

**UNIFIED CARRIER REGISTRATION PLAN
BOARD OF DIRECTORS MEETING
November 4, 2021**

PROPOSED MINUTES

- I. Welcome and Call to Order** – Elizabeth Leaman, UCR Board Chair
The UCR Board Chair welcomed attendees, called the meeting to order at 12:01 pm ET, called roll for the Board, confirmed the presence of a quorum, and facilitated self-introductions.
- II. Verification of Meeting Notice** – Avelino Gutierrez, UCR Executive Director
The UCR Executive Director verified publication of the meeting notice on the UCR website and distribution to the UCR contact list via e-mail on October 27, 2021 followed by subsequent publication of the notice in the *Federal Register* on November 1, 2021 in Vol. 86, No. 208, starting on page 60349.
- III. Review and Approval of Board Agenda** – Elizabeth Leaman, UCR Board Chair
The Agenda was reviewed, and the Board took action to adopt.

A MOTION was MADE and SECONDED to approve the agenda of the November 4, 2021 Board of Directors Meeting. The MOTION CARRIED.
- IV. Approval of Minutes from the September 23, 2021 UCR Board Meeting** – Elizabeth Leaman, UCR Board Chair
Draft Minutes from the September 23, 2021 UCR Board meeting were reviewed. The Board took action to approve.

A MOTION was MADE and SECONDED to approve the minutes from the September 23, 2021 Board of Directors Meeting with the noted revisions. The MOTION CARRIED.
- V. Report of the Federal Motor Carrier Safety Administration (FMCSA)** – Kenneth Riddle, FMCSA Representative and Frederic Wood, FMCSA Representative
The FMCSA provided a report on relevant activity.
- VI. Updates Concerning UCR Legislation** – Elizabeth Leaman, UCR Board Chair
The UCR Board Chair called for any updates regarding UCR legislation since the last Board meeting. No updates were provided to the UCR Board of Directors.

VII. SUBCOMMITTEE REPORTS

Audit Subcommittee – Mike Hoeme, UCR Audit Subcommittee Chair

A. Proposal to Select New Independent Auditing Firm of the UCR Depository – Avelino Gutierrez, UCR Executive Director and Dave Scholz, UCR Depository Manager

The UCR Executive Director and the UCR Depository Manager presented a proposal to the Board for consideration to initiate a request-for-proposal (RFP) to identify and engage a new independent auditing firm to conduct an audit engagement of the UCR Depository's financial statements for the year ending December 31, 2021. The Audit Subcommittee recommended to the Board that it proceed with an RFP process to engage a new auditing firm for an audit of the financial statements ending December 31, 2021. The Board took action to approve the issuance of an RFP to engage a new auditing firm.

A MOTION was MADE and SECONDED that the Board proceed with the issuance of a RFP for the purpose of identifying and selecting a new independent and qualified firm to audit the financial statements of the UCR Depository for the year ending December 31, 2021. Upon identification of a preferred auditing firm, scheduled for the December 2, 2021 Audit Subcommittee Meeting, another motion will be brought to the Board seeking appointment of the preferred firm. The MOTION CARRIED.

B. Proposal to Adopt Written Internal Controls Procedures for the UCR Depository – Avelino Gutierrez, UCR Executive Director and Dave Scholz, UCR Depository Manager

The UCR Executive Director and the UCR Depository Manager led a review of the draft of written internal control policies and procedures entitled, "UCR Accounting Guidelines" intended for implementation by the Depository. The UCR Audit Subcommittee recommended to the Board that it adopt the written internal control policies and procedures. The Board took action to adopt written internal control policies and procedures.

A MOTION was MADE and SECONDED that the Board adopt the drafted written internal control policies and procedures for the UCR Depository and accept as final, subject to future adjustments that may be required from time-to-time for example, upon adoption of new Board policies and operational changes. The MOTION CARRIED.

C. Support States to Improve Registration Compliance – Mike Hoeme, UCR Audit Subcommittee Chair and Dave Lazarides, DSL Transportation Services, Inc.

The Audit Subcommittee Chair and DSL led a discussion regarding methods to help participating states improve registration compliance (percentages). Suggested methods included educating various constituents such as state registration offices, state motor carrier association offices, state highway patrols, etc. New entrant audits were an additional suggestion. The Audit Subcommittee is developing a process to document "best practices", develop guidelines for process improvements and a checklist to improve registration compliance percentages.

- D. UCR Compliance Snapshot** – Mike Hoeme, UCR Audit Subcommittee Chair
The UCR Audit Subcommittee Chair reviewed the latest numbers and statistics pertaining to states' compliance with Board mandated registration and audit percentages.

Finance Subcommittee – UCR Finance Subcommittee Chair

- A. Maturing of Certificate of Deposit (CD)** - Dave Scholz, UCR Depository Manager
The UCR Depository Manager provided an update on the CD that will mature on November 12, 2021. The Board took action to reinvest the proceeds.

A MOTION was MADE and SECONDED that the Board reinvest proceeds from the Certificate of Deposit (CD) maturing on November 12, 2021 in the amount of \$2,650,000 in a new CD with the Bank of North Dakota for 12 months at a rate of 20 basis points (0.2%). The MOTION CARRIED.

- B. Update on Draft of Calendar Year 2022 Budget** – Dave Scholz, UCR Depository Manager
The UCR Depository Manager provided an update on the continued development of the 2022 operating budget. The budget will be presented to the UCR Board at the December 16, 2021 Board meeting for the Board's consideration and adoption.

Education and Training Subcommittee – Avelino Gutierrez, UCR Executive Director

- A. Update on Future Training Initiatives** – Carol Fallin, UCR Education and Training Subcommittee Chair
The UCR Education and Training Subcommittee Chair provided an update on the planned future training initiatives for the UCR plan.

VIII. Contractor Reports – Avelino Gutierrez, UCR Executive Director

- A. UCR Executive Director's Report** – Avelino Gutierrez, UCR Executive Director
The UCR Executive Director provided a report covering recent activity for the UCR Plan.
- B. DSL Transportation Services, Inc.** – Dave Lazarides
DSL Transportation Services, Inc. reported on the latest data from the Focused Anomaly Reviews (FARs) program, discussed motor carrier inspection results, and other matters.
- C. Seikosoftware** – Toby Piquet
Seikosoftware provided an update on recent/new activity related to the National Registration System (NRS).
- D. UCR Administrator Report (Kellen)** – Matt Mantione, UCR Executive Staff and Dave Scholz, UCR Depository Manager
The UCR Staff provided a management report covering recent activity for the Depository, Operations, and Communications.

- IX. Other Business** – Elizabeth Leaman, UCR Board Chair
The UCR Board Chair called for any other items Board members would like to discuss.
There was no other business.
- X. Adjournment** – Elizabeth Leaman, UCR Board Chair
The UCR Board Chair adjourned the meeting at 1:32 pm ET.