



ZOHO CASE MANAGEMENT MANUAL

Internal Operations Manual | Zoho CRM (Cases Module)

Nkwali Compliance Consultants

Version 2.0 | Branded & Screenshot-Embedded

SECTION 1

Orientation & Standards

1. About this Manual

This manual is the official internal training reference for how Nkwali Compliance Consultants logs, manages, and closes client work using the Cases module in Zoho CRM. It is operational (not a study guide).

All staff must follow this manual to ensure auditable evidence of work, consistent service delivery, and accurate SLA / Teamflect performance tracking.

2. The Golden Rule

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

3. Desk vs Case Decision

Desk Tickets are for support conversations and queries with no formal submission or tracked outcome.

Cases are for work that must be completed, evidenced, and closed.

If someone could later ask "Was this done, when, and by whom?" – it is a Case.

4. Mandatory Triggers (When you MUST create a Case)

- Regulatory submissions or applications (FSCA/FIC/NCR/CIPC and other regulators)
- Licence maintenance / additions / variations / lapses
- Onboarding and off-boarding processes
- FICA / GOAML work and evidence of compliance actions
- Director, ownership, Key Individual changes
- Representative updates (where applicable in your system)
- Insurer requests and evidence-based processing
- Regulatory correspondence and escalations
- Any work requiring proof for audit, handover, or dispute resolution

SECTION 2

Priority & SLA

5. Priority Decision Matrix

Priority must reflect urgency + risk, not the client's tone or channel.

Use the Priority Decision Matrix annexure when selecting High / Medium / Low priority.

SECTION 3

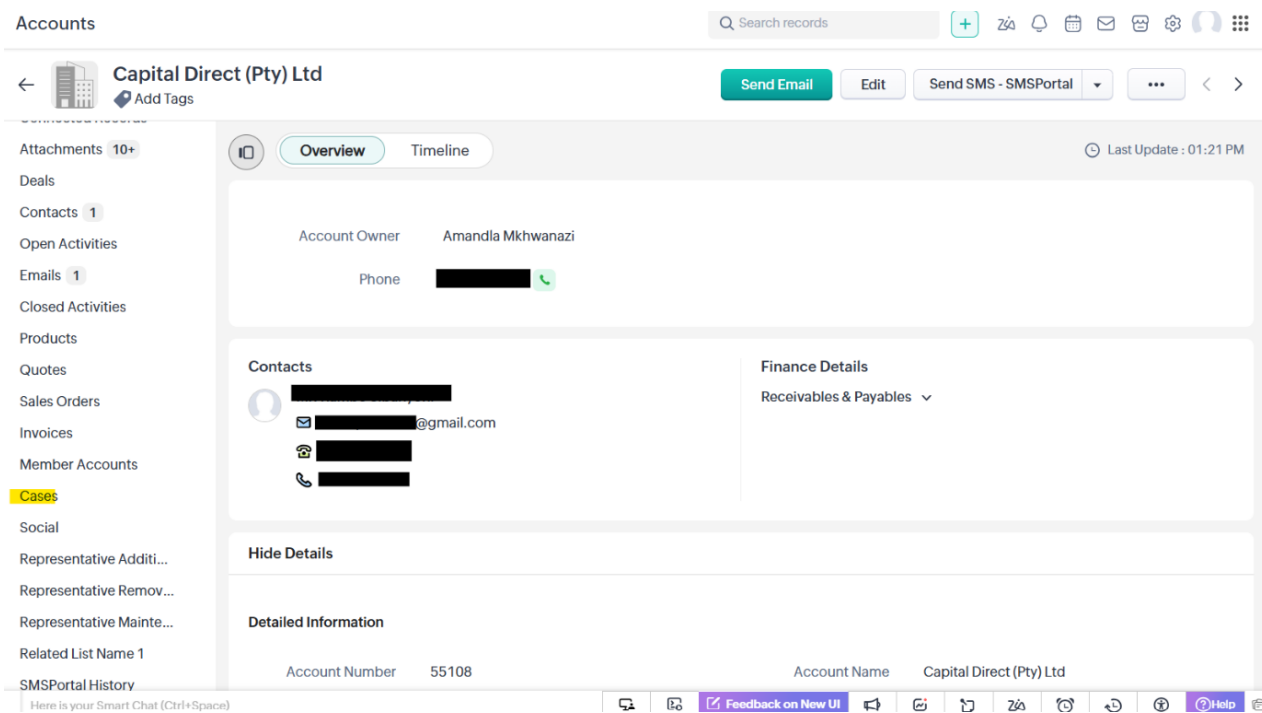
Step-by-Step SOP

6. End-to-End Process (Create → Manage → Close)

Follow the steps below in order. These are the official operational controls for Zoho Cases.

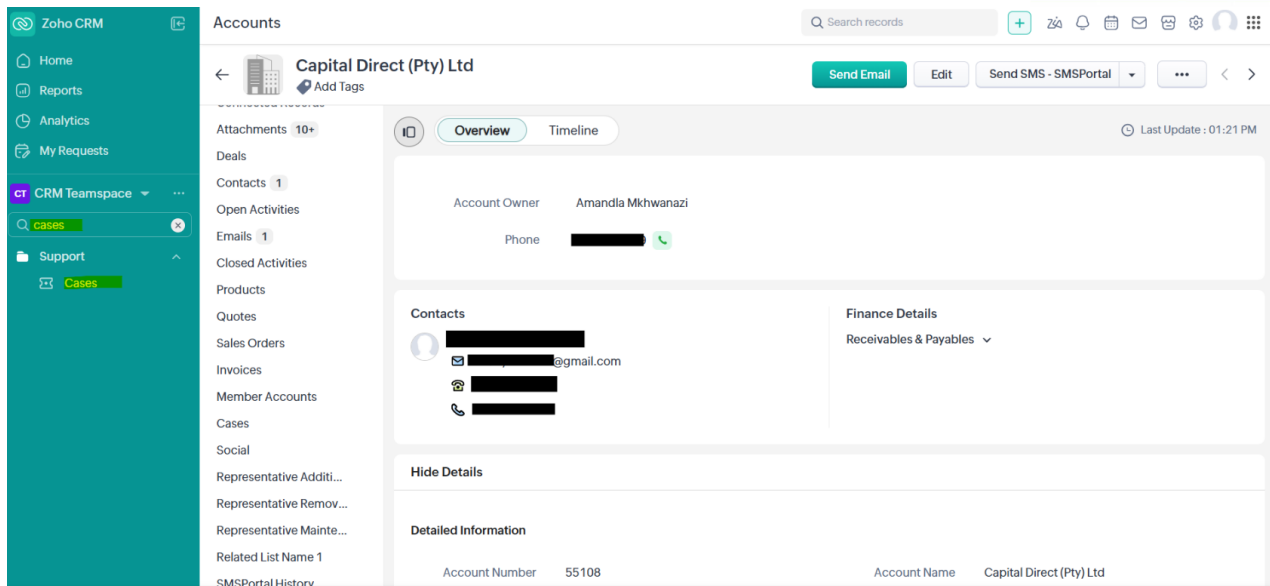
A) Creating a Case

Preferred method: Start from inside the Client Account record.



The screenshot displays the Zoho CRM interface for a client account named "Capital Direct (Pty) Ltd". The account owner is listed as "Amanda Mkhwanazi". The interface includes a left sidebar with navigation options such as Attachments, Deals, Contacts, Open Activities, Emails, Closed Activities, Products, Quotes, Sales Orders, Invoices, Member Accounts, Cases (highlighted), Social, Representative Additi..., Representative Remov..., Representative Mainte..., Related List Name 1, and SMSPortal History. The main content area shows the "Overview" tab with fields for Account Owner and Phone. Below this, there are sections for "Contacts" and "Finance Details". The "Detailed Information" section at the bottom shows the Account Number as 55108 and the Account Name as Capital Direct (Pty) Ltd.

Alternative method: Use left navigation search only when you are not already inside the Account.



Step 1: Decide when a Case must be created (mandatory triggers)

Responsibility: All staff

Tool / Template: Zoho CRM – Cases Module

Timeline: Same day request is received

How to do it / rules:

- Not every interaction becomes a Case.
- Create a Case when there is a client instruction/request that requires a tracked submission, regulatory filing, official profile/data update, policy/document preparation, escalation, or outcome that must be auditable.
- Approved Case-trigger categories include: Advisory/General Query (only when action required), Data & Record Updates, Debarment (incl reinstatement), Director/Ownership Changes, DOFA, FICA/GOAML, FSCA Licensing & Authorizations, Insurer Requests, KI Management, License Maintenance (FAIS), NCR matters, Onboarding/Off-boarding, POPI submissions, Regulatory Correspondence/Escalation, Regulatory Submissions (Phase II/AFS), Representative Management (where applicable in your system), Technical/Portal Support, Unclassified/Triage.

Step 2: Open Cases from inside the Client Account (preferred)

Responsibility: Employee creating the case

Tool / Template: Zoho CRM → Accounts → Related Lists

Timeline: Immediately when case is required

How to do it / rules:

- Preferred method because it reduces errors.
- Open the client Account → scroll to related lists → click Cases.

Step 3: Open Cases from left panel search (alternative method)

Responsibility: Employee creating the case

Tool / Template: Zoho CRM → Left navigation

Timeline: Immediately when case is required

How to do it / rules:

- Type “Cases” in the left panel search → click Cases module → click Create / New Case.
- Use only if you are not already inside the Account record.

Step 4: Start new Case from Account so Account Name + FSP Number auto-populate

Responsibility: Employee creating the case

Tool / Template: Zoho CRM – New Case screen

Timeline: During creation

How to do it / rules:

- When created from inside the Account, Account Name and FSP Number must auto-populate.
- If they do not, stop and confirm you are inside the correct Account record.

Step 5: Capture Date Case Logged accurately (date + time to the minute)

Responsibility: Employee creating the case

Tool / Template: Zoho CRM – New Case screen

Timeline: During creation

How to do it / rules:

- Select correct Date Case Logged from calendar.
- Also set time to the minute using your laptop/system time.
- This drives SLA tracking (Case Opened vs Case Closed).

Screenshot reference:

Cases

Edit Case [Edit Page Layout](#)

Case Information

Account Name Juner Financial Services (Pty) Ltd

FSP Number 53601

Date Case Logged 07.01.2026. 03:43 PM

Subject Addition of new financial products to the FSP licensi

Step 6: Complete the Subject clearly (so anyone understands the case at a glance)

Responsibility: Employee creating the case

Tool / Template: Zoho CRM – Subject field

Timeline: During creation

How to do it / rules:

- Subject must reflect the essence of the case in full words.
- Example: "Addition of new financial products to the FSP license." Avoid vague subjects like "FSCA" / "Update." Use action style: Add/Remove/Update/Submit/Follow-up/Register/File.

Step 7: Select Case Type (for reporting and workload insight)

Responsibility: Employee creating the case

Tool / Template: Zoho CRM – Type dropdown

Timeline: During creation

How to do it / rules:

- Choose the correct Case Type (big category) so reporting is meaningful (what cases are coming in, what is challenging).
- Use your approved list (Advisory/General Query, CIPC, FICA Submission, License Maintenance, NCR, etc.).
- Case Type Options (select one)
 - Advisory / General Query (Queries, client request for info)
 - Auditor / Accountant Changes
 - Banking & Financial Details (Change banking details, add/remove separate FSP bank account, update banking info)
 - Billing / Contracts (Debit order queries, fee changes, contract questions)
 - CIPC
 - Data & Record Updates (Amend contact details, amend financial year-end, FSP name change)
 - Debarment
 - Director / Ownership Changes (Add new director, remove director, update shareholding)
 - DOFA request
 - E-commerce / LMS (Online Store)
 - FICA Submission
 - FSCA Licensing & Authorizations
 - Insurer Request (submit forms/policies to insurer, Assupol DDR)
 - Key Individual Management (Add KI, remove KI, update KI details/training/COB)
 - License Maintenance (FAIS) (lapse license, variation of products (add/remove), update COB)
 - NCR Licensing & Regulatory Filings
 - Onboarding / Off-boarding (New client onboarding, client off-boarding/termination)

POPI Submission

Regulatory Correspondence / Escalation (Follow-up with FSCA on client issue, FSCA information request)

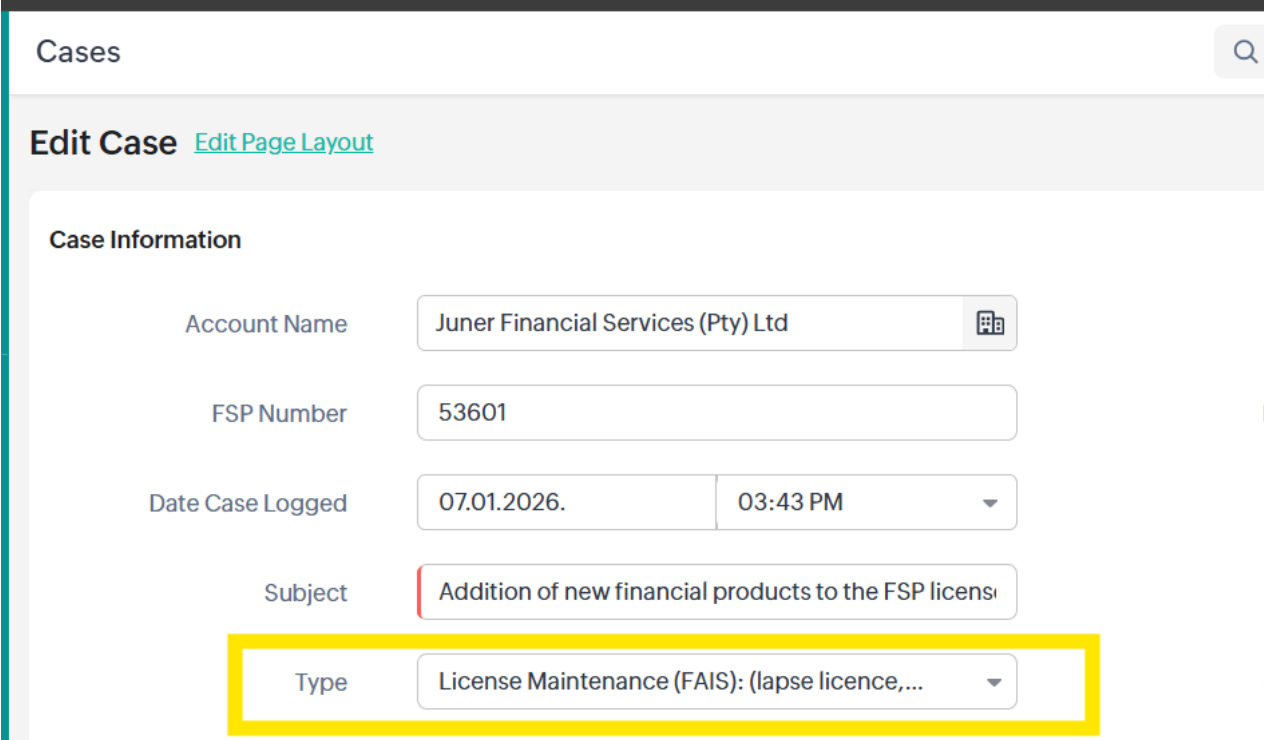
Regulatory Submission / Application (Phase II submission, FSCA forms/submissions, AFS submission)

Representative Management (Addition, removal, update, request for rep register)

Technical / Portal Support (Existing problem, complex functionality issues)

Unclassified / Triage

Screenshot reference:



Cases

Edit Case [Edit Page Layout](#)

Case Information

Account Name Juner Financial Services (Pty) Ltd

FSP Number 53601

Date Case Logged 07.01.2026. 03:43 PM

Subject Addition of new financial products to the FSP licens

Type License Maintenance (FAIS): (lapse licence,...

Step 8: Select Case Origin (channel)

Responsibility: Employee creating the case

Tool / Template: Zoho CRM – Case Origin dropdown

Timeline: During creation

How to do it / rules:

- Case Origin answers: “How did this case come about?” Choose the channel where it started (not where it continued).
- Approved origins include Email, WhatsApp, Internal (Compliance Officer), LMS, Phone, Regulator (FSCA/NCR/CIPC), Social Media, Support Ticket, Walk-in/In-person, Web.

Step 9: Select Case Reason (must align with Case Type)

Responsibility: Employee creating the case

Tool / Template: Zoho CRM – Case Reason dropdown

Timeline: During creation

How to do it / rules:

- Case Reason is the specific work item and must match the selected Type.
- Example: Type = License Maintenance (FAIS) → Reason = Add New FSP Products.
- Use the approved Case Reasons list exactly (e.g., Phase II Onboarding, GOAML registration, Amend Contact Details, AFS Submission).

Step 10: Confirm / update Status correctly

Responsibility: Case owner (person responsible)

Tool / Template: Zoho CRM – Status field

Timeline: During case lifecycle

How to do it / rules:

- New cases default to Open.
- Update status as case progresses: Awaiting Client (waiting for docs/info), Escalated (to manager/compliance officer), On Hold (client requested pause), Closed (resolved/finalized).
- Do not leave cases “Open” when waiting on client.

Step 11: Complete “Related To” (mandatory contact link)

Responsibility: Employee creating the case

Tool / Template: Zoho CRM – Related To lookup

Timeline: During creation

How to do it / rules:

- Mandatory.
- Never blank.
- Select the correct client Contact person (Director / Key Individual / Main Contact only).
- Click “Related to” lookup → choose contact from popup.
- If not found, create the contact, then link it.

Step 12: Tick “Sync to Excel” (Teamflect tracking)

Responsibility: Employee creating the case

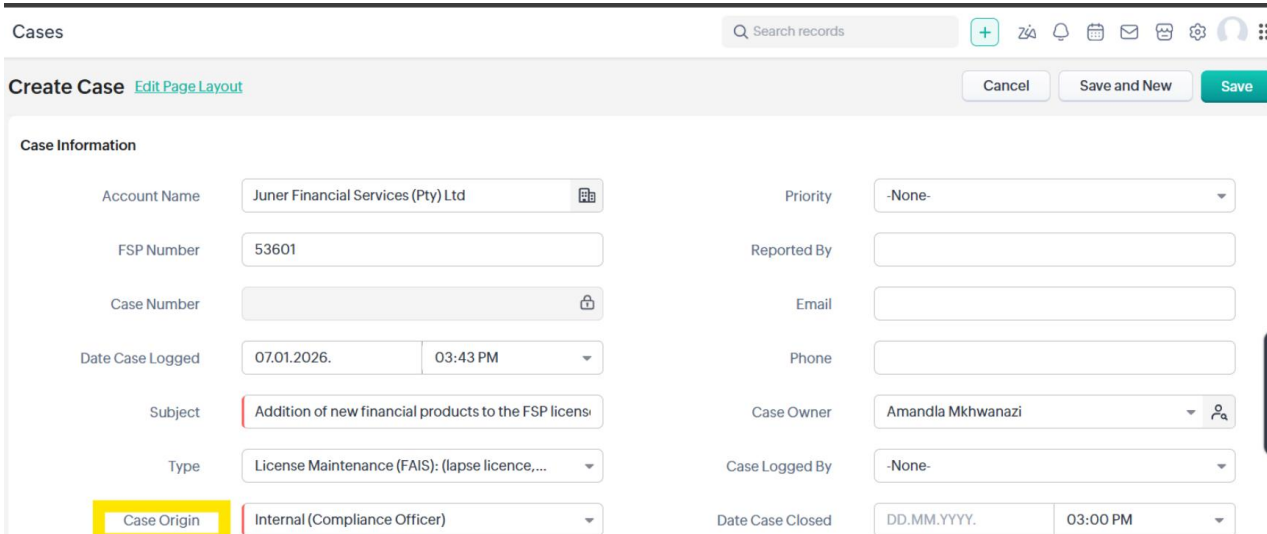
Tool / Template: Zoho CRM – Sync to Excel checkbox

Timeline: During creation (before Save)

How to do it / rules:

- Tick Sync to Excel so case is captured for Teamflect performance.
- Teamflect updates case count + - 30 minutes after sync.
- If forgotten, open case → tick → save.

Screenshot reference:



The screenshot shows the 'Create Case' form in Zoho CRM. The 'Case Origin' field is highlighted with a yellow box. The form includes the following fields:

- Account Name: Juner Financial Services (Pty) Ltd
- FSP Number: 53601
- Case Number: (locked)
- Date Case Logged: 07.01.2026, 03:43 PM
- Subject: Addition of new financial products to the FSP licens
- Type: License Maintenance (FAIS): (lapse licence,...
- Case Origin: Internal (Compliance Officer)
- Priority: -None-
- Reported By: (empty)
- Email: (empty)
- Phone: (empty)
- Case Owner: Amanda Mkhwanazi
- Case Logged By: -None-
- Date Case Closed: DD.MM.YYYY, 03:00 PM

Step 13: Select Case Priority (High / Medium / Low)

Responsibility: Employee creating the case

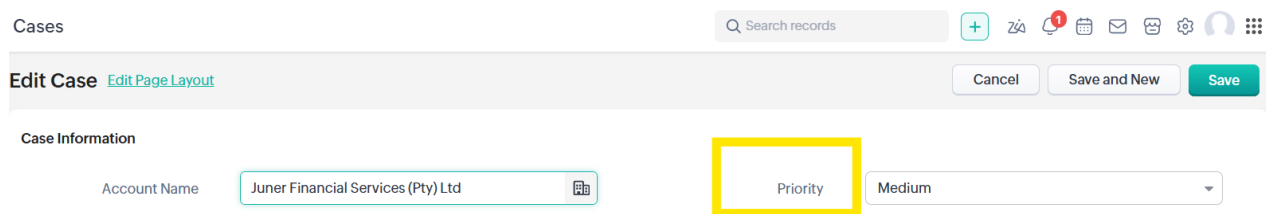
Tool / Template: Zoho CRM – Priority dropdown

Timeline: During creation

How to do it / rules:

- Priority is required for urgency + SLA management.
- High: regulator deadline / compliance risk / urgent service impact.
- Medium: standard regulatory work with normal timelines.
- Low: non-urgent admin/info requests.
- (We will align SLA targets to this priority, so cases do not stagnate, and closure rate stays healthy.)

Screenshot reference:



The screenshot shows the 'Edit Case' interface in Zoho CRM. The 'Case Information' section is visible, with the 'Account Name' field containing 'Juner Financial Services (Pty) Ltd'. The 'Priority' dropdown menu is highlighted with a yellow box and is currently set to 'Medium'. Other fields like 'Reported By' are not visible in this view.

Step 14: Complete “Reported By”

Responsibility: Employee creating the case

Tool / Template: Zoho CRM – Reported By field

Timeline: During creation

How to do it / rules:

- “Reported By” = who reported/requested the case (usually the same person selected in Related To).
- Copy the name and ensure correct spelling.

Step 15: Confirm Email + Phone auto-populate and Case Owner defaults

Responsibility: System (auto) + employee verifies

Tool / Template: Zoho CRM – Case fields

Timeline: During creation

How to do it / rules:

- No manual work required.
- Email + Phone must auto-populate from the contact selected in Step 11.
- If incorrect, fix the Contact record, not the Case.
- Case Owner will auto-populate (defaults to Amandla Mkhwanazi).

Step 16: Complete “Case Logged By” (must be your own name)

Responsibility: Employee creating the case

Tool / Template: Zoho CRM – Case Logged By dropdown

Timeline: During creation

How to do it / rules:

- Select your own name.
- You may not log a case under someone else’s name.
- This ensures accountability and Teamflect tracking is correct.

Screenshot reference:

Cases Q Search records

+ Z4 [notification icons]

Create Case [Edit Page Layout](#) Cancel Save and New Save

Case Information

Account Name	<input type="text" value="Juner Financial Services (Pty) Ltd"/>	Priority	<input type="text" value=""/>
FSP Number	<input type="text" value="53601"/>	Reported By	<input type="text" value=""/>
Case Number	<input type="text" value=""/>	Email	<input type="text" value=""/>
Date Case Logged	<input type="text" value="07.01.2026."/> <input type="text" value="03:43 PM"/>	Phone	<input type="text" value=""/>
Subject	<input type="text" value="Addition of new financial products to the FSP licens"/>	Case Owner	<input type="text" value="-None-"/>
Type	<input type="text" value="License Maintenance (FAIS): (lapse licence,..."/>	Case Logged By	<input type="text" value="-None-"/>
Case Origin	<input type="text" value="Internal (Compliance Officer)"/>	Date Case Closed	<input type="text" value="DD.MM.YYYY."/> <input type="text" value="03:00 PM"/>
Case Reason	<input type="text" value="Add New FSP Products"/>	FSCA Case Number	<input type="text" value=""/>
Status	<input type="text" value="Open"/>	FIC Case Number	<input type="text" value=""/>
Related To	<input type="text" value=""/>	NCR Case Number	<input type="text" value=""/>

Step 17: Capture regulator reference number (FSCA / FIC / NCR) when applicable

Responsibility: Case owner

Tool / Template: Zoho CRM – Regulator reference fields

Timeline: As soon as issued (same day)

How to do it / rules:

- If case relates to a regulator submission: capture FSCA Case Number OR FIC reference OR NCR reference.
- This ensures any team member can track the matter if the owner is unavailable.

Step 18: Warning: Client Survey section – DO NOT COMPLETE

Responsibility: All staff

Tool / Template: Zoho CRM – Client Survey section

Timeline: Always

How to do it / rules:

- Employees are NOT required and may NOT complete this section.

- It is system controlled.
- When case is Closed, the system sends a client survey automatically.
- This section tracks whether the survey was generated/sent and which channel was used.

Step 19: Complete Description + Internal Comments properly

Responsibility: Case owner

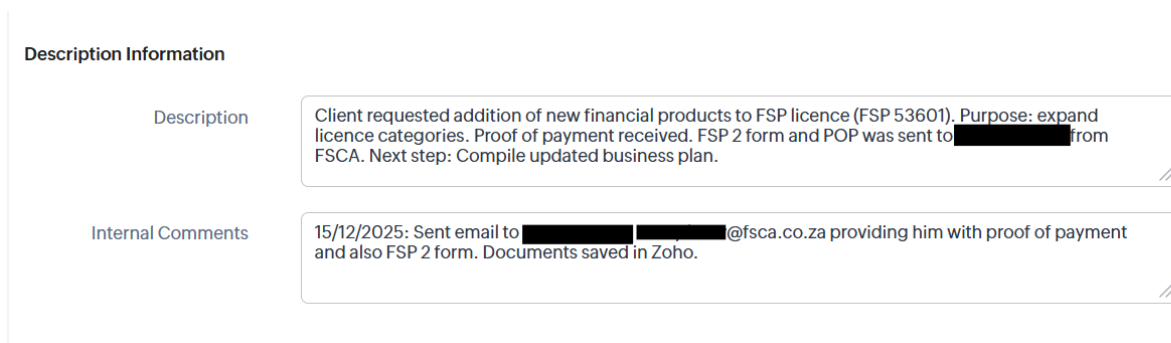
Tool / Template: Zoho CRM – Description Information section

Timeline: During creation and throughout case

How to do it / rules:

- Description: what client requested + expected outcome + key documents + deadlines + next step.
- Internal Comments: internal action log with dates/times (emails sent, submissions made, follow-ups, responses, evidence location).
- This supports audit and handover.

Screenshot reference:



The screenshot shows the 'Description Information' section in Zoho CRM. It contains two text boxes:

- Description:** Client requested addition of new financial products to FSP licence (FSP 53601). Purpose: expand licence categories. Proof of payment received. FSP 2 form and POP was sent to [REDACTED] from FSCA. Next step: Compile updated business plan.
- Internal Comments:** 15/12/2025: Sent email to [REDACTED]@fscs.co.za providing him with proof of payment and also FSP 2 form. Documents saved in Zoho.


Step 20: Save the Case and confirm Case Number is generated

Responsibility: Employee creating the case

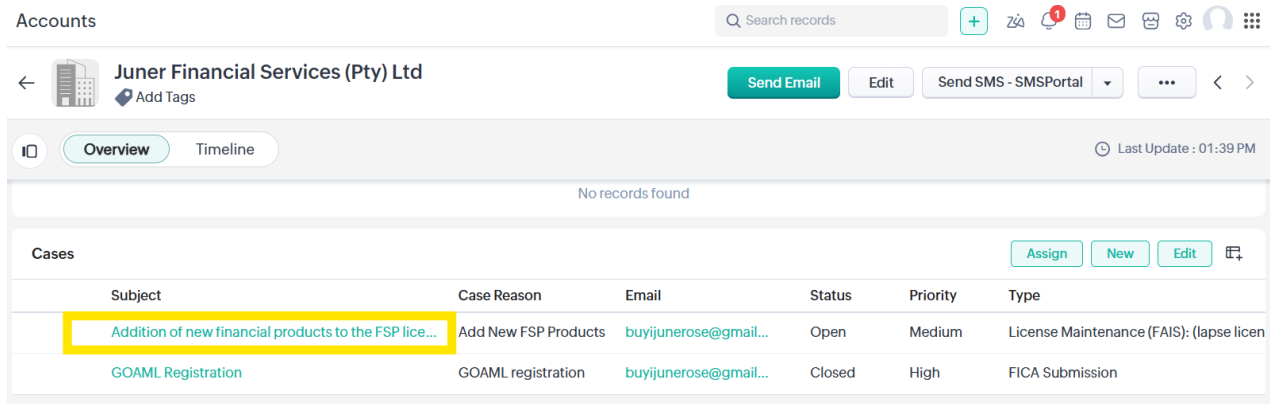
Tool / Template: Zoho CRM – Save button

Timeline: Immediately after Step 19

How to do it / rules:

- Click Save.
- Confirm the case appears in the list.
- Open the case and confirm Case Number was generated.
- 

Screenshot reference:



Accounts

Q Search records

Juner Financial Services (Pty) Ltd

Send Email Edit Send SMS - SMSPortal

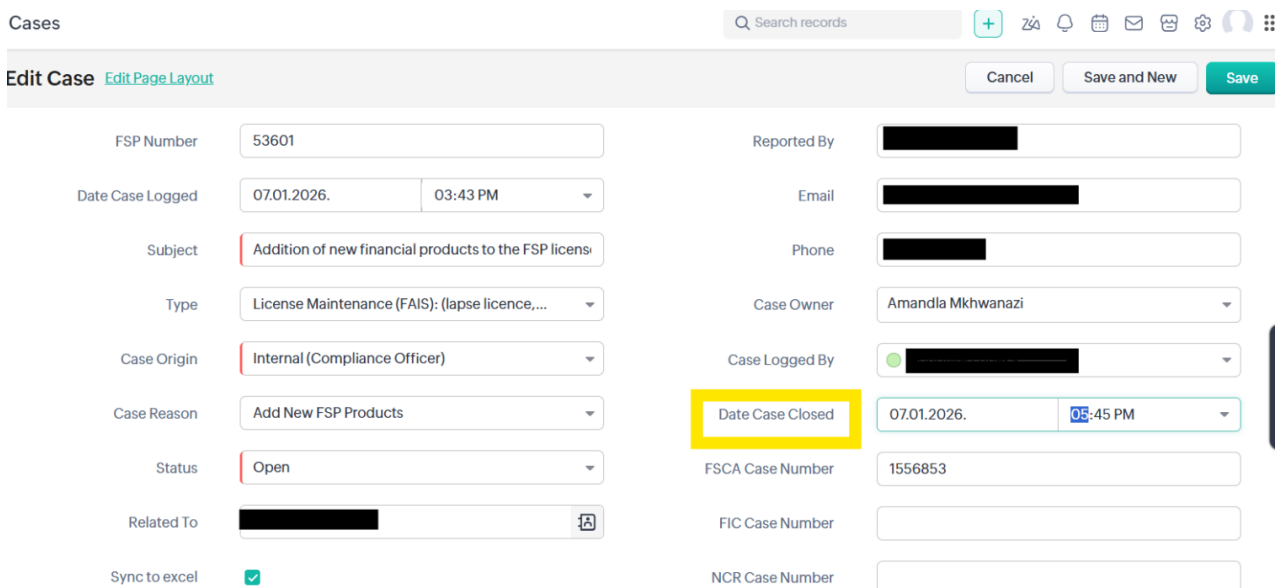
Overview Timeline

No records found

Cases

Subject	Case Reason	Email	Status	Priority	Type
Addition of new financial products to the FSP lice...	Add New FSP Products	buyijunero@gmail...	Open	Medium	License Maintenance (FAIS): (lapse licen
GOAML Registration	GOAML registration	buyijunero@gmail...	Closed	High	FICA Submission

- Once saved, confirm a Case Number is generated and the case appears in the Cases list.



Cases

Q Search records

Edit Case Edit Page Layout

Cancel Save and New Save

FSP Number: 53601

Date Case Logged: 07.01.2026. 03:43 PM

Subject: Addition of new financial products to the FSP licens

Type: License Maintenance (FAIS): (lapse licence,...

Case Origin: Internal (Compliance Officer)

Case Reason: Add New FSP Products

Status: Open

Related To: [Redacted]

Sync to excel:

Reported By: [Redacted]

Email: [Redacted]

Phone: [Redacted]

Case Owner: Amanda Mkhwanazi

Case Logged By: [Redacted]

Date Case Closed: 07.01.2026. 03:45 PM

FSCA Case Number: 1556853

FIC Case Number: [Redacted]

NCR Case Number: [Redacted]

Step 21: Close the Case correctly (Edit → Date Case Closed + time → Solution → Status Closed → Save)

Responsibility: Case owner

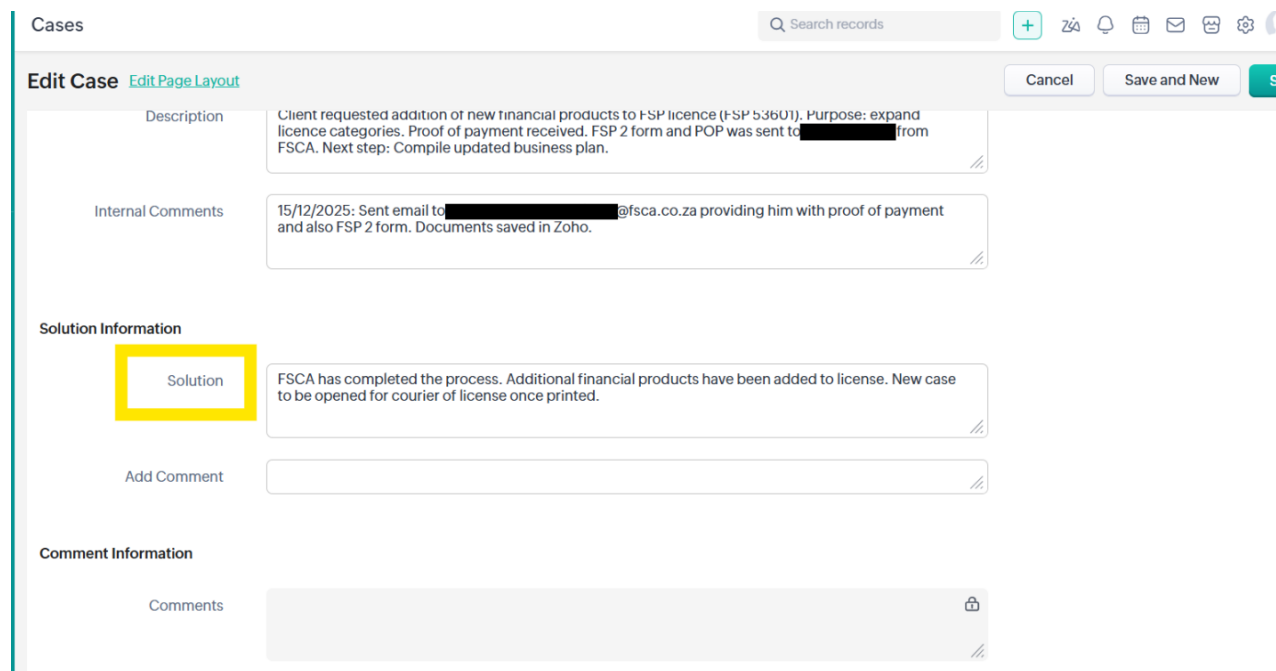
Tool / Template: Zoho CRM – Edit Case

Timeline: Immediately when work is finalized

How to do it / rules:

- Open the case → click Edit.
- Set Date Case Closed (date + time to the minute, using system time) because it drives SLA.
- Update Status = Closed.
- Complete Solution (resolution note): what action was taken, what was submitted/prepared, confirmation of completion, final outcome, and any closing audit notes.
- Then Save.

Screenshot reference:



The screenshot shows the 'Edit Case' interface in Zoho CRM. At the top, there is a search bar and navigation icons. Below the search bar, the page title is 'Edit Case' with a link to 'Edit Page Layout'. On the right side, there are buttons for 'Cancel', 'Save and New', and a green 'S' button. The main content area is divided into several sections:

- Description:** Client requested addition of new financial products to FSP licence (FSP 53601). Purpose: expand licence categories. Proof of payment received. FSP 2 form and POP was sent to [redacted] from FSCA. Next step: Compile updated business plan.
- Internal Comments:** 15/12/2025: Sent email to [redacted]@fsc.co.za providing him with proof of payment and also FSP 2 form. Documents saved in Zoho.
- Solution Information:**
 - Solution:** FSCA has completed the process. Additional financial products have been added to license. New case to be opened for courier of license once printed. (This field is highlighted with a yellow box in the original image)
 - Add Comment:** An empty text input field.
- Comment Information:**
 - Comments:** A greyed-out area for comments with a lock icon.

SECTION 4

Quality Controls

7. Documentation Standards

To ensure audit readiness and handover continuity, document every case properly.

Description (client-facing summary)

- What the client requested (instruction)
- Expected outcome (what 'done' looks like)
- Key documents received / outstanding
- Deadlines and regulator requirements
- Next action step

Internal Comments (internal action log)

- Date-stamped log of actions taken
- Evidence links/location (SharePoint folder, Zoho attachments, email)
- Follow-ups done and responses received
- Escalations and approvals

8. System-Controlled Section: Client Survey

Employees must NOT complete or edit the Client Survey section. It is system controlled and triggers automatically on case closure.

APPENDICES

Reference Material

Appendix A: Priority Decision Matrix

Attached separately: Priority Decision Matrix (1-page visual).

Appendix B: Case Logging Rules – Quick Cheat Sheet

Attached separately: Case Logging Rules Quick Cheat Sheet (branded).