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.