



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

Application Submission 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

 Upload File

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...