

CASE LOGGING RULES – QUICK CHEAT SHEET

Zoho CRM | Nkwali Compliance Consultants

WHEN MUST YOU CREATE A CASE?

Create a Case only when there is a client or internal instruction that requires action and must be tracked. This includes regulatory submissions, licence or data changes, onboarding/off-boarding, GOAML/FICA work, director or KI changes, insurer requests, regulator correspondence, or any work requiring an auditable outcome.

DO NOT create a Case for casual queries or conversations with no action required.

ALWAYS START FROM THE ACCOUNT

Open the client Account, go to the Cases related list, and create the Case from there so Account Name and FSP Number auto-populate.

NEVER CREATE DUPLICATE CASES

Check existing open Cases for the client before creating a new one.

SUBJECT RULE

The Subject must explain the Case without opening it.

Use: Action + What + Context.

Example: "Add new financial products to FSP licence".

TYPE, ORIGIN, REASON MUST ALIGN

Type is the category, Origin is where it came from, Reason is the exact work item. These must make sense together.

RELATED TO IS MANDATORY

Every Case must be linked to a Director, Key Individual, or Main Contact. Never leave blank.

CASE LOGGED BY = YOU

Always select your own name. Never log a Case for someone else.

SYNC TO EXCEL

Always tick Sync to Excel so the Case counts toward Teamflect performance.

STATUS RULES

Open – work in progress

Awaiting Client – waiting for documents/info

On Hold – client requested pause

Escalated – manager intervention

Closed – fully completed

PRIORITY

High – regulator deadline/compliance risk

Medium – standard regulatory work

Low – non-urgent admin

DESCRIPTION VS INTERNAL COMMENTS

Description explains what the client wants and the outcome.

Internal Comments are a dated internal action log.

REGULATOR REFERENCES

Capture FSCA, FIC, or NCR reference numbers as soon as issued.

CLIENT SURVEY SECTION

Do not complete. System-controlled.

CLOSING A CASE

Edit the Case, set Date Case Closed with exact time, Status = Closed, complete Solution, then Save.

GOLDEN RULE

If it's not in a Case, it didn't happen.