



Event Attendance Policy & Procedure

As of August 2015

Introduction

At the business meeting held during the 2007 UPPO Annual Meeting, several members expressed to the Board concerns with allowing state-employed auditors and contract auditors of unclaimed property to attend UPPO events. After discussion of those concerns, almost all members in attendance indicated their approval for the proposition that state-employed auditors and contract auditors not be allowed to attend UPPO events. However, there is benefit to encouraging attendance by the individual(s) responsible for administering state unclaimed property programs. Based on the concerns that have been voiced by the membership, the following resolution is offered for discussion.

Policy Governing Attendance at UPPO Events

UPPO will not accept an application for attendance from: (1) anyone who is or has been directly or indirectly engaged by a state agency to perform “engagement services” within the 12 months immediately preceding the UPPO event in question; or (2) any state or other government employee or agent who has performed audit, review, or examination services relating to unclaimed or abandoned property within the 12 months immediately preceding the UPPO event in question. This does not automatically exclude the individual responsible for administering a state unclaimed property program and/or VDA compliance program.

A person or entity will be considered to perform “engagement services” where it has an active (i.e., not expired or terminated) contract or subcontract, or has had a contract or subcontract within the 12 months immediately preceding the UPPO event in question, to perform for a fee any service on behalf of a state that assists a state or states in detecting, assessing or evaluating compliance with state unclaimed property laws, including but not limited to reviews, audits, examinations or other compliance related procedures.

NAUPA Attendance at UPPO Events

To support UPPO’s Strategic Plan, specifically the goal for Government Relations and Advocacy and creating relationships with policy makers, UPPO shall extend a complimentary registration to the chief elected officer of the National Association of Unclaimed Property Administrators (NAUPA) to attend UPPO’s Annual Conference and domestic Holders Seminar(s). The invitation may not be transferred to any other party without the permission of UPPO’s President. All other state unclaimed property administrators are required to register at the published rate.

If a state unclaimed property administrator is requested to speak and subsequently accepted at the Annual Conference and/or Holders Seminar, their registration fee will be waived.



Policy Exceptions

The UPPO Board may make exceptions to the above policy if the Board deems that it is in the best interests of the membership or UPPO to make an exception. The exception must be agreed upon by a 2/3 vote of the voting Board members. The basis for the exception must be documented in writing. An exception request can be submitted for the Board's consideration by any UPPO member in good standing. The request must be submitted to the Board at least 30 days prior to the appropriate UPPO event.

Procedures:

1. Registration:

The following Meeting Eligibility Requirements can be found by members and non-members on the UPPO website, and is linked to all event registration pages:

Any individual, agent, representative, consultant, partnership, corporation, and other groups or legal entities whose purpose is to act on behalf of a state or governmental jurisdiction, for purposes of performing unclaimed property audits, reviews, examinations, or other compliance related procedures is precluded from attending any UPPO events.

Authority: UPPO Board of Directors, November 2007

Upon registration, individuals (both members and non-members) are required to accept the "Terms of Use":

By completing this purchase, you certify on behalf of the member company and yourself that neither:

1. Are employed by a state.
2. Have been or are currently engaged to provide audit services on behalf of a state within the past 12 months.

If your agreement is found to be false, UPPO reserves the right to deny access to events or membership.

Upon receipt, UPPO personnel review all registrations, including the following steps for non-member registrations:

- a) Review of each non-member registrant's company website
- b) Review of questionable non-member registrant's company profile via Hoovers subscription
- c) If/when UPPO personnel determine a registrant is ineligible to attend the event, the Board of Directors will be notified to make final determination, with the option to formally deny the registrant's access to the event in writing.

2. Contesting Eligibility for Attendance Process



UNCLAIMED PROPERTY
PROFESSIONALS ORGANIZATION

This may be either a member contesting the attendance of a registrant or a registrant contesting denial of their application.

- a) Request must be submitted to UPPO Administrator on standard form.
- b) Board will review submission and make a determination. A board member submitting a request cannot participate in the determination.
- c) Board will communicate the determination in writing to the appropriate parties.

3. Conference and Seminar Onsite Check-In

Conferences and seminars with onsite check-in will implement separate check-in tables for members and non-members. This will provide those checking non-members in with further opportunity to certify each individual's eligibility to attend, as well as provide information about UPPO membership.

Badge stock for conference and seminar nametags will differ in color to denote:

- a) Members
- b) Non-members
- c) State Administrators