



Insurance Agent Onboarding Checklist

 Show only Checklist

Display Style
Default 

Application & Background Checks

Verify applicant's license application completeness and initiate background checks.

Application ID

Enter a number...

Application Submission Date

Enter date...



Application Source

- ☐ Online
- ☐ Paper
- ☐ Referral

Application Form (Scanned)

 Upload File

Background Check Type

- ☐ Criminal Record
- ☐ MVR (Motor Vehicle Record)
- ☐ Credit Check

Background Check Start Date

Enter date...

Notes/Comments on Application

Write something...

Licensing & Credentials

Confirm agent's current and valid insurance licenses for all relevant lines of business.

License Number

License Issue Date

License Expiration Date

License Status

- ☐ Active
- ☐ Inactive
- ☐ Pending
- ☐ Suspended

Lines of Authority

- ☐ Life
- ☐ Health
- ☐ Property
- ☐ Casualty
- ☐ Variable

Copy of License

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Compliance Training

Ensure completion of mandatory compliance training modules (ethics, regulatory updates, etc.).

Training Completion Date

Enter date...

Ethics Training Module

- ☐ Module 1 - Code of Conduct
- ☐ Module 2 - Conflicts of Interest
- ☐ Module 2 - Data Privacy

Regulatory Updates Training

- ☐ 2023 Updates
- ☐ 2024 Q1 Updates

Summary of Key Takeaways

Write something...

Training Score (%)

Enter a number...

Topics Covered

- ☐ Anti-Money Laundering
- ☐ Fair Lending Practices
- ☐ Consumer Protection Laws

Contract & Agreements

Review and finalize agency agreement, commission agreement, and non-solicitation agreements.

Agent Name

Write something...

Agency Name

Write something...

Contract Start Date

Enter date...

Contract End Date

Enter date...

Commission Rate (%)

Enter a number...

Contract Type

- ☐ Independent Agent Agreement
- ☐ Captive Agent Agreement
- ☐ Referral Agreement

Special Contract Terms/Clauses

Write something...

Agent Signature

Agency Representative Signature

System Access & IT Setup

Provision necessary system access (CRM, policy administration, quoting tools) and complete IT onboarding tasks.

CRM Access Level

- ☐ Read Only
- ☐ Limited Edit
- ☐ Full Edit

Policy Administration System Access

- ☐ Read Only
- ☐ Limited Edit
- ☐ Full Edit

Two-Factor Authentication Code Generation Limit (attempts)

System Access Start Date

Enter date...

IT Support Ticket Notes (if applicable)

Write something...

Screenshot of Initial System Login Confirmation

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Product & Policy Training

Provide comprehensive training on product offerings, policy features, and sales processes.

Overview of Key Product Lines

Write something...

Which Product Lines are you Authorized to Sell?

- ☐ Auto Insurance
- ☐ Homeowners Insurance
- ☐ Life Insurance
- ☐ Commercial Property
- ☐ Workers' Compensation

Explanation of Policy Features & Benefits (Auto Insurance)

Write something...

Number of policy examples reviewed

Enter a number...

Which best describes your understanding of policy exclusions?

- ☐ Excellent
- ☐ Good
- ☐ Fair
- ☐ Needs Improvement

Summary of Claims Process for each product

Write something...

Compliance & Disclosure Review

Review key compliance requirements, disclosures, and client communication guidelines.

Review Client Communication Templates

Write something...

Confirm Disclosure Forms Provided to Clients?

- ☐ Yes
- ☐ No
- ☐ Not Applicable

Which Compliance Areas Reviewed?

- ☐ Privacy Policy
- ☐ Terms & Conditions
- ☐ Conflict of Interest Disclosure
- ☐ Rate Transparency
- ☐ Advertising Guidelines

Date of Compliance Review

Enter date...

Reviewer Signature

Document Version Reviewed

Write something...

Marketing & Advertising Approval

Review and approve agent's marketing and advertising materials for compliance.

Campaign Description

Write something...

Marketing Materials (PDF, Images, Video)

 Upload File

Channels Used (e.g., Social Media, Email, Print)

- ☐ Social Media
- ☐ Email
- ☐ Print
- ☐ Website
- ☐ Other

Compliance Review Status

- ☐ Pending Review
- ☐ Approved
- ☐ Rejected
- ☐ Needs Revision

Reviewer Comments (if applicable)

Write something...

Approval Date

Enter date...

Ongoing Monitoring & Support

Outline processes for ongoing performance monitoring, support, and compliance updates.

Last Compliance Training Review Date

Enter date...

Number of Client Complaints Received (Past 6 Months)

Enter a number...

Recent Audit Findings (If Applicable)

- ☐ None
- ☐ Minor
- ☐ Moderate
- ☐ Significant

Topics Covered in Recent Support Calls

- ☐ Policy Updates
- ☐ System Issues
- ☐ Sales Strategy
- ☐ Compliance Questions
- ☐ Other

Summary of Recent Agent Performance Review

Write something...