



Insurance Policy Compliance Checklist

Policy Review & Validation

Initial assessment of policy documents and coverage details.

Policy Effective Date

Policy Expiration Date

Policy Number

Policy Type

- ☐ General Liability
- ☐ Property
- ☐ Workers' Compensation
- ☐ Commercial Auto
- ☐ Umbrella
- ☐ Other


Insurer Name

Write something...

Brief Policy Summary

Write something...

Uploaded Policy Document

 Upload File

Policy Status

- ☐ Active
- ☐ Pending Renewal
- ☐ Cancelled
- ☐ Lapsed

Coverage Adequacy Assessment

Verify policy limits and coverage align with business needs and risk profile.

Current Property Value

Enter a number...

Current Business Interruption Revenue (Annual)

Enter a number...

Risk Assessment Category (e.g., Low, Medium, High)

- ☐ Low
- ☐ Medium
- ☐ High

Liability Insurance Limit

Enter a number...

Current Coverage Level Adequate?

- ☐ Yes
- ☐ No
- ☐ Unsure

Justification for Coverage Adequacy

Write something...

Estimated Replacement Cost

Enter a number...

Date of Last Coverage Review

Enter date...

Regulatory Compliance

Ensure adherence to relevant insurance regulations and legal requirements.

Applicable State Regulations

- ☐ None
- ☐ State A
- ☐ State B
- ☐ State C

Relevant Federal Regulations

- ☐ HIPAA
- ☐ GLBA
- ☐ FCRA
- ☐ Dodd-Frank Act
- ☐ None

Last Regulatory Compliance Review Date

Enter date...

Summary of Regulatory Changes Since Last Review

Write something...

Supporting Documentation (e.g., Compliance Reports)

 Upload File

Compliance Training Completion Status

- ☐ Completed
- ☐ In Progress
- ☐ Not Started


Compliance Review Score (if applicable)

Enter a number...


Documentation & Recordkeeping

Maintain accurate records of policy documents, endorsements, and renewals.

Policy Document Upload

 Upload File

Endorsements & Amendments Upload

 Upload File

Policy Effective Date

Enter date...

Policy Expiration Date

Enter date...

Policy Number

Enter a number...

Notes on Document Review

Write something...

Document Storage Location

- ☐ Shared Drive
- ☐ Cloud Storage
- ☐ Physical Archive

Premium Payment & Budgeting

Confirm timely premium payments and alignment with budget allocations.

Total Premium Amount

Enter a number...

Premium Payment Due Date

Enter date...

Actual Payment Date

Enter date...

Payment Amount

Enter a number...

Payment Method

- ☐ Check
- ☐ Wire Transfer
- ☐ ACH
- ☐ Credit Card

Payment Confirmation Reference Number

Write something...

Budget Allocation for Insurance

Enter a number...

Payment Status

- ☐ Paid
- ☐ Pending
- ☐ Overdue

Risk Assessment Updates

Check for updates to risk assessments and corresponding policy adjustments.

Date of Last Risk Assessment

Enter date...

Summary of Risk Assessment Findings

Write something...

Change in Business Value (USD)

Enter a number...

Significant Risk Changes Identified?

☐ Yes

☐ No

Description of Risk Mitigation Actions

Write something...

Estimated Impact of Risk (Scale 1-5)

Enter a number...

Affected Risk Categories

☐ Property

☐ Liability

☐ Business Interruption

☐ Cybersecurity

☐ Workers' Compensation

Date of Next Risk Assessment Review

Enter date...

Renewal Process & Timeline

Manage the policy renewal process according to established timelines.

Renewal Date

Enter date...

Notification Date (to Insurer)

Enter date...

Quote Deadline

Enter date...

Number of Quotes Received

Enter a number...

Renewal Strategy (e.g., Renew, Shop, Negotiate)

☐ Renew

☐ Shop

☐ Negotiate

Renewal Strategy Notes

Write something...

Policy Effective Date (New)

Enter date...

Renewal Quote Documents

 Upload File

Claims Management Integration

Review processes for seamless integration with claims management.

Claims Submission Method

- ☐ Online Portal
- ☐ Email
- ☐ Mail

Average Claims Processing Time (Days)

Enter a number...

Description of Claims System Integration Points

Write something...

Last Claims System Integration Review Date

Enter date...

Data Fields Automatically Synced to Claims System

- ☐ Policy Number
- ☐ Insured Name
- ☐ Date of Loss
- ☐ Loss Description
- ☐ Claim Amount

Contact Person for Claims Integration Issues

Write something...

Policy Endorsements & Amendments

Track and document all policy endorsements and amendments.

Endorsement/Amendment Request Date

Enter date...

Description of Endorsement/Amendment

Write something...

Type of Endorsement/Amendment

- ☐ Coverage Change
- ☐ Premium Adjustment
- ☐ Policy Correction
- ☐ Beneficiary Change
- ☐ Other

Supporting Documentation (e.g., quotes, legal agreements)

 Upload File

Endorsement/Amendment Effective Date

Enter date...

Premium Change (if applicable)

Enter a number...

Reference Number/ID

Write something...

Authorized Signature

Audit Trail & Reporting

Maintain an audit trail of all compliance activities and generate reports as needed.

Audit Date

Enter date...

Summary of Audit Findings

Write something...

Audit Outcome

- ☐ Compliant
- ☐ Minor Deviation
- ☐ Major Deviation
- ☐ Not Compliant

Corrective Actions Required (if any)

Write something...

Corrective Action Due Date

Enter date...

Auditor Signature

Policy Number Verified

Enter a number...