INSTRUCTIONS FOR SCOPE OF APPOINTMENT DOCUMENTATION

When is the Scope of Appointment form required?

- The scope of appointment form is required under the following circumstances:
  - In-home sales appointments or personal/individual appointments with an existing member/client in office, coffee shop or other similar location;
  - For appointments with new members / clients (not existing members / clients); and/or
  - When a plan or agent/broker sells more than one type of product.

If a beneficiary requested to discuss another product (e.g. MA during a PDP appointment) during their appointment, is the agent/broker required to complete a new Scope of Appointment documentation form?

- A new Scope of Appointment form is required if the beneficiary has requested to discuss another product type during the appointment. However, a new appointment is not required. The additional product can be discussed as soon as the beneficiary request is documented.

Should the Scope of Appointment form be completed prior to the appointment?

- The Scope of Appointment form should be completed by the beneficiary and returned prior to the appointment.
- If it is not feasible for the Scope of Appointment form to be executed prior to the appointment, an agent may have the beneficiary sign the form at the beginning of the marketing appointment.

How should the Scope of Appointment form be documented?

- CMS-approved Scope of Appointment form (either model or non-model)
- CMS-approved oral/recording Script of the Sales Appointment Confirmation
- CMS-approved business reply card
- Organizations are allowed to use various means for appropriate documentation (e.g. fax, email etc.)

Is the Scope of Appointment form required at sales events?

- Sales events do not require documentation of beneficiary agreement because they are not personal/individual appointments.
- The scope of products that will be discussed during a sales event must be indicated on all event advertising materials.
- Beneficiaries are not required to complete and sign the Scope of Appointment form prior to participating at a sales event.
- Beneficiaries may sign a Scope of Appointment form at a sales presentation to a group of beneficiaries for a follow-up appointment. (The follow-up appointment does not need to be held 48 hours later; it may be held at the venue immediately following the sales presentation)

Are plans required to use the model Scope of Appointment form developed by CMS?

- While not required, plans are encouraged to use model Scope of Appointment form for an expedited review. Plans may submit the model Scope of Appointment form through File & Use Certification.

Can brokers or agents selling for more than one plan use the model Scope of Appointment form for all its contracted plan sponsors?

- Since there are no organization specific details in the model Scope of Appointment form, the model form can be used by agents for multiple organizations.

Please contact us with any questions!

800-365-8208
compliance@premiersmi.com
www.premiercoinc.com/Public/Compliance.aspx

We are here to support you!

PREMIER® MARKETING

AN INTEGRITY COMPANY

Support You Expect. Success You Deserve.