



Health Plan & Management Services

ARCADIAN HEALTH PLAN

Policy Title: Scope of Appointment Form Process	Policy Number: MKT-033	
Department/Owner: Marketing and Sales	Effective Date: 1/2009	Date(s) Last Revised:
Approved By: (name/title) Mark Lopez, VP of National Sales Distribution	Exec Approval By: [EXE name]	
Written By: Paige Hamm	Approval Date: [date]	

I. Policy / References

Arcadian Health Plans (AHP) will ensure all sales agents adhere to the Scope of Appointment (SOA) guidance set forth by the Medicare Improvements for Patients and Providers Act (MIPPA). Sales agents are required to utilize the SOA form (See Attachments) approved by the Centers for Medicare and Medicaid Services (CMS) or a mechanism to record an audio version of the SOA.

- 42 CFR 422.2268(g) and (h); 423.2268(g) and (h) -- CMS 4138-IFC
- CMS Marketing Q&A 11-7-08

II. Definitions

Scope of Appointment - A written or audio-recorded agreement by the prospect and the sales agent stating that the prospect understands what products will be discussed and the date/time of a sales appointment.

III. Procedure

1. A prospect must complete the SOA prior to a sales appointment to discuss any Medicare Advantage (MA) or Prescription Drug Plan (PDP) product. This form must indicate the product type(s) to be discussed during the sales appointment. The enrollee must initial the SOA next to the product type(s), as well as sign and date the form.
 - a. Face-to-Face: If the sales appointment is scheduled during a face-to-face meeting (e.g. sales seminar), then it is expected that a SOA form be completed at this time.
 - b. Walk-In sessions will require a SOA be completed prior to discussion of product offerings.
 - c. Inbound Call (recording): If the sales appointment is scheduled during an inbound call from the prospect, then an audio recording



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- (capturing both the prospect's and sales agent's statements of agreement) is expected to be completed if this mechanism is available.
- d. Inbound Call (no recording): If no audio recording mechanism is available, a SOA form can be sent to the prospect and must be returned to the sales agent prior to the sales appointment. This transaction can be completed via postal mail, email, or facsimile.
 - e. If a situation occurs where it is not feasible to obtain the completed SOA form prior to the sales appointment, the sales representative may obtain the form at the sales appointment immediately **prior** to beginning sales activities.
2. SOA documentation is not required for a group sales seminar or educational events.
 3. The SOA limits the products the sales agent can discuss at each sales appointment:
 - a. If the agent is meeting with a prospect regarding lines of business which are not MA or PDP products, the beneficiary must request information regarding MA or PDP products before a discussion of such can occur. Per CMS guidance provided 11-7-08, "When a beneficiary asks to discuss another product type, the agent must have the beneficiary sign a new Scope of Appointment form for the new product type and then may continue the marketing appointment. A new separate appointment is not required."
 - b. Contacts from a reply card may only discuss products included in the advertisement.
 4. The SOA form or audio recording (along with the Individual Enrollment Form, if applicable for confirmation of the product(s) discussed) must be retained by the agent for a minimum of 10 years (per CMS record retention guidelines). The form must be made readily available upon request by AHP, CMS or any state authority. Failure to provide such form upon request may result in disciplinary action.



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IV. Attachments

Scope of Appointment Form Cover Letter:

Thank you for your interest.

You have contacted us and agreed to a sales presentation regarding Medicare Health Plans. Please review the enclosed Scope of Appointment Form and select the Medicare Health Plan(s) you are interested in discussing during our visit.

It is imperative that you complete the attached form and return to me prior to our meeting date and time so that I may discuss your Medicare health Plan options with you. [Please return the form in the enclosed envelope].

[Should you have any questions please do not hesitate to contact me at [telephone number].

I look forward to meeting with you.

[name]

[plan or agency]

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Scope of Appointment Form:

Scope of Sales Appointment Confirmation Form

To be completed by person with Medicare.

Please initial below in the box beside the plan type that you want the agent to discuss with you. If you do not want the agent to discuss a plan type with you, please leave the box empty. (Please note that an agent may also discuss a Medicare Supplement policy with you.)

<input type="checkbox"/>	Stand-alone Medicare Prescription Drug Plans (Part D)
	Medicare Prescription Drug Plan (PDP) — A stand-alone drug plan that adds prescription drug coverage to the Original Medicare Plan, some Medicare Cost Plans, some Medicare Private-Fee-for-Service Plans, and Medicare Medical Savings Account Plans.
<input type="checkbox"/>	Medicare Advantage (Part C), Medicare Advantage Prescription Drug Plans, and other Medicare Plans
	Medicare Health Maintenance Organization (HMO) — A Medicare Advantage Plan that must cover all Part A and Part B health care. In most HMOs, you can only go to doctors, specialists, or hospitals in the plan’s network except in an emergency.
	Medicare Preferred Provider Organization (PPO) Plan — A type of Medicare Advantage Plan available in a local or regional area in which you pay less if you use doctors, hospitals, and providers that belong to the network. You can use doctors, hospitals, and providers outside of the network for an additional cost.
	Medicare Private Fee-For-Service (PFFS) Plan — A type of Medicare Advantage Plan in which you may go to any Medicare-approved doctor or hospital that accepts the plan’s payment and terms and conditions.
	Medicare Special Needs Plan (SNP) — A special type of Medicare Advantage Plan that provides more focused and specialized health care for specific groups of people, such as those who have both Medicare and Medicaid, who reside in a nursing home, or have certain chronic medical conditions.
	Medicare Medical Savings Account (MSA) Plan — MSA Plans combine a high deductible Medicare Advantage Plan and a bank account. The plan deposits money from Medicare in the account. You can use it to pay your medical expenses until your deductible is met.
	Medicare Cost Plan — A type of health plan. In a Medicare Cost Plan, if you get services outside of the plan’s network without a referral, your Medicare-covered services will be paid for under the Original Medicare Plan (your Cost Plan pays for emergency services, or urgently needed services).



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By signing this you are agreeing to a sales meeting with a sales agent to discuss the specific types of products you initialed above. The person that will be discussing plan options with you is either employed or contracted by a Medicare health plan or prescription drug plan that is not the Federal government, and they may be compensated based on your enrollment in a plan.

Signing this does NOT affect your current enrollment, nor will it enroll you in a Medicare Advantage Plan, Prescription Drug Plan, or other Medicare plan.

Beneficiary Signature: _____

If you are the authorized representative, you must sign above and provide the following information: Name: _____ Address: _____ Phone number: _____ Relationship to Beneficiary: _____

To be completed by Agent:

Agent Name:	Agent Phone:
Beneficiary Name:	Beneficiary Phone:
Beneficiary Address:	
Initial Method of Contact: (Indicate here if beneficiary was a walk-in.)	
Agent's Signature:	
[Plan Use Only:]	

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