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**Title: CE Compliance Review Process**

**Effective Date: 1/1/2012**

**Revision Date: 11/18/2024**

**Purpose:** The purpose of the audit is to verify accuracy in the attestation of compliance for continuing professional development for members of the Casualty Actuarial Society.

**Scope:** The process begins with the selection of a sampling of 1% of the total CAS membership. In addition, members who have signed actuarial opinions accompanying NAIC annual statements, and all new members of the CAS Board of Directors and the CAS Executive Council are subject to the audit process. The member's submission is verified for accuracy and completeness to confirm the compliant status. Throughout the review process, the identity of the members whose records are reviewed and the members of the CE Compliance Working Group conducting the reviews are kept confidential.

**Procedures:**

The review process will begin at the end of the CE filing period (calendar year end).

**January** – All members of the CAS who are subject to CE requirements will be notified of the review process by January 30<sup>th</sup> of each year and will be informed that they may be selected for a review of their CE activities. The importance of retaining records of their CE activities will be reinforced.

**February** – A sample of members who have signed actuarial opinions accompanying NAIC annual financial statements submitted in the prior year, all new members of the CAS Board of Directors and the CAS Executive Council, and a sample of one percent (1%) of the remaining CAS membership shall be obtained for the review.

The selected members (including new CAS Board and EC Members) will be contacted by e-mail (or by mail if there is no email address on file) notifying them that they have been selected for the audit and requesting supporting documents. This communication includes a letter from the Chairperson of the CE Compliance Working Group explaining the review process.

Upon selection for the CE Record Review, members will be assigned a sequential number. CE records shall be due from selected members within three (3) weeks of the notification date. Email reminders shall be sent to members two (2) weeks prior to the due date. Members should redact all identifying information such as individual names, email address, phone number, and metadata from their CE records prior to submitting to the CAS for review.

**March** – Members selected for CE review who have not responded to the request by providing supporting documents will be called by the CAS Professional Education Coordinator. If the member fails to submit the required documents by the identified due date, a registered letter shall be sent indicating that the member is not in compliance with the CE requirements and that the member's compliance status will be changed on the CAS Website unless supporting documents are provided. Supporting documents should be submitted via the CE Record Review platform. On March 18, the CAS Professional Education Coordinator will notify leadership of Non-Compliant members, if any.

The CAS Professional Education Coordinator shall compile the CE records and perform a cursory review noting questions and highlighting those that do not satisfy the CE requirements. The redacted CE records, including any spreadsheets also submitted, with identifying element removed, will then be sent to the CAS CE Compliance Working Group for review.

**April/May** – During the review, CE Compliance Working Group reviewers submit any questions for the selected members via the CE Record Review platform, which keeps both parties anonymous to each other.

**June** – Upon completion of each review, the CE Compliance Working Group reviewers report their findings via the platform, which will trigger an email notification to selected members, outlining the results of the review, and thanking them for their cooperation. This notification shall be sent no later than the end of June. If a review results in a finding of non-compliance, the Chairperson of the CE Compliance Working Group will refer this matter to the Vice President of Professional Education.

Members who have questions regarding the review process may contact the CAS Professional Education Coordinator or the Chairperson of the CE Compliance Working Group.

**September 30** – Official close of the audit for the cycle per the CAS Bylaws.