



## Unified Carrier Registration Agreement

### Refund Procedure

1. Only carriers, permitting services, state users, and National Registration System (NRS) support personnel may request a refund for current, open registration year(s)
2. Refund requests are initiated only in the 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 as the result of an audit that is properly conducted by the UCR Board audit team or by audit personnel in 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 will be captured by the NRS immediately upon submission
5. The authorized UCR base state personnel must review and (i) confirm 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) ensure the refund 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
6. 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
7. The full amount of time to process a refund, if approved, may take approximately four to six (4-6) weeks in its entirety
8. The NRS will maintain a log of base state personnel duly authorized to issue state-level approval or rejection of a refund request
9. A reason for rejecting a refund request, if applicable, must be documented
10. Upon rejection of a refund request, the NRS sends an email to the registrant's email address(es) to notify them that their request was rejected; the registration also reverts to its previous status
11. All refunds approved by the base state personnel must then be referred for approval to an authorized representative from the UCR Board (typically the UCR Depository personnel) as may be assigned from time to time



12. Upon completing all 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, after checking to ensure that the original payment has not been cancelled or charged back by the registrant
    - i. In the event that the refund cannot be applied to the credit/debit card originally used for payment, 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
    - ii. In the event funds were received directly by the state and have not been sent to 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 state's 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 acknowledgement email that will be sent to the email address(es) on file for the registrant, regardless of the refund method used (i.e. credit/debit card, check or ACH)
15. After the issuance of a refund, either by credit/debit card, ACH or paper check, the UCR Board representative will conduct a final review of the refund request and its disposition, and will then finalize the refund request in the NRS
16. For a refund request to be paid by the Depository via check or ACH, the Depository will review all materials generated by the NRS and the base state for completeness and accuracy, and upon confirming same, will proceed with the refund payment within seven to fourteen (7-14) business days; however, external factors outside the control of the Board or its vendors, may prevent the Depository from timely completing the refund
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