Standard Operating Procedure

Client Onboarding and Initial Assessment Procedures

This SOP details **client onboarding and initial assessment procedures**, encompassing client information gathering, needs analysis, eligibility verification, initial consultations, documentation requirements, and communication protocols. The process ensures a smooth and efficient onboarding experience, facilitating accurate client profiling and tailored service delivery from the outset.

Procedure Steps

1. **Client Information Gathering**
    - Collect personal and contact details via secure forms or portals.
    - Record relevant background information (e.g., demographic, business, or service-specific).
    - Assign a unique client identifier in the CRM/system.
2. **Needs Analysis**
    - Review initial information and schedule a discovery call if required.
    - Discuss client goals, expectations, and identifying pain points.
    - Document key requirements and desired outcomes.
3. **Eligibility Verification**
    - Review client documentation against eligibility criteria (e.g., compliance checks, service fit).
    - Conduct background/credit checks as necessary.
    - Confirm eligibility status to client and update system records.
4. **Initial Consultation**
    - Schedule and conduct the first meeting (in-person/virtual).
    - Address questions, clarify services, and set expectations.
    - Summarize the meeting and outline next steps.
5. **Documentation Requirements**
    - Provide client with a checklist of required documentation.
    - Collect and securely store all required forms and legal agreements.
    - Verify authenticity and completeness of submitted documents.
6. **Communication Protocols**
    - Establish main points of contact from both client and service teams.
    - Define preferred communication channels and response times.
    - Keep client updated on progress, decisions, and next steps.
7. **Onboarding Completion**
    - Confirm all assessments, documents, and information are complete.
    - Send official onboarding confirmation to the client.
    - Document onboarding completion in internal systems.

Required Documentation

Document	Description	Responsible Party
Client Intake Form	Basic information and initial requirements	Client / Onboarding Specialist
KYC/Compliance Forms	Verification of identity and regulatory compliance	Client / Compliance Officer
Service Agreement	Terms and conditions acknowledgment	Client / Legal
Supporting Documents	Proof of eligibility, business licenses, etc.	Client

Roles & Responsibilities

- **Onboarding Specialist:** Leads process, ensures all steps and documentation are completed.
- **Account Manager:** Acts as main client contact and relationship manager.
- **Compliance Officer:** Manages eligibility and documentation verification.
- **Client:** Provides all requested information and documentation promptly.

Communication & Escalation Protocols

- All client communications should be documented via email or CRM updates.
- Urgent issues should be escalated to relevant team leads within one business day.

- Client queries should be acknowledged within 24 hours (next business day).

Review & Revision

- This SOP will be reviewed annually or as needed based on regulatory, service, or workflow changes.