

**ATTACHMENT IX-B**  
**Special Needs Plans (SNPs) - Model of Care Implementation**  
**Sample Case File Minimum Documentation Required**  
**Audit Evaluation Process**

**Purpose:** To advise plan of the minimum documentation required for each of the sample cases requested by CMS to conduct audit activities.

**Instructions:** The plan must include all documentation detailed below for each sample case. The plan may include additional documentation not specifically requested for the purpose of providing additional detail or clarity. Such additional documentation may include, but is not limited to, a narrative summary of the case. Where appropriate, plan's case documentation should be provided via screen prints/screen shots from the plan's enrollment, claims adjudication system(s), as well as applicable system notes. The plan should mark each element on the screen print or provide a sample case as a legend. A naming convention will be provided for the plan to use when uploading the case documentation to the SFTP in the documentation request list provided by CMS.

**I. Population to be Served- Enrollment Verification**

Minimum documentation to include:

A. For all sampled cases:

1. Copy of enrollment request documentation (e.g., copy of the enrollment form or documentation of other enrollment mechanism, such as telephonic or Online Enrollment Center request) with evidence of receipt date and beneficiary's attestation of eligibility for the election period submitted by the sponsor;
2. Documentation showing sponsor's verification of SNP eligibility prior to submission of the enrollment to CMS;
3. Documentation showing sponsor's ongoing verification of SNP eligibility;
4. Documentation of the length of the period of deemed continued eligibility (e.g., language used to describe the grace period in the EOC);
5. Screen-print of enrollment effective date shown in sponsor's internal system(s) and key to interpreting the screen print.

**II. Appropriateness of the Health Risk Assessment (HRA), Interdisciplinary Care Team (ICT), Implementation of the Individualized Care Plan (ICP), and Evidence of MOC training**

Minimum documentation to include:

A. For all sampled cases:

1. Copy of completed HRA;
2. Copy of ICP;
3. Membership in the ICT with evidence of appropriate credentials;
4. All claims, encounters and PDEs for the past 13 months for the member;

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5. Information of plan's process to confirm MOC training for network providers and ICT members.
6. Evidence that plan confirmation has occurred for MOC training of network providers and ICT members.

**III. Plan Performance Monitoring and Evaluation of the Model of Care**

Minimum documentation to include:

- A. Copies of all reports with data drawn to evaluate the performance of the MOC;
- B. Meeting minutes of oversight group for monitoring and evaluation of the MOC;
- C. Copy of annual evaluation of MOC performance;
- D. Copy of any communications resulting from the annual evaluation of the MOC;
- E. Copy of any corrective action plans or updates to the MOC resulting from the annual evaluation.