ChecklistGuro

Insurance Agent Onboarding Checklist

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

Enter a number...

License Issue Date

Enter date...

License Expiration Date

Enter 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)

Enter a number...

System Access Start Date

Enter date...

IT Support Ticket Notes (if applicable)

Write something...

Screenshot of Initial System Login Confirmation

Upload File

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...