



REQUEST FOR INFORMATION (RFI) FORM

ROUTINE INSPECTIONS IN TERMS OF SECTION 44(4)(b) OF THE MEDICAL SCHEMES ACT (ACT NO 131 OF 1998)

Regulation: Compliance & Investigations
Doc. No ROUTINE Mon-CI Version 1.2

	Documents to be Inspected	Scheme checklist	Date Submitted	CMS Checks
1.	BOARD OF TRUSTEES			
1.1	Trustee schedule with the date of appointment /election, length of term, and dates of re-appointment / re-election.			
1.2	Resume (CVs) of Board of Trustees (appointed & elected)			

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1.3	Confirmation that fitness and propriety checks were conducted by the Scheme on each member of the Board (initial and ongoing vetting) and the vetting report/outcome			
1.4	Performance reviews conducted on members of the Board			
1.5	Trustee training schedule/register			
1.6	Letters of appointment for all appointed members of the Board			
1.7	Board Charter / Terms of Reference			
1.8	Election reports			
2.	COMMITTEES / SUB-COMMITTEES OF THE BOARD			
2.1	Schedule of all committee members			
2.2	Appointment / recruitment process of committee members and relevant documents: <ul style="list-style-type: none"> – Committee recruitment policy – Recruitment documents – adverts, etc – Resume (CVs) of members – Vetting documents of committee members 			
2.3	Letters of appointment of all independent committee members			
2.4	Confirmation that fitness and propriety checks were conducted by the Scheme on members of each Committee / Sub-Committee (initial and ongoing vetting) and the vetting report / outcome			
2.5	Committee / Sub-Committee Terms of Reference			
2.6	Other records (i.e: training, performance reviews, reports and/or recommendations to the Board etc.)			
3.	EXECUTIVE / PRINCIPAL OFFICER			
3.1	Full recruitment process and supporting documentation			
3.2	Board resolution on the appointment of the PO			
3.3	Resume (CV) of the PO			

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3.4	Employment contract or appointment letter of PO & Key persons (e.g., Fund Manager, Compliance Officer etc.)			
3.5	Confirmation that fitness and propriety checks were conducted on the PO, Key persons (initial and ongoing vetting) and the vetting report / outcome			
3.6	Organogram of all the Scheme Officials			
3.7	Performance review conducted on the PO and/or Key persons (e.g., Fund Manager, Sub-Committees members etc)			
3.8	Reports of the PO to the Board of Trustees			
3.9	Report / interaction between PO and Chairperson of the Board			
4.	GOVERNANCE FRAMEWORK			
4.1	Stamped Scheme rules			
4.2	Board Charter / Terms of Reference (unless provided in terms of above)			
4.3	A list of the policies of the Scheme (specifically provide the following policies):			
4.3.1	Code of Ethics / Code of Conduct			
4.3.2	Procurement policy			
4.3.3	Recruitment policy			
4.3.4	Remuneration policy			
4.3.5	Vetting policy			
4.3.5	Training policy			
4.3.6	Investment policy			
4.3.7	Delegation of Authority			
4.4	Members' savings account policy which is aligned to Scheme rules (eg: on terminated members)			
5.	MINUTES OF MEETINGS			
5.1	All minutes of the Board			
5.2	All minutes of all Committees/Sub-Committees of the Board			
5.3	All minutes of the General Meeting (e.g. AGM)			

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5.4	Notice to convene meeting, agenda, and information packs for above aforementioned.			
5.5	All meeting attendance monitoring/register			
6.	FINANCIALS			
6.1	Audited Financial Statements			
6.2	Internal audit function – reports, cycles, contact details of auditors			
6.3	Management letters of auditors			
6.4	Control systems employed by the Administrator of the Scheme and review & adequacy thereof (i.e: comfort letter from the Admin where applicable)			
6.5	Schedule of all banking accounts and facilities operated by or on behalf of the Scheme with proof of signatories			
6.6	Approved management accounts for the last three months from the date of the inspection notice			
7.	SERVICE PROVIDERS – COPIES OF CONTRACTS			
7.1	A list of all contracts concluded with service providers (specifically provide the following contracts:			
7.1.1.	Administration and Managed Healthcare Organisations (initial and amendment/variation)			
7.1.2	Actuarial, Investment, Risk and Assurance management			
7.1.3	Reinsurance/capitation			
7.1.4	Marketing			
7.1.5	Other service providers contracted with the Scheme (specify)			
7.2	Reports by Service providers (where applicable)			
8.	REGISTERS			
8.1	A list of all registers in place			
8.2	Asset register			
8.3	Complete contracts register (supplier details, contact details, contract review, tenure of contract etc.)			

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8.4	Resolutions register			
8.5	Declaration of Interests and Gift register			
8.6	Exemption register			
8.7	Complaints register			
8.8	Risk Management register			
8.9	Insurance registers (Fidelity Guarantee & Professional Indemnity (PI) cover)			
8.10	Litigation register			
8.11	Regulatory register (rules, correspondence with the CMS)			
9.	LEGAL PROCEEDINGS BY AND AGAINST THE SCHEME			
9.1	Any pending appeal, court action (specify)			
10.	PREVIOUS INSPECTION / INVESTIGATION REPORTS AND PROOF OF ACTION THEREON			
10.1	CMS inspections /investigations			
10.2	Other inspections /investigations			

*Should you require to add any information to this form you may do so and affix such additional document or information to this form.

*Kindly complete and convert this form to PDF when submitting it back to the CMS. On the menu select "PDF-Xchange" tab then "Convert to PDF".

Name of the Scheme: _____

Name of Data Officer: _____

Signature of Data Officer: _____

Date of submission to CMS: _____