SOP Template: Client Onboarding and Documentation Process

The **Client Onboarding and Documentation Process** outlines the step-by-step procedures for welcoming new clients, collecting essential information, verifying documentation, and ensuring a smooth transition into services. This process includes initial client communication, needs assessment, contract preparation and signing, data entry into management systems, and compliance with legal and regulatory requirements. The purpose is to establish a clear, efficient, and consistent onboarding experience that builds trust and sets the foundation for successful client relationships.

Scope

This SOP applies to all staff involved in the client intake, onboarding, and documentation process.

Responsibilities

Role	Responsibility
Account Manager / Sales	Initial communication with client, needs assessment, submission of client info to onboarding team
Onboarding Specialist	Document collection, data entry, contract preparation and sending, verification, system updates
Compliance Officer	Legal and regulatory review, documentation checks, approvals
IT/System Admin	System setup, data privacy checks, access provisioning

Process Steps

1. **Initial Client Communication**
   - Receive inquiry or referral from client.
   - Send welcome/introduction email with onboarding packet and checklist.
2. **Needs Assessment**
   - Schedule call/meeting to identify client objectives and requirements.
   - Document key needs and expectations.
3. **Document Collection & Verification**
   - Request required documents (e.g., ID, proof of business, financials, etc.).
   - Verify completeness and authenticity of provided documents.
4. **Contract Preparation & Signing**
   - Draft and review service agreement or contract.
   - Send contract for client review and e-signature.
   - Ensure both parties have signed copies.
5. **Data Entry & Systems Setup**
   - Enter client data into CRM and management systems.
   - Set up accounts, permissions, and user roles as needed.
6. **Compliance & Regulatory Checks**
   - Ensure all legal and regulatory documentation is complete.
   - Secure final approval from compliance officer.
7. **Client Welcome & Handover**
   - Send onboarding completion/welcome package.
   - Schedule kickoff meeting if required.
   - Introduce client to ongoing account manager or main point of contact.
8. **Record Keeping**
   - Store all client documentation securely according to company data policies.

Documentation Checklist

Document	Required For	Status
Client Intake Form	All clients	[ ]

Identification Proof	All clients	[ ]
Business Registration	Business clients	[ ]
Signed Contract/Agreement	All clients	[ ]
Compliance Documents	If applicable	[ ]

Process Flow Diagram

[Insert process flowdiagram here if desired]

Review & Update

This SOP should be reviewed annually or whenever there are significant changes in regulations or company procedures.