



## **SAMPLE: CONTENT AND FORMAT OF PRELIMINARY REPORT**

**Preliminary Report of Inquiry  
Conducted by the Department of Health  
Children's Medical Services  
Involving Local Early Steps and/or Provider**

### **BACKGROUND**

This section includes a summary of events relating to the receipt of the complaint, the issues, records reviewed, personnel interviewed, and other pertinent information such as whether mediation was held and whether the complaint timeline was extended.

### **DRAFT FINDINGS OF FACT**

Each allegation is listed as a separate issue and is stated as a question (e.g. "Was the family given a written copy and verbal explanation of all relevant procedural safeguards?") The child's initials, not name, will be used.

#### **ISSUE 1: Question**

##### **Applicable Statutes and Regulations**

Summary of the laws, regulations, and policies related to this issue/allegation.

##### **Summary of Complainant's Allegations**

Summary of the allegations of the complainant related to this issue.

##### **Summary of Evidence**

Includes relevant information obtained from the inquiry (document review, interviews, etc.)

##### **Summary of Local Early Step's (or other party's) Response**

Summary of response received from the program or provider related to this issue/allegation.