

**Ballot 371 Implementation Plan
October 25, 2011
Presented by:**

Compliance Audit Working Group

Introduction

On September 19, 2011, Ballot 371 was passed with an effective date of July 1, 2013. Ballot 371 changes portions of the Plan and the Audit Procedures Manual. This document is a **DRAFT** proposal for the implementation of the changes required under Ballot 371. All agreed upon processes will be submitted to the Board of Directors for review, edits, and/or approval.

High Level Summary

The first step of the implementation plan will be to organize the participants. The second step will be to identify and precisely communicate the differences between the old and new language and how these differences will impact jurisdictions, registrants, and third party stakeholders while constantly documenting feedback from all parties. The third step, after considering feedback received in step two, will be to create training services and deliverables that can be provided in order to facilitate the uniform implementation of Ballot 371. The fourth step will be to address any issues identified prior to and after the implementation date and to evaluate the success of the implementation process.

Step One: Organize Implementation Participants
4th Quarter 2011

The CAWG, with Board approval, will be responsible for the implementation process. The CAWG has many members serving on IRP committees creating solid liaison channels.

To begin the organizational process a teleconference of IRP committee Chairs and Vice Chairs along with members of the CAWG will be held at 11:30 a.m. EST on November 2, 2011. During this teleconference each committee will be asked for their assistance in the implementation process. Specifically, they will be asked to align their committee responsibilities with implementation goals. Examples of this could include the Peer Review Committee modifying the review process to align with the new language. The Education Committee could assist in creating and presenting Webinars. The Audit Committee could work on providing examples of completed Interjurisdictional Audit Reports or Computation of Fees pages with 20% registration assessments. In many instances committees will need to work with each other to address language impacting multiple committee responsibilities. Many more opportunities for participation exist than

can be listed in this document. After the organizational teleconference, tasks and timelines will be determined.

As a part of organizing the participants in the implementation plan it is prudent to identify meetings where opportunities exist to engage in step two and step three activities. The first such meeting will be the IFTA/IRP Audit Workshop held January 4-6, 2012 in Tempe Arizona. Dave Nicholson and Jeff Hood will present a step two interaction at this meeting. The May 2012 Board meeting also represents a step two opportunity and a progression to step 3. It is important to note step two is a never-ending process.

Step Two: Identify and Communicate Changes/Impacts and Receive Feedback 1st and 2nd Quarters of 2012

Whenever changes are made to documents our community relies upon there are sure to be concerns needing to be addressed. There will be misunderstandings of the ballot language and of its impact on the whole audit process. It is the responsibility of every participant in the implementation process to fully understand the ballot language and how it differs from current language. In addition we need to recognize the relative importance of these changes to the various groups we will be communicating with.

In order to identify the changes and their impacts, each IRP committee and implementation participant should consider what the specific language means to them. No one is likely to identify all of the changes and all of their impacts so this needs to be a group effort. As a result of this group effort a document will be created listing the primary changes taking effect on July 1, 2013. It might be necessary to create another document tying the changes to their impacts on our daily activities. This work needs to be completed as soon as possible since these documents will be our touchstone for consistency.

As part of communicating the changes and their impacts we will reach out to each jurisdiction individually. Some jurisdictions did not support the ballot. Their input and participation should be sought as a way to move forward in this process. In addition jurisdictions not having resources to travel to meetings will have to be brought into the process through either webinars or individual contacts.

Effective communication requires active listening. We must engage all stakeholders to receive their feedback and to create instructional responses or services for their benefit. When they ask how they will implement a part of the Ballot language we need to provide solutions. This will engender uniformity and help preserve scarce stakeholder resources.

Step Three: Create and Present Training Modules and Deliverables
3rd Quarter of 2012 thru 2nd Quarter 2013

At this point we will have presented the changes and their impacts and received feedback from our community. We will be ready to create training modules and deliverables to them. This step will take center stage in the 3rd quarter of 2012 as we deliver services or examples easing the process of actual implementation for all affected parties.

The training modules that will be created will be dependent on the feedback we receive. They could be presented at workshops, annual meetings or by webinars. Possible modules could include:

1. Overview of Ballot 371
2. Specific Audit Application of Ballot 371
3. Jurisdictional Perspective
4. Registrant Perspective
5. Third Party Perspectives

The deliverables we provide will be directed by the requests we receive from the community. Examples of possible deliverables could include:

1. Templates for Interjurisdictional Audit Reports
2. Evaluation of Interjurisdictional Audit Reports as to compliance
3. Computation of Fees templates to show 20% assessments
4. Best Practices Guide under Ballot 371
5. Peer Review documents
6. General consulting

Address Remaining Issues and Evaluate Implementation Process
3rd and 4th Quarter 2013

After July 1, 2013, our primary concern will be addressing direct implementation issues as they arise. All affected parties will be putting what they have learned into practice and there are sure to be a few rough spots. We must provide guidance or assistance as needed. In addition we will need to evaluate the implementation process for strengths and weaknesses. The evaluation process should be performed jointly with individuals both inside and outside of the implementation process. A report should be created critiquing the process and listing any remaining work needing to be done.