

Policy Category: 3 (Depository)  
Policy #/Revision #: A / 2  
Approval Date: August 23, 2018  
Revision Date: August 13, 2020  
Effective Date: September 1, 2020  
Status: Interim Policy



## Unified Carrier Registration Agreement Refund Procedure

1. Only (i) carriers, (ii) permitting services, (iii) state users, and (iv) national Seikosoft (SS) support personnel may request a refund for current open registration year(s) only
2. Refund requests are initiated only in the **National Registration System (NRS)**
3. Parties in Item #1 above will be required to submit a valid refund request in the NRS no later than **sixty (60) days** for the most recent registration year, and no later than **thirty (30) days** for any other open prior year registration period(s), after the initial registration was paid and validated in the NRS
  - a. An exception to the timing requirement discussed above may occur when a refund request is created by state UCR staff as the result of an audit that is properly conducted by the base state of a registrant; refunds can only be requested and processed if the registration year under audit is still open in the Administrative portal in the NRS
4. Validly submitted refund requests through the NRS will be captured by SS on a daily basis
5. Within two **(2) business days** from the submittal of a valid refund request through the NRS, SS will have completed an interrogation of the request confirming all of the following:
  - a. The party submitting the request is validly authorized to do so based on Item #1
  - b. All required information was reasonably provided in the refund request
  - c. The refund request was initiated sixty (60) days or less from the payment/validation date in the NRS depending on Item #4
  - d. The registrant provided a current DOT or FF number
  - e. The refund request included an acceptable Reason and other information supporting the refund request, if required (may be used for FARs or other audit purposes)
  - f. Confirming the tier the carrier originally registered in
  - g. Confirming the tier a carrier may be retreating to, based on the circumstance
  - h. The amount paid through the most recent registration, including all prior adjustments and refund requests
  - i. The new amount of the revised registration including the refund amount requested
  - j. Identifying the method of payment used for the registration
  - k. Confirming that the funds for payment have been received by the registration banking system (this step shall not apply if the funds for payment were received directly at a state location or through an independent state registration system, however SS will still confirm that the registration is active in the NRS prior to proceeding further with the refund process)
6. Once SS had completed each of the steps above and has confirmed the refund request as being reasonably valid, SS will then refer the request to the registrant's base state for additional review and authorization as defined below
7. Base states must review and confirm (i) the existence and validity of the carrier requesting a refund, (ii) ensure the carrier is in good-standing and compliant with the UCR requirements, (iii) the refund

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- request is proper in the circumstance and (iv) in cases when the refund request exceeds USD \$1,000 the base state must conduct audit procedures to verify the data from the refund request
8. Base states must complete the review within ten (10) **business** days and either provide authority to proceed, or reject the refund request in the NRS
  9. The NRS will maintain a log of base states personnel duly authorized to issue an approval of a refund request, and a Reason for a rejection of the request must be provided
  10. All refund requests rejected by the base state and returned to SS with a valid reason will be reviewed by SS for reasonableness
    - a. Assuming the state has a reasonable basis for rejecting the refund request, then SS will confirm the rejection in the NRS, which will return the rejected request to the originator
    - b. A questionable, or unclear rejection will be referred back to the base state by SS for specific action response
  11. All refunds approved by the base state personnel must further be referred for approval to an authorized representative from the UCR Board (typically the UCR Administrator, Kellen) as may be assigned from time-to-time
  12. Upon completing all of the above steps for proceeding with an approved refund request, the UCR Board representative will perform the following procedure based on the original payment method:
    - a. For original payment by **credit/debit card**, the representative will initiate the issuance of a credit refund through the appropriate merchant account
      - i. In the event that the refund cannot be applied to the credit/debit card originally used for payment, then the procedures described in Item 12(b) below should be used.
    - b. For original payment by either **E-check or mail-in paper check**, after the representative has confirmed the receipt of funds in the registration banking system:
      - i. The approved request will be assigned to the Depository representative who will complete the refund by check or ACH (via Kellen Company)
      - ii. In the event funds are not available in the Depository, refund requests will be referred to the base state for review and potential payment
      - iii. The Depository will retain its right to invoice states for refunds issued by the Depository that are in excess of a given states entitlement
  13. Refunds must always be payable to the entity that originally submitted the registration payment that gave rise to the refund request
  14. Upon successful completion of a refund, the NRS will automatically create a system generated refund receipt that will be sent to (i) the party that originally submitted the registration (i.e. a carrier or permitting service), (ii) the base state, and (iii) the Depository administrator (Kellen), regardless of the refund method used (i.e. credit/debit card, check or ACH)

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15. After the issuance of a refund, either by credit/debit card, ACH or paper check, the board representative will conduct a final review of the refund request and its disposition, and will then close the refund request in the NRS
16. For a refund request to be paid by Kellen via check or ACH, Kellen will review all materials generated by the NRS, SS and the base state for completeness and accuracy, and upon confirming same, will proceed with the refund payment within seven (7) business days
17. A third party that registers a carrier without the carrier's express consent will not be entitled to receive a refund
18. Refund requests may result in a FARs or audit capture so due care should be given before any issuance of a refund is requested
19. For any of the states operating their own registration system, refund requests must be initiated through the state rather than in the NRS when the registration was made in the state system