

SOP Template: Customer Identification and Case Documentation

This SOP details the process of **customer identification and case documentation**, including verifying customer identity, collecting essential information, maintaining accurate records, ensuring data privacy and security, and following standardized procedures for documenting customer interactions and case details. This ensures reliable customer verification and comprehensive case management for efficient service delivery and compliance with regulatory requirements.

1. Purpose

To establish a standardized process for identifying customers, collecting and documenting customer information, managing case records, and ensuring data privacy and regulatory compliance.

2. Scope

This SOP applies to all staff involved in customer onboarding, service delivery, support, and case management, across all departments where customer identification is required.

3. Responsibilities

- **Customer Service Representatives:** Verify customer identity, collect and document information.
- **Supervisors/Managers:** Ensure compliance with the SOP and training of relevant staff.
- **IT/Data Security Team:** Maintain integrity and confidentiality of customer data.

4. Procedure

1. Customer Identification

- a. Greet the customer and request valid identification documents (e.g., government-issued ID, passport, company credentials).
- b. Verify the authenticity of the documents according to the checklist below:
 - Name matches records
 - Documents are current and valid
 - Photos and signatures are consistent
- c. Record verification details in the designated system or form.

2. Information Collection

- a. Collect required customer data:
 - Full name
 - Date of birth
 - Contact details (address, phone, email)
 - Customer account number/reference
- b. Ask additional questions where mandated by policy or relevant regulations.

3. Case Documentation

- a. Document every customer interaction:
 - Date and time of interaction
 - Staff member(s) involved
 - Summary of the issue/request
 - Actions taken/resolutions offered
- b. Attach relevant documents (e.g., ID copies, forms) to the customer's case record.

4. **Data Privacy and Security**

- a. Store customer information in secured, access-restricted systems.
- b. Do not share customer data with unauthorized persons or departments.
- c. Follow organization's data retention and deletion policies as per applicable regulations (e.g., GDPR).

5. **Review and Audit**

- a. Supervisors to audit a sample of case records monthly for completeness and accuracy.
- b. Document audit results and implement corrective action as needed.

5. **Documentation and Record-Keeping**

Document Type	Retention Period	Storage Location
Customer Identification Forms	5 Years	Secure Digital Archive
Case Notes/Interaction Logs	5 Years	Case Management System
Supporting Documents/Attachments	As per policy	Designated File Repositories
Audit Reports	3 Years	Compliance Office/Archive

6. **References**

- Company Data Privacy Policy
- Relevant Regulatory Guidelines (e.g., GDPR, AML/KYC, HIPAA)
- Internal Customer Service Manual

7. **Revision History**

Version	Date	Description	Approved by
1.0	2024-06-13	Initial SOP release	Compliance Officer