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| STATE HEALTH INSURANCE PROGRAM (SHIP) Introduction | DAIL - SHIP - 21.1 |
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Introduction

The State Health Insurance Assistance Program, or SHIP, is a state-based program that offers local one-on-one counseling and assistance to people with Medicare and their families. Through CMS funded grants directed to states, SHIPs provide free counseling and assistance via telephone and face-to-face interactive sessions, public education presentations and programs, and media activities.

SHIP (formerly the Information, Counseling and Assistance (ICA) Grants Program) was created under Section 4360 of the Omnibus Budget Reconciliation Act (OBRA) of 1990 (Public Law 101-508). This Act authorizes the Centers for Medicare & Medicaid Services (CMS), the Federal Medicare agency, to make grants to states for health advisory services programs for people with Medicare. Currently, there are SHIPs in all 50 states plus Washington, D.C., Guam, Puerto Rico and the Virgin Islands.

Although States have adopted a variety of methods to provide such services to individuals, Section 4360 of the Omnibus Budget Reconciliation Act of 1990 requires that each State program must encompass all of the following activities:

- (1) Counseling and assistance to eligible individuals in need of health insurance information, including:
 - (a) Information that may be of assistance to individuals in obtaining benefits and filing claims under Titles XVIII and XIX of the Social Security Act.
 - (b) Policy comparison information for Medicare supplemental policies (as described in section 1882(g)(1) of the Social Security Act, as amended) and information that may assist eligible individuals with filing claims under such Medicare supplemental policies.
 - (c) Information regarding long-term care insurance.
 - (d) Information regarding Medicaid programs, including Medicare Savings Programs.
 - (e) Information provided to individuals detailing other types of health insurance benefits that may be available to eligible individuals throughout the State.
 - (f) Information regarding health insurance coverage options created under the Balanced Budget Act of 1997 and subsequent amendments under the Balanced Budget Refinement Act of 1999, and the Benefits Improvement and Protection Act of 2000, and the Medicare Prescription Drug, Improvement and Modernization Act (DIMA) of 2003.

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- (2) Outreach programs, other than one-on-one counseling, to provide health insurance information, counseling, and assistance to eligible individuals.
- (3) Systems of referral to appropriate Federal or State departments or agencies that provide assistance with problems related to health insurance coverage (including legal problems).
- (4) Establishing a sufficient number of staff positions (including volunteers) necessary to provide the services of a health insurance information, counseling, and assistance program.
- (5) Assuring SHIP staff members (including volunteers) have no conflict of interest in providing health insurance information, counseling and assistance, and abiding by the *SHIP Security Plan Guidelines* for safeguarding confidential beneficiary information.
- (6) Collecting and disseminating timely and accurate health insurance information to staff members (including volunteers).
- (7) Training programs for staff members (including volunteers).
- (8) Coordination of health insurance information-sharing between the staff of departments and agencies of the State government, and other pertinent federal agencies including CMS and SHIP staff (including volunteers).
- (9) Making recommendations concerning consumer issues and complaints related to the provision of health care to agencies and departments of the State and Federal government responsible for providing or regulating health insurance.

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| STATE HEALTH INSURANCE PROGRAM (SHIP) Personalized Counseling | DAIL - SHIP - 21.2 |
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Personalized Counseling

SHIPs will provide personalized counseling to a diverse population of Medicare beneficiaries unable to access other channels of information or needing and preferring locally based individual counseling services.

Procedure:

- (1) The local SHIPs will provide information, counseling, and assistance to meet the personalized needs of the Medicare beneficiaries, their families, and caregivers, in regards to Medicare, Medicaid, Long-Term Care Insurance, Medigap policies, prescription assistance, and other health insurance issues.
- (2) The local SHIPS will assist in enrollment and application via phone, computer, home visits, and outreach events. LIS applications can be completed on line, by phone, or home visits. Information about location of their local Social Security Administration Office is to be given to the beneficiaries, if the beneficiaries prefer to complete the application through their local SSA Office.

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| STATE HEALTH INSURANCE PROGRAM (SHIP) Targeted Community Outreach | DAIL - SHIP - 21.3 |
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Targeted Community Outreach

SHIPs will conduct targeted community outreach to beneficiaries in public forums either under their sponsorship or with community-based partners or coalitions to increase understanding of Medicare program benefits, and raise awareness of the opportunities for assistance with benefit and plan selection.

Procedure:

The SHIP in Kentucky will reach out to community-based partners to reach low-income populations, including the elderly living in rural areas, African Americans, and seniors with disabilities. Partnerships will be pursued with the following entities or agencies:

- (1) Clinics,
- (2) Hospitals,
- (3) Home health agencies,
- (4) Case managers,
- (5) Physicians' offices,
- (6) Pharmacies,
- (7) Libraries,
- (8) Church groups,
- (9) Housing complexes,
- (10) Kentucky Seniors Saving Medicare,
- (11) Social Security Administration,
- (12) Office of Insurance,
- (13) Department for Medicaid Services,
- (14) Local Community Based Service Offices,
- (15) American Cancer Society,
- (16) Health Care Excel, Inc.,
- (17) Access to Justice Foundation, Inc.,
- (18) National Government Services, AARP,
- (19) Local Community Health Departments,
- (20) Community Action Agencies,
- (21) Local Senior Centers, and
- (22) The Long-Term Care Ombudsman

These partners will be able to assist SHIP to gain access to diverse audiences that may not have been reached if these partnerships were not in place.

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| STATE HEALTH INSURANCE PROGRAM (SHIP) Counselor Work Force | DAIL - SHIP - 21.4 |
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Counselor Work Force

SHIPs will increase and enhance beneficiary access to a counselor work force that is trained and fully equipped and proficient in providing the full range of services including enrollment assistance in appropriate benefit plans, and continued enrollment assistance in prescription drug coverage.

Procedure:

- (1) The personalized needs of the Medicare beneficiaries will be addressed through group events, one-on-one counseling (via telephone and internet/computer, home visits, and on-site visits at enrollment centers). SHIP will help Medicare beneficiaries understand the Medicare Prescription Drug Coverage in addition to facilitating prescription-drug plan comparisons. The SHIP coordinator will also be responsible for ensuring that DAIL has updated copies of the CMS mandated SHIP confidentially statements as well as providing DAIL with up to date listings of all SHIP counselors/volunteers.
- (2) The SHIP coordinators shall implement the DAIL SHIP DREAM (D-Dedicated Counselor, R-Recruiter, E-Educator, A-Administrator, and M-Marketer) approach to volunteer recruitment. Position descriptions follow:
- (3) Position descriptions follow:

- (a) **Position:**
Volunteer Dedicated Counselor

Purpose of Position:

Provide health insurance information, assistance, and referral to Medicare beneficiaries.

Responsible to:

KY SHIP Local Coordinator

Responsibilities:

- Satisfactory completion of certification training and the recertification process conducted under the auspices of KY SHIP
- Conducts individual health insurance counseling sessions without conflict of interest and in compliance with KY SHIP regulations
- Assesses client's needs for information and/or assistance
- Provides information about traditional and nontraditional Medicare, Medicaid, Medicare supplementary insurance, and long term care insurance

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| STATE HEALTH INSURANCE PROGRAM (SHIP) Counselor Work Force | DAIL - SHIP - 21.4 |
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- Assists with health insurance claims filing, reviews EOMBs and provider bills, and organizes all documents related to health insurance
- Provides informal claim and appeals advocacy as required
- Maintains client confidentiality at all times
- Satisfactorily completes recertification training as required by KY SHIP and CMS
- Completes a follow up contact with clients to ensure all insurance problems are resolved and the client is satisfied with the counseling received

Desired Qualifications:

- Ability to work with others
- Sensitive and caring attitude
- Willingness to learn and an ability to retain information relevant to health insurance provisions and claims filing procedures
- Good written and oral communication skills
- Pleasant but assertive personality
- Willing to commit sufficient time to handle several ongoing projects at a time

(b) **Position:**

Volunteer Recruiter

Purpose of Position:

To recruit individuals as KY SHIP Volunteers in order to provide health insurance information, assistance, and referral to Medicare beneficiaries.

Responsible to:

KY SHIP Local Coordinator

Responsibilities:

- Satisfactory completion of certification training and the recertification process conducted under the sponsorship of KY SHIP
- Develop administrative procedures and rules for conducting KY SHIP activities
- Assist Local Coordinator in implementing the procedures
- At the beginning of each month complete a monthly schedule detailing all planned activities
- Update the planned schedule at the end of each month with changes, cancellations, and additions

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- Maintain a monthly record of completed KY SHIP local activities
- Submit an annual report summarizing all KY SHIP local activities
- Conduct follow-up activities with volunteers and clients to ensure attendance at scheduled events
- Coordinate logistical needs of volunteer counselors and clients concerning printed materials, meeting space, and transportation
- Control and maintain adequate informational materials for distribution in accordance with planned activities and counselor needs
- Collect and submit to the Local Coordinator a KY SHIP Counselor Report (blue form) for each counseling activity conducted by a volunteer counselor

Desired Qualifications:

- Good attention to detail and clerical skills
- Good written and oral communication skills Able to effectively delegate tasks
- Ability to get along with others
- Willing to commit sufficient time to handle several ongoing projects at a time

(c) **Position:**

Volunteer Educator

Purpose of Position:

To instruct the community and volunteer counselors on KY SHIP's purpose and goals, changes in Medicare, and current issues affecting Medicare beneficiaries.

Responsible to:

KY SHIP Local Coordinator

Responsibilities:

- Satisfactory completion of certification training and the recertification process conducted under the sponsorship of KY SHIP
- Assist KY SHIP's local office in developing a presentation explaining the purpose, goals, and operation of KY SHIP
- Actively increase community knowledge of KY SHIP by conducting presentations at meetings and social events
- Coordinate with the Volunteer Administrator all scheduled speaking engagements and availability for future events

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- Utilize KY SHIP materials and updates, local library, newspapers, and the internet in order to maintain a file of all changes to Medicare and current issues affecting Medicare beneficiaries
- Prepare a monthly memorandum summarizing and highlighting completed speaking engagements. Submit to the Volunteer Administrator or local coordinator along with sign-in sheet or attendance estimate
- Distribute KY SHIP approved information to Dedicated Counselors
- Continually refine presentation based upon new information and regulations
- Assist KY SHIP local coordinator with training staff in initial training for new volunteers and refresher training
- Assist KY SHIP local coordinator with training staff in volunteer recertification process

Desired Qualifications:

- Access to and proficient in the use of basic word processing programs on a personal computer
- Access to the internet
- Experience in public speaking, teaching or training
- Good written and oral communication skills
- Proficient in researching and interpreting complex issues
- Ability to work with others
- Willingness to commit sufficient time to handle several ongoing projects at a time

(d) **Position:**
Volunteer Administrator

Purpose of Position:

Implement and maintain a program for effective scheduling, staffing, logistical support, and recording of KY SHIP activities within the counties (areas).

Responsible to:

KY SHIP Local Coordinator

Responsibilities:

- Satisfactory completion of certification training and the recertification process conducted under the sponsorship of KY SHIP

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- Develop administrative procedures and rules for conducting KY SHIP activities
- Assist Coordinator in implementing the procedures
- At the beginning of each month complete a monthly schedule detailing all planned activities
- Update the planned schedule at the end of each month with changes, cancellations, and additions
- Maintain a monthly record of completed KY SHIP activities
- Submit an annual report summarizing all KY SHIP activities
- Conduct follow-up activities with volunteers and clients to ensure attendance at scheduled events
- Coordinate logistical needs of volunteer counselors and clients concerning printed materials, meeting space, and transportation
- Control and maintain adequate informational materials for distribution in accordance with planned activities and counselor needs
- Collect and submit to the Coordinator a KY SHIP Counselor Report (blue form) for each counseling activity conducted by a volunteer counselor

Desired Qualifications:

- Good attention to detail and clerical skills
- Good written and oral communication skills
- Able to effectively delegate tasks
- Ability to work with others
- Willing to commit sufficient time to handle several ongoing projects at a time

(e) **Position:**

Volunteer Marketer

Purpose of Position:

Promote community awareness of KY SHIP's health insurance information, assistance, and referral program for Medicare beneficiaries.

Responsible to:

KY SHIP Local Coordinator

Responsibilities:

- Satisfactory completion of certification training and the recertification process conducted under the sponsorship of KY SHIP

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| STATE HEALTH INSURANCE PROGRAM (SHIP) Counselor Work Force | DAIL - SHIP - 21.4 |
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- Develop and submit marketing plan to KY SHIP home office via Coordinator for KY SHIP approval
- Implement and evaluate success of marketing plan based upon stated goals and objectives
- Maintain a good working relationship with media and network contacts established as part of marketing plan
- Meet regularly with Coordinator to adjust marketing plan and/or counseling services to reflect client needs
- Coordinate with area agencies for reciprocal promotion of various programs dealing with older and disabled persons
- Assist with local office outreach program targeting non-English speaking beneficiaries throughout the county
- Submit timely requests to the Volunteer Administrator for informational materials needed to execute the marketing plan
- Cooperate with local office's marketing efforts
- Continually refine marketing plan based upon client needs and expectations

Desired Qualifications:

- Actively involved in community groups, associations and events
- Good written and oral communication skills
- Marketing, sales, advertising or public relations background
Ability to work with others
- Willingness to commit sufficient time to handle several ongoing projects at a time

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| STATE HEALTH INSURANCE PROGRAM (SHIP) Training | DAIL - SHIP - 21.5 |
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Training

SHIPs will participate in CMS education and communication activities, thus enhancing communication between CMS and SHIPs to assure that SHIP counselors are equipped to respond to both Medicare program updates and a rapidly changing counseling environment and to provide CMS with information about the support and resources that SHIPs need to provide accurate and reliable counseling services.

The local SHIP coordinators are responsible for recruiting, training, and maintaining documentation on their volunteers. It is mandatory that all counselors and volunteers attend the training. The department completes SHIP monitoring, including reviewing areas about local procedures for volunteer recruitment, retention, and supervision; identifying how many volunteers are utilized in each county within their service area, and what efforts are made to recruit volunteers. The SHIP monitoring reviews whether the SHIP counselors were trained within thirty-(30) days of their start date.

Procedure:

- (1) Counselors are required to attend annual SHIP trainings and updates. KY SHIP participates in trainings to further the knowledge of the public benefits that affect the elderly and persons who are disabled. Coordinators and volunteers are encouraged to participate in MMA forum calls, ABC/NCOA training calls, HAP calls, and open door forecasts. The "National Medicare Training Program CD Suite" is to be given to all counselors/volunteers.
- (2) Cancellation Policy: 24 Hours written notification must be give to cancel attendance or lodging reservation. Notification must be in the form of e-mail or fax. Failure to cancel will result in the Department billing the counselors host agency for the full amount of the missed training. The agency cannot require any volunteer to reimburse for this bill.
- (3) ALL SHIP trainings and updates will meet hours as determined by CMS and DAIL requirements.
- (4) Each AAA is required by contractual agreement to conduct aggressive methods to recruit volunteers and provide support through a plan of ongoing training and supervision aimed toward retention of volunteers. *
 - (a) The volunteer is expected to have received at least eighteen (18) hours of initial training and twelve (12) hours of update training in Medicare, Medicare Advantage (if in their area), Medicare Supplement Insurance, Long-Term Care Insurance, Medicare, SSI, QMB, SLMB, QDW1, QI1, and Spend-Down Counseling at the completion of the training.

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- (b) The National Medicare Training Program 20__ CD Suite is to be used by all volunteers as a training module.
- (c) Each local coordinator is allowed to have more training for volunteers. (A copy of the requirements is to be sent to DAIL SHIP Director to be

Non-attendance: Counselors who do not attend each portion of the training will not receive full credit and must make up any missed training through their host agency. Counselors who are registered for training but do not attend the sessions must make up the sessions and the host agency will be billed the full amount of training cost.

***All requirements are based on CMS requirements. Changes may be required per CMS requirements.**

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| STATE HEALTH INSURANCE PROGRAM (SHIP) Funding Usage | DAIL - SHIP - 21.6 |
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Funding Usage

SHIP providers will utilize funding to enhance the basic program structure through counselor development, training activities, outreach efforts, and partnership building.

Procedure:

- (1) Recruitment for new SHIP counselor volunteers is an ongoing endeavor and efforts continue to increase their capabilities to provide services is done thru ongoing education. The local SHIP coordinators are responsible for providing ongoing training for the local areas as needed. All SHIP counselors whether paid or volunteer are encouraged to provide suggested topics and presenters for the trainings.
- (2) The Department mandates that all SHIP counselors attend SHIP trainings each program year.

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| STATE HEALTH INSURANCE PROGRAM (SHIP) Quality Assurance | DAIL - SHIP - 21.7 |
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Quality Assurance

DAIL will provide quality assurance measures to assure the accuracy of the information provided by SHIP counselors, including counselor-training, certification, and monitoring.

Procedure:

SHIP monitoring includes reviewing areas such as local procedures for volunteer recruitment, retention, and supervision; number of volunteers utilized in each county in their service area, and efforts made to recruit volunteers.

- (1) The local SHIP coordinators are responsible for recruiting, training, and maintaining documentation on their volunteers.
- (2) The department completes SHIP monitoring, including reviewing areas' local procedures for volunteer recruitment, retention, and supervision; identifying how many volunteers are utilized in each county in their service area, and what efforts are made to recruit volunteers.
- (3) Counselors are required to attend annual SHIP trainings and updates. Coordinators and volunteers are encouraged to participate in MMA forum calls, ABC/NCOA training calls, HAP calls, and open door forecasts. The "National Medicare Training Program CD Suite" is to be given to all counselors/volunteers. Each counselor is required to be signed up for SHIPtalk.
- (4) The SHIP monitoring reviews:
 - (a) Documentation of whether or not SHIP counselors were trained within thirty-(30) days of their start date.
 - (b) Documentation that each counselor has received at least eighteen (18) hours of initial training and twelve (12) hours of update training in Medicare, Medicare Advantage (if in their area), Medicare Supplement Insurance, Long-Term Care Insurance, Medicare, SSI, QMB, SLMB, QDW1, QI1, and Spend-Down Counseling at the completion of the training.
 - (c) Documentation that coordinators ensure that all counselors receive all SHIP education opportunities via email correspondence or mailed to counselors that do not have computer access within 48 hours.
- (5) The local coordinator will be responsible for oversight of volunteers including criminal record checks, maintenance of a training log, completing volunteer agreements, updating job descriptions and confidentiality

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| STATE HEALTH INSURANCE PROGRAM (SHIP) Quality Assurance | DAIL - SHIP - 21.7 |
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statements, providing training, and keeping the manual for counselors updated on the local level.

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| STATE HEALTH INSURANCE PROGRAM (SHIP) CMS Initiatives | DAIL - SHIP - 21.8 |
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CMS Initiatives

SHIP providers and DAIL will collaborate with community, state and local officials to support coordinated, community-wide efforts to help beneficiaries learn about, understand, and utilize preventive services covered by Medicare and support the CMS initiatives for said program year.

Procedure:

To be determined based upon CMS requirements.

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| STATE HEALTH INSURANCE PROGRAM (SHIP) SHIP Area Plan | DAIL - SHIP - 21.9 |
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SHIP Area Plan

Each AAAIL must submit to DAIL for approval a plan for the administration and operation of SHIP in the district. SHIP funds shall be used to support locally accessible counseling services through efforts that include, but are not limited to following:

- (1) Recruiting and training counselors in local communities;
- (2) Providing support to local organizations that serve as local SHIP counseling locations;
- (3) Conducting quality assurance and improvement initiatives in support of locally-based counselors;
- (4) Funding systems to connect beneficiaries to local counseling assistance; and
- (5) Providing Internet access to local counselors and generally supporting efforts to provide locally accessible counseling services.
- (6) Provide program reports as prescribed by DAIL and CMS.

Procedure:

AAAIL's will submit individualized plans (via the Area Plans) to detail how the above statement will be met within their area.

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| STATE HEALTH INSURANCE PROGRAM (SHIP) Reporting and Performance Awards | DAIL - SHIP - 21.10 |
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Reporting Requirements

All SHIPs must submit the specified NPR data by the required report deadlines and measures.

Performance Awards, Infrastructure Assistance, and Creating a Volunteer Program

(Please note: Performance Awards Stipends are pending final approval)

The use of funds for stipends will be used for three areas: performance awards, infrastructure assistance and creating a volunteer program to assist with the completion of forms for prescription assistance. DAIL intends to begin “rewarding” the local SHIP programs that meet the performance measures that have been detailed in their contracts. These measures include **timely reporting, accurate reporting, increase counseling and increased volunteer recruitment and retention.**

Funds will also be utilized to develop a volunteer program that will assist individuals attempting to apply for prescription assistance through pharmaceutical companies or other organizations that provide assistance. SHIP counselors currently provide this information but the volunteers will assist with the actual completion of the forms. Funds will be used to assist with printing cost as well as any travel cost related to providing this assistance.

Performance Awards will provide funding opportunities for SHIPs that will reflect the demonstrated achievement in providing services to Medicare beneficiaries. Eligibility for Performance Awards will be determined through rankings of SHIPs based on performance measures using data reported by SHIPs to CMS through the National Performance Reporting (NPR) system.

To be eligible, a SHIP must have submitted NPR data within all quarterly reporting deadlines for each of the performance measures listed below as described in the *Performance Measures*. SHIPs will then be ranked based upon the service ratios associated with each of these measures:

- (1) Total number of one-on-one client contacts in the local areas (AAA's), including telephone, in-person, and home visits.
- (2) Total number of Medicare beneficiaries reached by individual client contacts, in-person group outreach and education and enrollment events in the AAA's. (Audiences targeted through activities such as public service announcements are not included in the measure.)

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| STATE HEALTH INSURANCE PROGRAM (SHIP) Reporting and Performance Awards | DAIL - SHIP - 21.10 |
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- (3) Total number of individual client contacts reported with the topic discussed relating to enrollment or enrollment assistance, including eligibility, benefits and/or benefits comparisons.
- (4) Number of active full-time equivalent SHIP counselors in the State. (This measure includes the total combined time of paid and volunteer staff calculated on a full-time equivalent (FTE) measure.)
- (5) Number of active full-time equivalent SHIP counselors in local organizations and in the field. (This measure includes the total combined time of paid and volunteer staff calculated on a full-time equivalent measure.)

The service ratios and associated SHIP rankings will be based on the NPR data submitted through the Client Contact, as well as Public and Media Activity (PAM) data submitted to CMS. NPR and PAM Activity data used will be from the reporting period of July 1, each funding year, through June 30, each funding year. Resource Report data submitted and utilized for service ratios and SHIP rankings will be from the period of April 1, each funding year, through March 31, each funding year.

Awards may be used to develop, enhance, or expand local program components.

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| STATE HEALTH INSURANCE PROGRAM (SHIP) SHIP Communications with Customer Service Representatives (CSRs) for 1-800 MEDICARE, Medicare Advantage, Coordination of Benefits and Part D Plan Sponsors | DAIL - SHIP - 21.11 |
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SHIP Communications with Customer Service Representatives (CSRs)

- (1) Background
The HIPAA Privacy Rule sections 164.510(b) (i) and 164.510(b) (2) (iii) allow certain entities to provide information to another entity for their involvement in an individual's care or payment related to the individual's health care. Since many SHIP encounters are to assist people with Medicare (beneficiary) resolve Medicare claims-related payment issues/questions, SHIPs are recognized as one of these entities.
- (2) Procedures for Communicating with CSRs
 - (a) All 1-800-MEDICARE, and participating Medicare Advantage and Part D Plan sponsors are instructed to disclose Medicare entitlement and claims payment-related information to a SHIP director/counselor/volunteer (counselor) when one of the two following mandatory conditions are met:
 1. The CSR has written or verbal authorization from a beneficiary or their caregiver/representative to provide information to a SHIP counselor; **or**,
 2. The counselor is listed on a national SHIP roster of unique Ids issued by CMS.
 - (b) If section II A.1 above is met, the CSR will ask questions to verify the identity of the beneficiary, i.e., full name, DOB, Medicare number, and one additional piece of information, e.g., address, phone number, effective date (s) of Medicare A and/or B.
 - (c) If section II A.2. above is met, the CSR will ask questions to verify the identity of the SHIP counselor, i.e., her/his full name, State program name of the SHIP, and State from which they are calling. The CSR will also ask questions to verify the identity of the beneficiary, i.e., full name, DOB, Medicare number, and one additional piece of information, e.g., address, phone number, effective date(s) of Medicare A and/or B.
 - (d) If neither II A1. nor A2. above are met, 1-800-MEDICARE, and participating Medicare Advantage and Part D Plan Sponsor CSRs are instructed **NOT** to disclose any information pertaining

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to a Medicare beneficiary to a SHIP director /counselor/
volunteer (counselor).

(e) NOTE: These procedures do NOT replace nor supersede those situations where a Medicare beneficiary

1. Is speaking with a counselor in the SHIP office and is able to speak to the CSR to verify disclosure authorization, or
2. Calls the SHIP and the counselor, in turn, bring the CSR into the call and the CSR confirms authorization while on that 3-way call.

(3) Assigning SHIP Counselor Unique Ids

CMS has developed a nomenclature for State-specific SHIP counselor unique identifiers. The unique ID is a semi-intelligent, 7-character authorization code. The first two positions of this code are alpha characters that denote the United States Postal Service recognized two-letter State abbreviation. The remaining five characters are numeric and are automatically generated via SHIPTalk.org. The ID along with other qualifying information about the counselor (see section II C above), allows the CSRs to disclose certain beneficiary eligibility and claims payment-specific information to the SHIP Director or counselor when sections II A.1. or II A.2. and II B. above are met.

The SHIP Director is responsible to directly register, via SHIPTalk.org (Admin>User> Add User), those key counselors whom they authorize to contact the Call Centers. Since the information to be disclosed is personally identifiable information, key counselors must be those that are held accountable to the standards to protect the privacy and confidentiality of the information that is disclosed to them. Upon registration, the SHIPTalk.org will automatically generate a unique ID to be used only by the specific registered counselor.

After registering all key counselors, the SHIP Director is responsible to download (as necessary) their registry roster and personally and verbally convey the unique ID to each counselor to whom a unique ID is assigned. Before conveying the unique ID to a respective SHIP counselor, the SHIP Director is responsible to have a protocol in place requiring a SHIP counselor to sign a written statement that she/he

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understands their accountability for the unique ID and that it is not to be shared with others.

The SHIP Director is responsible to ensure that their SHIPTalk.org unique ID registry roster is kept confidential. The SHIP Director is responsible to keep the SHIPTalk.org registry current.

The SHIP Director is responsible for confirming bi-annually to CMS (via email) that SHIP counselors (paid and volunteer) who have been assigned a *Unique ID* have signed a confidentiality agreement stating they have been trained in privacy. This document must be kept on file in the SHIP Director's office. CMS will send a reminder to SHIP Directors when the confirmation is due.

The SHIP Director is responsible to delete a counselor's registration data from the registry file within 2 working days after a counselor leaves the SHIP or no longer has 1-800-MEDICARE, Medicare Advantage and Part D Plan Sponsor responsibilities; and, to notify CMS of the deletion via email to ship@cms.hhs.gov. Deleted unique IDs will be retired and not re-generated for future use. Deletions will occur during the next scheduled monthly download.

- (4) Downloads of Unique Ids
Monthly (the last Thursday of each month), CMS Division of SHIP Relations will download the complete SHIP unique ID registry file from SHIPTalk.org and forward the complete data to appropriate channels to update the call center SHIP roster information.

SHIP Directors may update the registry file as necessary between monthly downloads. However, the updates will not be recognized or forwarded to 1-800-MEDICARE, Medicare Advantage and Part D Sponsors until the next scheduled monthly download. The CSR will recognize the new registry file approximately 1 week following the CMS monthly download.

CMS will provide all 1-800-MEDICARE, and participating Medicare Advantage and Part D Sponsors a "national" SHIP roster of unique IDs.

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| STATE HEALTH INSURANCE PROGRAM (SHIP) SHIP Communications with Customer Service Representatives (CSRs) for 1-800 MEDICARE, Medicare Advantage, Coordination of Benefits and Part D Plan Sponsors | DAIL - SHIP - 21.11 |
| Effective Date: December 30, 2009 | Page 4 of 4 |

- (5) Privacy and Confidentiality
Per the SHIP grant terms and conditions, the authorized SHIP counselors are accountable to adhere to protecting the privacy and confidentiality of any information that is disclosed to them by the beneficiary and Medicare contractors.