

# HRB Evidence File Packet

A printable packet of evidence categories and file cards for external documentation.

## Packet use

Use this packet to organize evidence categories and file cards for external documentation. Completed evidence remains outside the toolkit.

## Evidence packet checklist

- Confirm the duty path for the file.
- Identify required records and optional supporting records.
- Attach source versions and reviewer notes.
- Retain delivery, approval, and exception records.
- Route sensitive questions before closing the file.

## Checklist

- You need one PDF packet for evidence categories, file cards, and retention prompts.

## Review triggers

- Uploads, saved entries, or task status. Keep completed evidence externally.

## Evidence examples

- Completed external evidence files
- Source versions
- Reviewer notes
- Distribution record

## Reminder

This toolkit provides educational and operating-model resources. It does not assign responsibility, manage implementation tasks, replace plan documents, or provide legal, tax, payroll, Medicare, carrier, or individualized benefits advice.

## Evidence categories

- Strategy & Plan Design: Feasibility, class design, contribution strategy, and affordability assumptions.
- Finance & Funding: Funding controls, payment setup, reimbursement workflow, and monthly reconciliation.
- Operations & Implementation: Eligibility, new hire, termination, offboarding, QLE, and SEP resources.
- Compliance & Governance: Plan documents, notices, attestations, reporting, continuation rights, privacy, and audit records.
- Employee Experience: Education, enrollment, payment support, reimbursement support, and renewal evidence.

## Feasibility Memo and Go/No-Go Recommendation

- Category: Strategy & Plan Design
- Purpose: Use this to document whether the reimbursement model is viable before implementation resources are committed.
- Source files reviewed
- Reviewer identified when needed
- Exceptions logged
- Final artifact stored externally

## Class Worksheet and Review Notes

- Category: Strategy & Plan Design
- Purpose: Use this to retain class structure assumptions, eligibility criteria, reviewer notes, and approval evidence.
- Source files reviewed
- Reviewer identified when needed
- Exceptions logged
- Final artifact stored externally

## Contribution Model and Approval Record

- Category: Strategy & Plan Design
- Purpose: Use this to preserve contribution design decisions, modeling assumptions, and final approval support.
- Source files reviewed
- Reviewer identified when needed
- Exceptions logged
- Final artifact stored externally

## Affordability File and Assumptions

- Category: Strategy & Plan Design
  - Purpose: Use this to organize affordability assumptions, safe-harbor inputs, and review notes before relying on contribution results.
  - Source files reviewed
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- Reviewer identified when needed
- Exceptions logged
- Final artifact stored externally

### **Funding Workflow and Payment Issue Process**

- Category: Strategy & Plan Design
- Purpose: Use this to document funding controls, payment timing, issue routing, and reconciliation owners.
- Source files reviewed
- Reviewer identified when needed
- Exceptions logged
- Final artifact stored externally

### **Monthly Reconciliation Report and Discrepancy Log**

- Category: Finance & Funding
- Purpose: Use this to track monthly reimbursement totals, discrepancies, corrections, and retained finance support.
- Source files reviewed
- Reviewer identified when needed
- Exceptions logged
- Final artifact stored externally

### **Validated Eligibility File and Load Report**

- Category: Finance & Funding
- Purpose: Use this to retain eligibility source files, validation checks, load confirmation, and exception handling.
- Source files reviewed
- Reviewer identified when needed
- Exceptions logged
- Final artifact stored externally

### **New Hire Procedure and Notice Evidence**

- Category: Finance & Funding
- Purpose: Use this to document new-hire timing, notice delivery support, and enrollment handoff evidence.
- Source files reviewed
- Reviewer identified when needed
- Exceptions logged
- Final artifact stored externally

### **Offboarding Workflow and Continuation Handoff**

- Category: Finance & Funding
  - Purpose: Use this to preserve termination timing, offboarding actions, and continuation-rights handoff evidence.
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- Source files reviewed
- Reviewer identified when needed
- Exceptions logged
- Final artifact stored externally

### **QLE/SEP Workflow and Employee Instructions**

- Category: Finance & Funding
- Purpose: Use this to document qualifying event intake, special enrollment instructions, and employee support routing.
- Source files reviewed
- Reviewer identified when needed
- Exceptions logged
- Final artifact stored externally

### **Executed Plan Document and Adoption Record**

- Category: Operations & Implementation
- Purpose: Use this to retain adopted plan documents, approval records, and governance evidence in one reference point.
- Source files reviewed
- Reviewer identified when needed
- Exceptions logged
- Final artifact stored externally

### **SPD/SMM and Distribution Evidence**

- Category: Operations & Implementation
- Purpose: Use this to preserve summary document distribution records, recipient scope, and update evidence.
- Source files reviewed
- Reviewer identified when needed
- Exceptions logged
- Final artifact stored externally

### **Notice Package and Delivery Log**

- Category: Operations & Implementation
  - Purpose: Use this to document required notice packages, delivery method, recipient scope, and retained delivery proof.
  - Source files reviewed
  - Reviewer identified when needed
  - Exceptions logged
  - Final artifact stored externally
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## **Attestation and Proof-of-Coverage Records**

- Category: Operations & Implementation
- Purpose: Use this to organize coverage attestations, proof records, review notes, and exception handling.
- Source files reviewed
- Reviewer identified when needed
- Exceptions logged
- Final artifact stored externally

## **Reporting Support File and Filing Evidence**

- Category: Operations & Implementation
- Purpose: Use this to retain reporting inputs, filing support, review notes, and final confirmation evidence.
- Source files reviewed
- Reviewer identified when needed
- Exceptions logged
- Final artifact stored externally

## **Privacy Review, Data Map, and Access List**

- Category: Compliance & Governance
- Purpose: Use this to document data flows, access limits, privacy review notes, and vendor handoff boundaries.
- Source files reviewed
- Reviewer identified when needed
- Exceptions logged
- Final artifact stored externally

## **Audit File Index and Records**

- Category: Compliance & Governance
- Purpose: Use this to maintain a structured index of records, owners, storage locations, and review history.
- Source files reviewed
- Reviewer identified when needed
- Exceptions logged
- Final artifact stored externally

## **Education Resource, FAQ, and Attendance Evidence**

- Category: Compliance & Governance
  - Purpose: Use this to retain employee education materials, attendance support, and FAQ version history.
  - Source files reviewed
  - Reviewer identified when needed
  - Exceptions logged
  - Final artifact stored externally
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## Support Routing and Plan Shopping Support Record

- Category: Compliance & Governance
- Purpose: Use this to document support routing, plan-shopping boundaries, and employee assistance records.
- Source files reviewed
- Reviewer identified when needed
- Exceptions logged
- Final artifact stored externally

## Payment Instructions and Failed Payment Escalation Process

- Category: Compliance & Governance
- Purpose: Use this to preserve payment instructions, failed-payment routing, escalation notes, and resolution evidence.
- Source files reviewed
- Reviewer identified when needed
- Exceptions logged
- Final artifact stored externally

## Reimbursement Guide and Support Log

- Category: Employee Experience
- Purpose: Use this to document reimbursement instructions, proof support, issue handling, and substantiation boundaries.
- Source files reviewed
- Reviewer identified when needed
- Exceptions logged
- Final artifact stored externally

## Renewal Memo and Updated Notices

- Category: Employee Experience
- Purpose: Use this to retain renewal decisions, updated notice support, change notes, and next-year assumptions.
- Source files reviewed
- Reviewer identified when needed
- Exceptions logged
- Final artifact stored externally

## Educational disclaimer

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