



SOP Name:	Regulatory Review – MA Sales Proctoring
Division:	Compliance (MA)
Review Date:	11/11/2016
Rationale	Monitoring of Medicare Advantage Sales Representatives
Process	<p><u>Accessing Monthly Event Report in HPMS</u></p> <ol style="list-style-type: none"> 1. Login to HPMS 2. Under “Monitoring” drop down select “Marketing Review” 3. Select ‘Extracts’ 4. Select ‘Event Extract’ 5. In Contract Number drop down select “Y0119- CareSource MAPD” 6. Select appropriate Month , Event Year and Event Date Range 7. Select Submit 8. Save event text document to computer. (i.e. Event_2016_11_16.txt) 9. Open Excel to convert txt file to excel spreadsheet. 10. In excel select Open and then open text file saved to computer. 11. Text Import Wizard will appear : select Delimited and hit Next 12. Ensure Tab is selected in import wizard and hit Next 13. Ensure General is selected and hit Finish 14. Highlight row 1 and Add Filter. 15. Hide Columns B-F , I-L, & Q 16. Filter Column M ‘Event Type’ by selecting Formal 17. Save document to Q:\Corporate Compliance\Private\Medicare Advantage Y0119\MA Marketing Event <p><u>Selecting Marketing Event</u></p> <ol style="list-style-type: none"> 1. Open most recent dated Sales event spreadsheet from Q:\Corporate Compliance\Private\Medicare Advantage Y0119\MA Marketing Event 2. Review time, location and Sale Representative to determine which event is most appropriate to attend. 3. In last column place name of compliance personal attending. 4. Add event to personal calendar in Microsoft Office to ensure no other items are scheduled at the same time / date. 5. 2-3 days before event send an email to Sales Representative and copy the Compliance inbox with field evaluation form. (See example in additional references below.) <p><u>Proctoring Marketing Event</u></p> <ol style="list-style-type: none"> 1. Arrive to event 20-30 minutes prior to scheduled time. 2. Review monitoring sheet with Sales Representative / answering any questions they may have in regards to proctoring.

	<ol style="list-style-type: none"> 3. Using evaluation sheet answer all relevant areas during presentation. 4. Once all prospective enrollees have left event review evaluation with sales representative. 5. Ensure representative understands scores and initials each page. 6. Upon completion of evaluation form both compliance personal and Sales Representative are to sign the last page of form. 7. Use completed evaluation form to complete Auditing Template. 8. Save completed template with naming convention. MA_YYYY_MM_Sales proctoring Report to Q:\Corporate Compliance\Private!\Compliance Plan and Documentation\Element 5- Internal monitoring and auditing\Audit Reports\2016\MA. 9. Send notice to Compliance manager and CC team inbox naming convention with location that report is completed and if any addition action is needed by sales team.
<p>Additional references:</p>	<p>Sales Representative Pre-proctoring Email</p> <p>Hello,</p> <p>As part of the Corporate Compliance team, I wish to inform you that I plan to attend the scheduled MA sales event on Thursday 10/27/16 at the [specific site location].</p> <p>Corporate Compliance will complete field monitoring throughout AEP using the attached form. I plan to arrive approximately 20-30 minutes before the start of the event to introduce myself and answer any questions you may have before you begin. Corporate Compliance will proctor events in all states in which we have business to assess compliance and further document best practices of MA sales representatives. All proctored events are chosen at random.</p> <p>Will you please review the information below to confirm accuracy? In addition, please confirm that the event is still scheduled to take place and advise how many attendees you expect.</p> <p>Information and details on event here</p> <p>Please advise of any additional details I may need in locating the building or room if necessary and or a cell phone number that I may contact should issues with my arrival arise.</p> <p>You may reply with any questions you may have prior to the event. I appreciate your time and look forward to meeting you this week.</p> <p>-Compliance</p>