



**Alberta  
Insurance  
Council**

# Compliance Audit for Continuing Education

As the AIC conducts the Continuing Education (CE) Audit, many Auditee phone calls and emails are received in relation to the topics noted below. As such, we have provided answers to the commonly asked questions.

## What is the requirement for Continuing Education?

All Life, Accident and Sickness and General Insurance Agents and Adjusters renewing their certificate of authority (license) are required to complete in each certificate term at least 15 hours of the approved continuing education courses.

*(Section 30(1) of the Insurance Agents and Adjusters Regulation AR 122/2001)*

## How are candidates selected for the CE Audit?

All Auditees are randomly selected.

## How do I know if I have been selected in the CE Audit?

If you have been selected for the CE audit, you will be contacted directly by the Compliance department by way of a Demand for information letter. Upon receipt of this letter, the Auditee is required to provide a copy of their CE certificates as requested.

## Where and how do I send my CE certificates?

All CE certificates are sent directly to the Compliance department as a single PDF document to the following email:

**audits@abcouncil.ab.ca**

*The email title should include your CIPR number in the subject line.*

## Could I get an extension to provide the CE certificates?

No extension may be granted. Once a Demand Letter has been sent, the Auditee is required to respond to the Demand by providing all CE certificates within 30 days after receiving the request from the AIC.

*(Section 31(3) of the Insurance Agents and Adjusters Regulation AR 122/2001)*

## How long do I have to keep record of my CE certificates?

CE Certificates for completed courses issued by the continuing education provider must be kept for a period of 3 years following the expiry of the certificate.

*(Section 31(2) of the Insurance Agents and Adjusters Regulation AR 122/2001)*

## What if I am unable to provide the certificate or have not received it from the CE Provider?

You will need to contact the CE Provider directly to obtain a copy of the CE certificate required for audit submission.

## What if I do not respond to the Demand for information letter?

If an Auditee does not respond to the CE audit in time or at all, the certificate of authority will be automatically suspended until the demand is complied with, and the matter may proceed to an investigation.

*(Section 31(3) of the Insurance Agents and Adjusters Regulation AR 122/2001)*

## What happens if I fail the CE audit?

If you have failed to provide the CE certificates as required, the certificate of authority will be automatically suspended, and the matter may proceed to an investigation.

## How do I reinstate my license after it has been suspended?

When the certificate of authority has been suspended, the Auditee must complete the audit requirements. Once the audit requirements are met the Auditee may contact the Licensing department to apply for their license.

*(Section 472 of the Alberta Insurance Act, R.S.A. 2000, Chapter I-3)*

## How will I know when I have passed the CE audit?

The Compliance department will issue a Pass letter to all Auditees via email once the audit requirements have been reviewed and met.

If you have any further questions in relation to the CE Audit, please contact the compliance department at:  
[audits@abcouncil.ab.ca](mailto:audits@abcouncil.ab.ca).