Checklists for Formal and Informal Sales Events



Checklist for All Sales Events — Formal and Informal

Both formal and informal sales events share steps and preparation tips. Start with this list, then make sure to consult the Formal or Informal checklist (below) relevant to your event. This helps ensure compliance — and that your event is successful!

Before Event	During Event	After Event
☐ Report the Sales Meeting with carriers according to carrier processes. ☐ Secure venue for your event. ☐ Compliantly market your event. ☐ Know how to enroll online and via paper. ☐ Know the steps of a compliant sales presentation. ☐ Order any handouts or promotional materials. ☐ Have enrollment kits for carriers. ☐ Have Consent to Contact forms & Scope of Appointment forms. ☐ Have event kit prepared.	☐ Prepare your area with materials, chairs if needed, etc. ☐ Ensure you have pens for attendees. Compliant promotional items are fine as well. ☐ Stay compliant during presentation and with interactions with beneficiaries. ☐ This cannot be required, but you can collect Consent to Contact or Scope of Appointment forms for follow-up. ☐ Be prepared to enroll all while they are with you. Walk them through the application. If Oct 15th–Dec 7th, you can collect applications and submit for member.	☐ Set aside time to follow up with all who completed Consent to Contact forms. ☐ When setting appointments, ensure you follow CMS guidelines for Scope of Appointment completion applicable to the given plan year.

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If You Have to Cancel Your Event (Formal and Informal)

First, you should avoid canceling an event at all costs, but we know some things may be out of your control. If you must cancel an event, **there are best practices you should be aware of.**

- You should strive to give your attendees at least 48 hours' notice of the cancellation.
- Notify your carrier(s) and your upline as early as possible — and know each carrier's requirements regarding cancellations.
- Notify the venue. Some venues may have specific cancellation policies. (Ask about those policies when you book your event.)
- Contact your attendees in the same way you contacted them initially, if possible, to let them know of the cancellation. If you can't do so, your carriers may require an explanation of why you could not do that.

If you cannot provide at least 48 hours' notice of cancellation:

- Notify your carrier(s) and your upline as early as possible.
- Notify the venue. Some venues may have specific cancellation policies. (Ask about those policies when you book your event.)
- **Be present or have a rep present at the venue** at the original event start time, and provide relevant plan information. Depending on the circumstances, you or your rep may need to remain there until at least 30 min. after the original start time.

Remember, both CMS and your carriers will sometimes send out "secret shoppers" to your event to see if you are in compliance with Medicare regulations. As long as you plan your event properly and review the regulations involved, you should have no problems.

Extra Help Resources

LIS APPLICATION: **https://secure.ssa.gov/extrahelp**

Apply for Medicaid: **Contact your state Medicaid agency**. You must be a resident of the state where you are applying for benefits.

Many states offer help paying for prescriptions, drug plan premiums and/or other drug costs. Find out if your state has a Qualified **State Pharmaceutical Assistance Program**.

Use these in addition to the checklist for both types of events.

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Formal Sales Event Checklist

Before Event	During Event	After Event
☐ File event with carrier with specific plan information that you will be presenting. ☐ Collect RSVPs, call to confirm 1 day prior to event. ☐ Invite current members or prospects that would benefit. ☐ When available, utilize the carrier's pre-approved PPT sales presentation. ☐ Have the application in PPT so you can display and walk attendees through the application, one step at a time. Complete with examples.	☐ Prepare your presentation by testing the technology being used. ☐ Make sure room/table is set up to your liking, e.g., tables & chairs. ☐ Ensure you have a pen and notepad for each attendee. Promotional items are fine as well. ☐ Stay compliant during presentation and with interactions with beneficiaries. ☐ Schedule appointments for those who need to discuss a different plan. ☐ Be prepared to complete enrollments. Walk them through the application.	☐ Be certain to follow up on any beneficiary information, provided that you have obtained the proper Permission to Contact (PTC).

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Formal Sales Events Compliance

Do's

- Register sales events with the proper carrier with contract number for plan you are presenting.
- Hold meeting in a public setting where individuals do not receive health care services. Make certain there is handicap accessibility.
- Use sign-in sheets that clearly indicate providing information is optional.
- Name product and plan types (contract name and number) you'll be covering before starting.
- Use only carrier- and CMS-approved materials and talking points.
- Distribute all required documents as you would with any Medicare plan appointment/enrollment.
- Provide light refreshments only — cannot constitute a meal.
- Can collect SOAs.
- Collect RSVPs with a compliant disclaimer: "Your RSVP acknowledges that we may contact you before the seminar to confirm your attendance. This RSVP does not constitute Permission to Contact you for marketing purposes."
- Can collect enrollment applications (**if a consumer has a valid election period**).

Don'ts

- Use unsubstantiated or disparaging statements when comparing one carrier's plan to another.
- Provide meals for attendees.
- Discuss or cross-sell products that are non-health care related (e.g., annuities, life insurance).
- Use RSVP contact information provided by attendees for any other purpose.
- Give away cash, gift cards or other monetary rebates.
- Require attendees to fill out Scope of Appointment forms, enrollment forms or sign-in sheets.
- Until 10/1/2026 when the CMS Final Rule is effective, agents cannot hold a sales event within 12 hours of an educational meeting in the same location or building.

Use this in addition to the checklist for both types of events.

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Informal Sales Event Checklist

Before Event	During Event	After Event
☐ Market your event. ☐ Have items prepared to display to attract beneficiaries to speak with you.	☐ Ensure you have your space set up to make beneficiaries want to approach you. ☐ Be approachable (not on phone, computer, etc.). ☐ Set out all promotional materials and handouts. ☐ Cannot be required, but you may collect Consent to Contract forms. ☐ Schedule appointments. ☐ Be prepared to enroll when possible.	☐ Set aside time to call all who filled out PTC to schedule in-home appointments. ☐ Send out thank-you card with a business card attached.

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Informal Sales Events Compliance

Do's

- Report your event to all carriers you'll possibly be discussing during your event.
- Let beneficiaries approach you first at all events.
- Use only carrier- and CMS-approved presentations and marketing materials.
- Give away promotional items that include plan name, logo, toll-free number and/or carrier website.
- Use sign-in sheets that clearly indicate providing contact information is optional.
- Provide refreshments or light snacks. (Max $15 combined nominal retail value; when combined with any other gift, must not exceed $15 on a per person basis).
- Distribute Star Ratings information, Summary of Benefits, Pre-Enrollment Checklist and any CMS-required language assistance notice/documentation provided by the plan with any enrollment form.
- Collect Permission to Contact cards.
- Hand out your business card.
- Arrange follow-up appointments.
- Collect SOA when needed.
- Collect enrollment applications as long as the enrollee has a valid election period.
- Afterward, call attendees who signed a PTC.

Don'ts

- Don't use unsubstantiated or disparaging statements when comparing one carrier's plan to another.
- Provide meals for attendees.
- Discuss or cross-sell products that are non-health care related (e.g., annuities, life insurance).
- Use RSVP contact information provided by attendees for any other purpose.
- Give away cash, gift cards or other monetary rebates.
- Require attendees to fill out Scope of Appointment forms, enrollment forms or sign-in sheets.
- Until 10/1/2026 when the CMS Final Rule is effective, agents cannot hold a sales event within 12 hours of an educational meeting in the same location.

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