



# North Carolina Department of Public Safety

## Private Protective Services Board

Roy Cooper, Governor  
Eddie M. Buffaloe, Jr., Secretary

Tamara Rabenold, Chair  
Paul Sherwin, Director

December 14, 2023

### MEMORANDUM FOR RECORD

SUBJECT: Follow-up Registration Compliance Audit Policy

The Private Protective Services Board voted during its meeting on Thursday, December 14, 2023, to enact the following policy regarding its use of follow-up registration compliance audits:

A follow-up registration compliance audit is typically ordered as part of a Board finding that registration violations occurred previously and is intended to determine whether a company has improved its registration compliance rate (the percentage of employees who were registered as required) relative to the initial registration compliance audit.

When ordering a follow-up audit, the standard time period for the audit will start with a quarter not less than six months from the date of the Grievance Committee meeting when the originating complaint is heard. For example, if a registration violation complaint is heard by the Board in December 2023, a follow-up audit would examine registration records beginning no earlier than Q3 (July, Aug., Sept.) of 2024; or for a registration violation complaint heard in April 2024, a follow-up audit would examine registration records beginning no earlier than Q4 (Oct., Nov., Dec.) of 2024; etc.

A typical follow-up registration compliance audit will examine two quarters (six months) of employee records, though the period covered by the audit is subject to the discretion of the Board.

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