

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
OFFICE OF EDUCATION SERVICES  
Policies and Procedures**

**PROGRAM COMPLIANCE REVIEW AND CORRECTIVE ACTION PROCEDURE**

**Effective Date:** April 12, 2002  
**Original Effective Date:** July 1, 2001  
**Reference:** [North Carolina Procedures Governing programs and Services for Children with Disabilities, August 2000 Edition](#)

**Purpose:**

To establish procedures to ensure compliance with appropriate local policies, state laws, federal laws and North Carolina State Board of Education Procedures Governing Programs and Services for Children with Disabilities.

**Target Group:**

All OES employees

**Policy:**

Exceptional children's records shall be reviewed for compliance in the following areas:

1. initial placement
2. re-evaluation
3. change in area of eligibility and/or level of service
4. Individual Education Program

The review and corrective action process will include:

1. The establishment of compliance team for each residential school.
2. An initial review of student files 30 days following admission or a re-evaluation.
3. Use of program compliance review form completed on each folder. (The PCR forms will differ according to area of disability and will be reflected in the lower left corner of the review sheet).
4. A follow-up date on each record-reviewed 4-6 weeks after the first review date. Copies of all completed PCR forms will be provided to the lead building administrator.
5. If correction(s) were not made at the time of follow-up, a second notification form [Compliance Issues – Response Form](#) will be completed and given to the School Director and Exceptional Children's Director.
6. The Response form will outline non-compliant issues to be corrected and a second deadline date for when issues are to be resolved.
7. A second follow-up review will be completed on non-compliant files as documented on the Response Form(s). The Response Form(s) will then be checked to document status of corrective action(s).

8. A second copy of the Response Form will be provided to the School Director, Exceptional Children's Director and the Superintendent of OES. This form will reflect further action to be taken as deemed necessary.

**Special Note(s):** N/A