Standard Operating Procedure (SOP)

Client Account Setup in Internal Systems

This SOP describes the process for **client account setup in internal systems**, detailing the necessary steps to create and configure new client accounts efficiently. It includes verification of client information, data entry protocols, system access configurations, approval workflows, and documentation standards to ensure accuracy and security. The procedure aims to maintain consistency, compliance, and seamless integration of client data within the organization's internal platforms.

1. Purpose

To establish a consistent process for setting up new client accounts in internal systems, ensuring data integrity, security, and compliance with organizational standards.

2. Scope

This SOP applies to all employees responsible for entering, reviewing, and approving client account information in internal systems.

3. Responsibilities

- **Account Setup Team:** Account creation, data entry, and initial system configuration.
- **Supervisors/Managers:** Verification, approval of account setup, and oversight.
- **IT/System Administrators:** Configuration of system access and technical support.

4. Procedure

1. **Receive Client Information**
   - Collect required client data from relevant sources (e.g., sales team, onboarding forms).
   - Verify completeness and accuracy of received data.
2. **Verify Client Information**
   - Cross-check client data with supporting documentation (e.g., identification, contracts).
   - Flag and resolve discrepancies before proceeding.
3. **Enter Client Data into Internal System**
   - Input client details accurately as per established data entry protocols.
   - Ensure all mandatory fields are completed and validated.
4. **Configure System Access**
   - Assign appropriate access levels based on client requirements and organizational policies.
   - Document system permissions and user roles.
5. **Approval Workflow**
   - Submit the completed setup for supervisory or managerial review.
   - Address any identified issues or required corrections.
   - Obtain formal approval before activating the account.
6. **Documentation and Recordkeeping**
   - Attach all supporting documentation to the client account entry.
   - Log the account creation in the appropriate tracking system or register.
   - Store records securely in accordance with company policy and regulatory requirements.
7. **Notify Stakeholders**
   - Inform relevant teams (e.g., account managers, IT support) of new account setup.
   - Provide necessary onboarding information to the client, if applicable.

5. Compliance and Quality Assurance

- Regularly review this process for improvements and compliance updates.
- Conduct periodic audits of client account records for accuracy and completeness.

6. References

- Data Entry Policy
- Access Control Policy
- Client Onboarding Guide

7. Revision History

Version	Date	Description of Change	Author
1.0	2024-06-12	Initial release	Compliance Team