SOP Template: Verifying Caller Identity and Intent

This SOP details the process for **verifying caller identity and intent** to ensure secure and accurate communication. It includes steps for authenticating the caller's information, assessing the purpose of the call, using standardized verification questions, and documenting verification outcomes. The procedure helps prevent unauthorized access, protects sensitive information, and promotes clear and trustworthy interactions.

1. Purpose

To define the standardized process for verifying the identity and intent of callers to prevent unauthorized access, safeguard sensitive information, and ensure clear communication.

2. Scope

This SOP is applicable to all staff members responsible for handling inbound and outbound calls involving confidential or sensitive information.

3. Responsibilities

- All staff must follow this SOP strictly when dealing with calls requesting or disclosing sensitive data.
- Supervisors must ensure staff are trained in verification procedures.
- All verification attempts and outcomes must be documented.

4. Procedure

1. **Initial Greeting and Caller Introduction:**
   - Politely greet the caller and ask for their name and the reason for calling.

2. **Authenticate Caller Identity:**
   - Request two or more pieces of identifying information (e.g., account number, date of birth, security question).
   - Check provided information against records in the system.

3. **Assess Caller Intent:**
   - Ask the caller to clearly state the purpose of their call.
   - Determine if the request aligns with their role or usual business activities.

4. **Use Standardized Verification Questions:**
   - Present standard security questions as per organizational policy.
   - Do not share any confidential information before successful verification.

5. **Document Verification Outcomes:**
   - Record the date, time, verification methods, outcome, and any relevant notes in the appropriate system.

6. **Deny or Escalate if Verification Fails:**
   - Do not proceed if the caller fails verification.
   - Politely inform the caller of the policy; escalate to a supervisor if necessary.

7. **Complete Call or Provide Requested Service:**
   - Upon successful verification, proceed with the requested service or information.

5. Standard Verification Questions (Example)

Verification Data	Example Question
Date of Birth	"Can you please confirm your date of birth?"
Account Number	"What is your account number?"
Security Phrase	"What is your security phrase?"
Recent Transaction	"Can you tell me about your most recent transaction?"

6. Documentation & Records

- Log all details of verification in the CRM or designated system.
- Retain records in compliance with company policy and data protection regulations.

7. Training

- Staff must receive initial and periodic refresher training on verification protocols.
- Update training content as policies and risks evolve.

8. Revision History

Date	Version	Description	Author
2024-06-17	1.0	Initial SOP release	[Your Name]