



Insurance Third-Party Administrator (TPA) Oversight Checklist 2026

Contractual Compliance & SLA Monitoring

Verification of TPA adherence to core service level agreements, contractual obligations, and regulatory-mandated response times.

Contract Renewal Date

Current SLA Status

- ☐ Meeting All SLAs
- ☐ Minor Breach Identified
- ☐ Critical SLA Violation

Total Number of Identified SLA Breaches

Monitored SLA Metrics

- ☐ Claim Acknowledgment Time
- ☐ Adjudication Turnaround Time
- ☐ Payment Accuracy Rate
- ☐ Document Turnaround Time

Description of Recent SLA Non-Compliance

Write something...

Quarterly Compliance Report Documentation

 Upload File

Compliance Officer Verification

Claims Processing & Accuracy Audit

Evaluation of the accuracy, timeliness, and integrity of claims adjudication, adjudication workflows, and settlement precision.

Claim Review Date

Enter date...

Claim Adjudication Status

- ☐ Approved
- ☐ Denied
- ☐ Pending Investigation
- ☐ Closed

Disbursed Amount (\$)

Enter a number...

Error Types Identified

- ☐ Incorrect Deductible Applied
- ☐ Missing Supporting Documentation
- ☐ Incorrect Claimant Information
- ☐ Processing Delay
- ☐ Calculation Error

Detailed Discrepancy Notes

Write something...

Supporting Evidence/Audit Logs

 Upload File

Auditor Verification

Data Security & Privacy Governance

Assessment of the TPA's data handling protocols, encryption standards, and compliance with 2026 privacy regulations and PII protection.

Last Security Audit Date

Data Encryption Standard in Use

- ☐ AES-256
- ☐ TLS 1.3
- ☐ Other

Compliance Certifications Held

- ☐ SOC2 Type II
- ☐ ISO/IEC 27001
- ☐ GDPR Compliant
- ☐ HIPAA Compliant

Data Breach Incident History Summary

Write something...

Upload TPA Data Privacy Policy

 Upload File

Compliance Officer Verification

Financial Oversight & Premium Management

Review of premium collection accuracy, fund disbursement reconciliations, and financial reporting transparency.

Audit Period Start Date

Enter date...

Audit Period End Date

Enter date...

Total Premium Volume Audited

Enter a number...

Premium Reconciliation Status

- ☐ Fully Reconciled
- ☐ Discrepancies Found
- ☐ Pending Review

Description of Identified Discrepancies

Write something...

Premium Reconciliation Report

 Upload File

Financial Auditor Signature

Regulatory & Statutory Compliance

Audit of the TPA's adherence to state/national insurance mandates, licensing requirements, and mandatory reporting frameworks.

Regulatory Jurisdiction

- ☐ Domestic
- ☐ International/Cross-Border

Last Regulatory Audit Date

Enter date...

Compliance Certifications Verified

- ☐ GDPR/Data Privacy Compliance
- ☐ SOC2 Type II Certification
- ☐ ISO/IEC 27001
- ☐ State-Specific Insurance License Verification

TPA Regulatory License Certificate

 Upload File

Identified Compliance Gaps & Remediation Plan

Write something...

Compliance Officer Attestation

Operational Performance & Scalability

Assessment of the TPA's technical infrastructure, resource adequacy, and ability to handle seasonal claim volume fluctuations.

Current TPA Processing Volume Status

- ☐ Within Capacity
- ☐ At Capacity
- ☐ Exceeding Capacity

Average Claims Turnaround Time (Days)

Enter a number...

Scalability Infrastructure Verified

- ☐ Cloud-based Autoscale Enabled
- ☐ Automated Workflow Triggering
- ☐ Redundant Server Architecture
- ☐ API Integration Readiness

Identified Operational Bottlenecks

Write something...

Last Capacity Stress Test Date

Enter date...

Customer Experience & Communication Quality

Review of claimant interaction quality, communication frequency, and adherence to brand-standard customer service protocols.

Average Claim Response Time Rating

- ☐ Excellent (< 24 hours)
- ☐ Good (24-48 hours)
- ☐ Acceptable (48-72 hours)
- ☐ Unacceptable (> 72 hours)

Communication Channels Monitored

- ☐ Email
- ☐ Phone/Voice
- ☐ SMS/Text
- ☐ Customer Portal
- ☐ Live Chat

Summary of Recent Customer Complaints

Write something...

Net Promoter Score (NPS) Recorded

Enter a number...

Customer Satisfaction Survey Samples

 Upload File

Last Quality Assurance Review Date

Enter date...

Subrogation & Recovery Management

Evaluation of the TPA's effectiveness in identifying, pursuing, and recovering subrogatable losses.

Subrogation Potential Identified

☐ Yes

☐ No

Third-Party Liability Details

Write something...

Date of Incident

Enter date...

Estimated Recovery Value

Enter a number...

Required Documentation Attached

- ☐ Police Report
- ☐ Damage Photos
- ☐ Third-Party Contact Info
- ☐ Expert Assessment Report

Evidence & Correspondence Files

 Upload File

Recovery Status Summary

Write something...

Claims Adjuster Verification

Business Continuity & Disaster Recovery

Verification of the TPA's contingency plans, backup systems, and operational resilience in the event of a systemic failure.

Disaster Recovery Plan Status

- ☐ Active & Tested
- ☐ Under Development
- ☐ Outdated/Needs Review
- ☐ Not Available

Last Disaster Recovery Drill Date

Enter date...

Upload Latest DR Test Results Report

 Upload File

Critical Redundancy Systems Verified

- ☐ Offsite Data Backups
- ☐ Secondary Communication Channels
- ☐ Redundant Server Infrastructure
- ☐ Emergency Contact Directory

Identified Vulnerabilities & Mitigation Plan

Write something...

Compliance Officer Validation

Audit Trail & Documentation Integrity

Inspection of the completeness, accessibility, and auditability of all digital records and decision-making logs.

Audit Review Date

Documentation Completeness Score

- ☐ Fully Compliant
- ☐ Minor Deficiencies
- ☐ Critical Gaps Identified
- ☐ Non-Compliant

Verified Audit Trail Components

- ☐ Timestamped Transaction Logs
- ☐ Decision Support Documentation
- ☐ Authorized Signature Records
- ☐ Email Correspondence Logs
- ☐ Updated Policy Endorsements

Evidence of Documented Discrepancies

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Detailed Findings and Corrective Action Plan

Write something...

Auditor Authentication

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🔑 Finish

🔧 Generate Sample Report