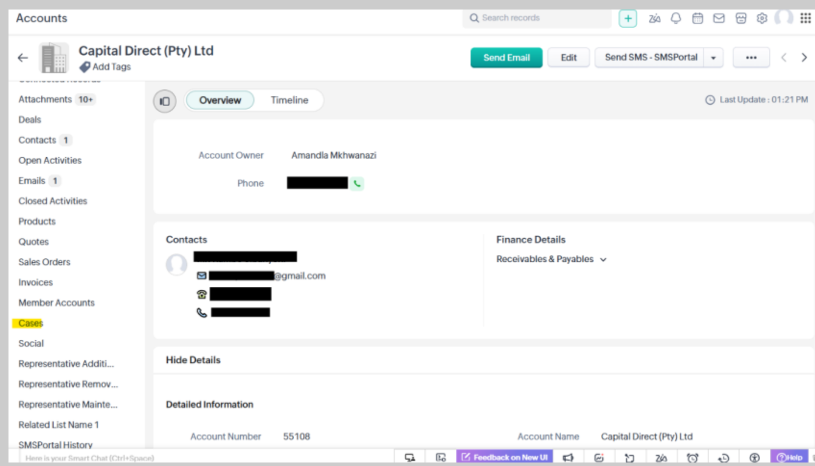
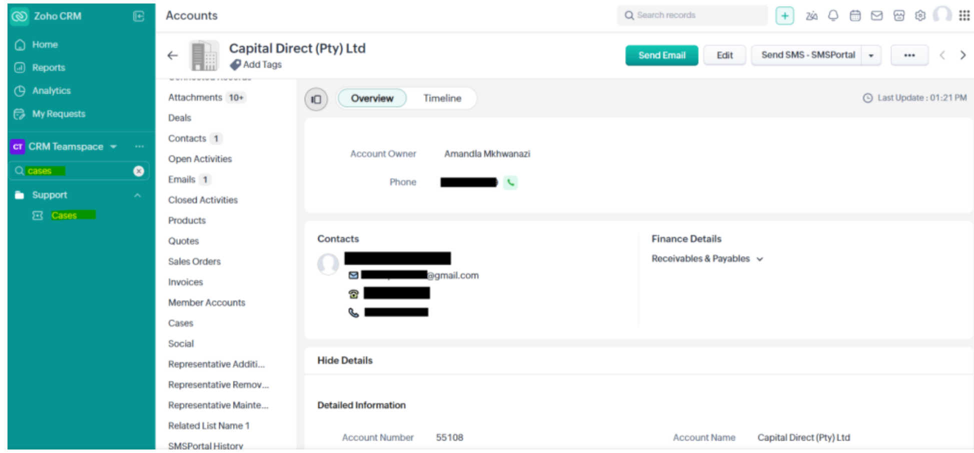
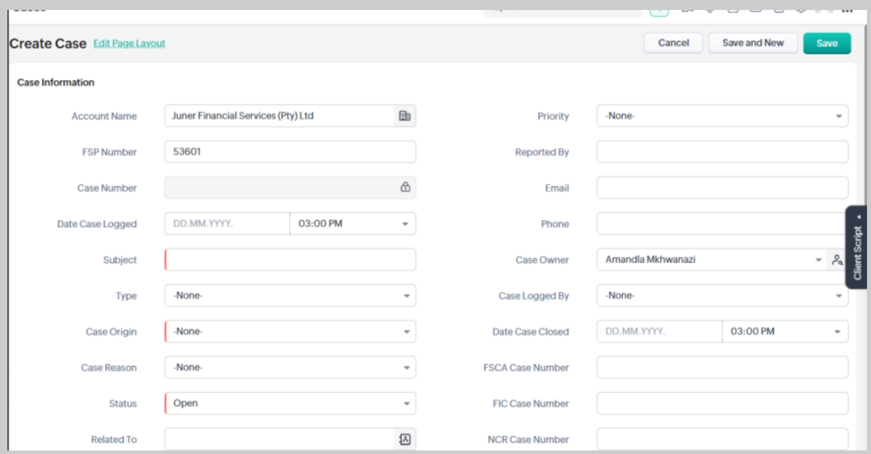
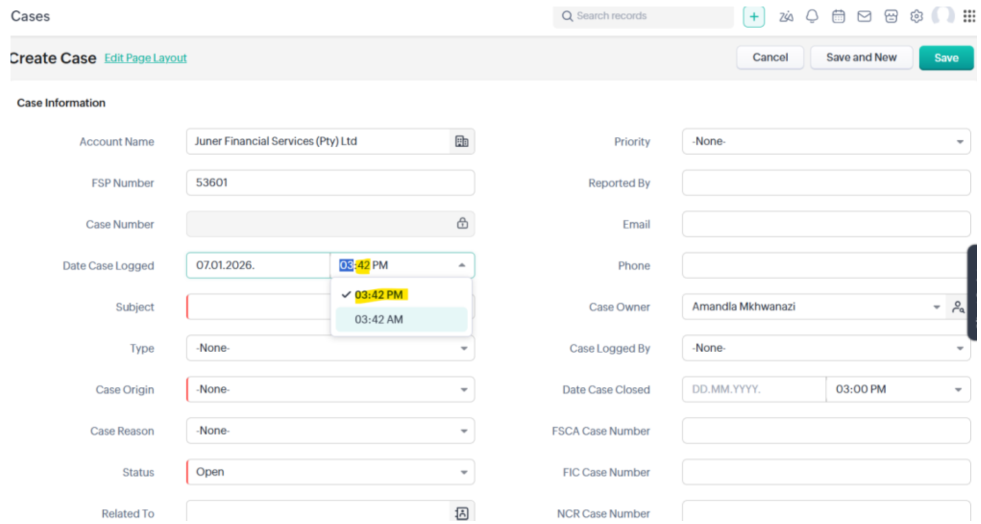
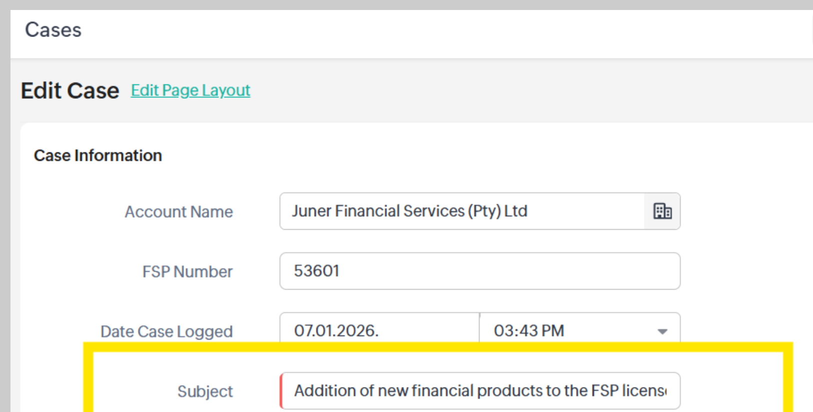
# SOP: Creating and Closing a case in Zoho CRM

| Step # | Task | Responsibility | Tool / Template | Timeline | Notes |
|---|---|---|---|---|---|
| | | | | | **Creating a case in Zoho** |
| **1** | Decide when a Case must be created (mandatory triggers) | All staff | Zoho CRM – Cases Module | Same day request is received | **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. |
| **2** | Open Cases from inside the Client Account (preferred) | Employee creating the case | Zoho CRM → Accounts → Related Lists | Immediately when case is required | **Preferred method** because it reduces errors. Open the client **Account** → scroll to related lists → click **Cases**.<br> |

# SOP: Creating and Closing a case in Zoho CRM

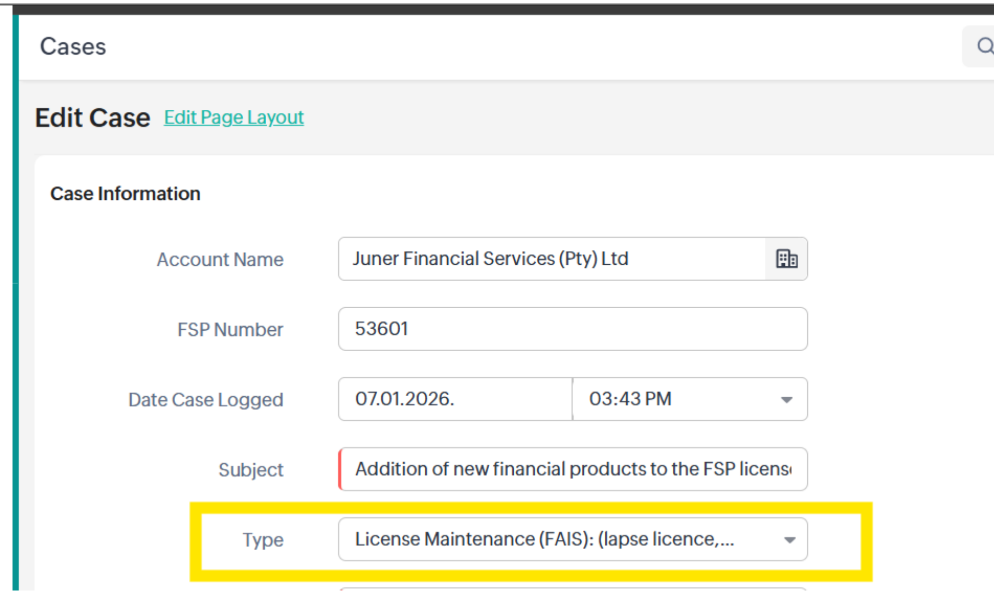
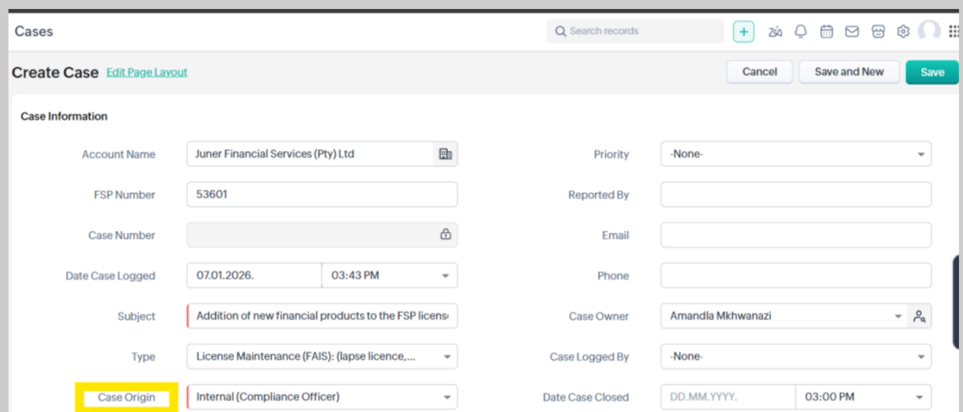
| | | | | | |
|---|---|---|---|---|---|
| **3** | Open Cases from left panel search (alternative method) | Employee creating the case | Zoho CRM → Left navigation | Immediately when case is required | Type **"Cases"** in the left panel search → click **Cases module** → click **Create / New Case**. **Use only if you are not already inside the Account record.**<br> |
| **4** | Start new Case from Account so Account Name + FSP Number auto-populate | Employee creating the case | Zoho CRM – New Case screen | During creation | 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.<br> |

| | | | | | |
|---|---|---|---|---|---|
| **5** | Capture Date Case Logged accurately (date + time to the minute) | Employee creating the case | Zoho CRM – New Case screen | During creation | 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).<br> |
| **6** | Complete the Subject clearly (so anyone understands the case at a glance) | Employee creating the case | Zoho CRM – Subject field | During creation | 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**.<br> |

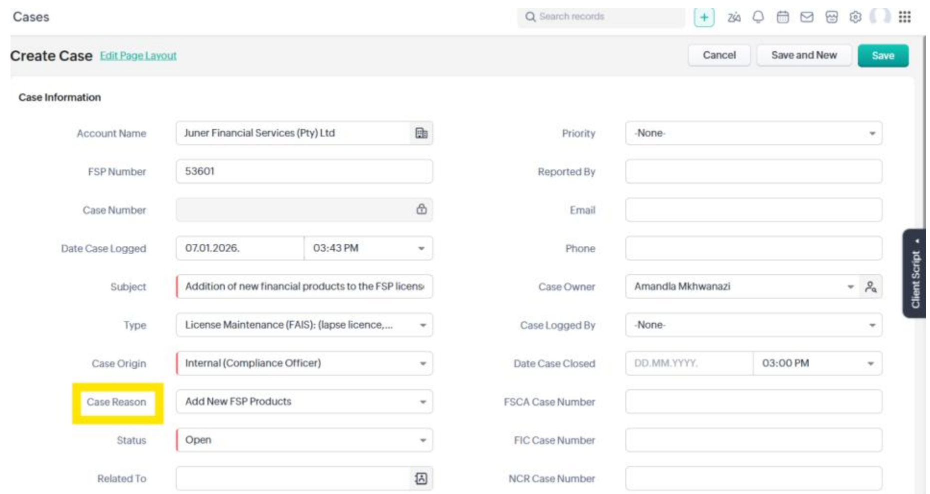
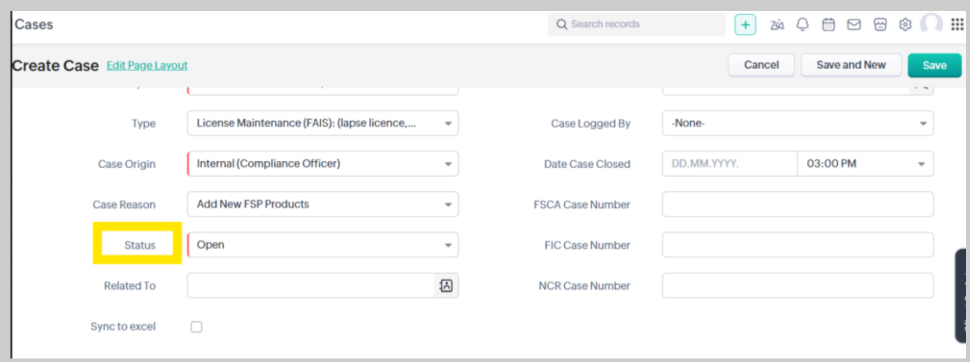
| | | | | | |
|---|---|---|---|---|---|
| **7** | Select Case Type (for reporting and workload insight) | Employee creating the case | Zoho CRM – Type dropdown | During creation | Choose the **correct Case Type** (big category) so reporting is meaningful (what cases are coming in, what is challenging). Use your approved list (Advisory/General Query, CIPC, FICA Submission, License Maintenance, NCR, etc.).<br><br>**Case Type Options (select one)**<br>• **Advisory / General Query** *(Queries, client request for info)*<br>• **Auditor / Accountant Changes**<br>• **Banking & Financial Details** *(Change banking details, add/remove separate FSP bank account, update banking info)*<br>• **Billing / Contracts** *(Debit order queries, fee changes, contract questions)*<br>• **CIPC**<br>• **Data & Record Updates** *(Amend contact details, amend financial year-end, FSP name change)*<br>• **Debarment**<br>• **Director / Ownership Changes** *(Add new director, remove director, update shareholding)*<br>• **DOFA request**<br>• **E-commerce / LMS (Online Store)**<br>• **FICA Submission**<br>• **FSCA Licensing & Authorizations**<br>• **Insurer Request** *(submit forms/policies to insurer, Assupol DDR)*<br>• **Key Individual Management** *(Add KI, remove KI, update KI details/training/COB)* |

| | | | | | |
|---|---|---|---|---|---|
| | | | | | • **License Maintenance (FAIS)** *(lapse license, variation of products (add/remove), update COB)*<br>• **NCR Licensing & Regulatory Filings**<br>• **Onboarding / Off-boarding** *(New client onboarding, client off-boarding/termination)*<br>• **POPI Submission**<br>• **Regulatory Correspondence / Escalation** *(Follow-up with FSCA on client issue, FSCA information request)*<br>• **Regulatory Submission / Application** *(Phase II submission, FSCA forms/submissions, AFS submission)*<br>• **Representative Management** *(Addition, removal, update, request for rep register)*<br>• **Technical / Portal Support** *(Existing problem, complex functionality issues)*<br>• **Unclassified / Triage** |

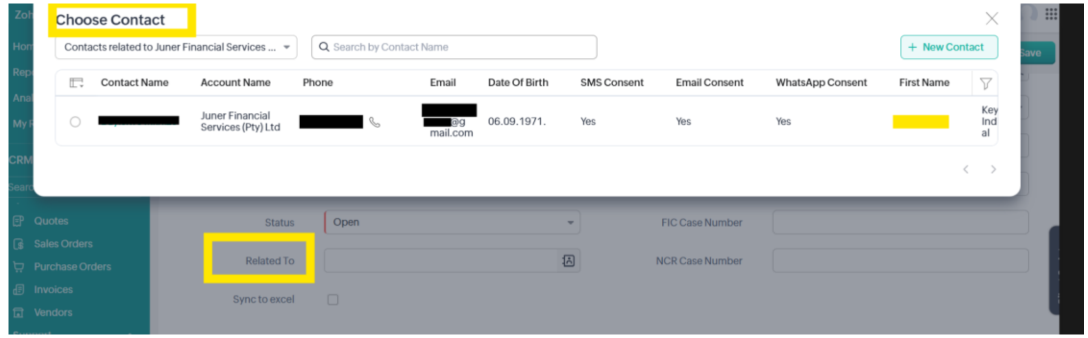
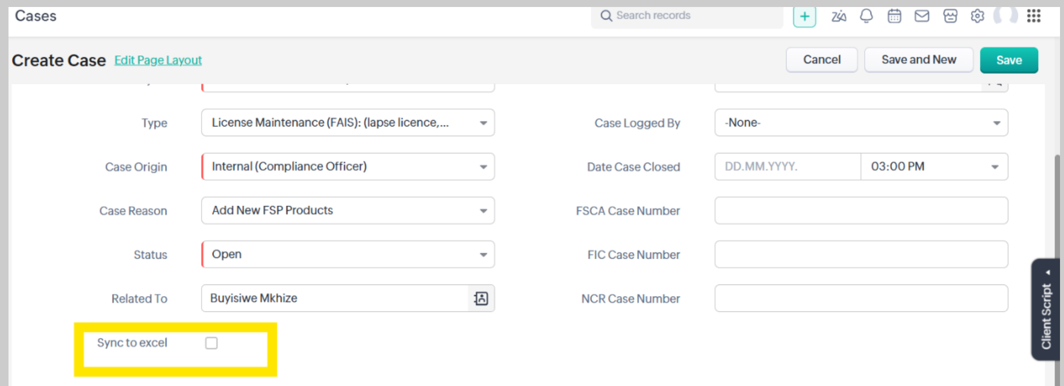
**SOP: Creating and Closing a case in Zoho CRM**

| | | | | | |
|---|---|---|---|---|---|
| | | | | |  |
| **8** | Select Case Origin (channel) | Employee creating the case | Zoho CRM – Case Origin dropdown | During creation | 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.<br> |

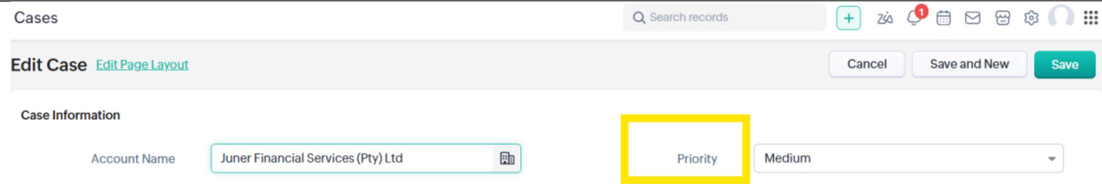
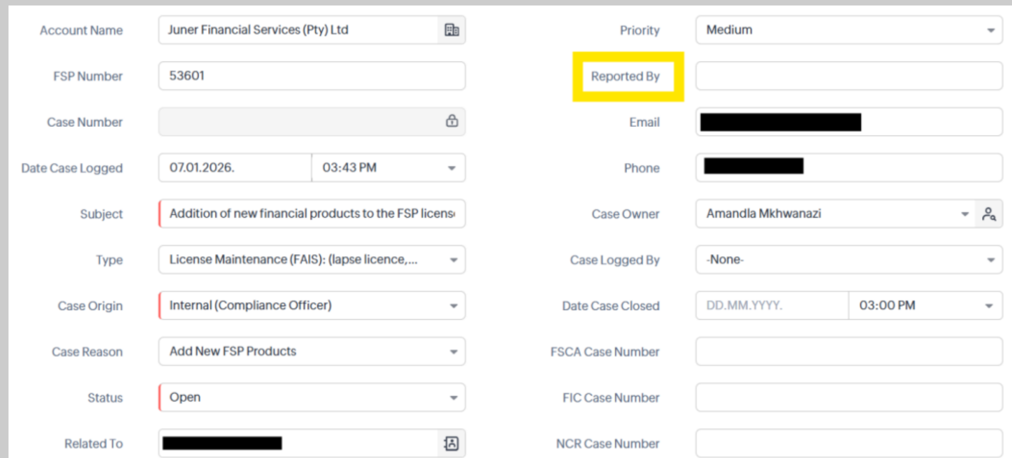
## SOP: Creating and Closing a case in Zoho CRM

| | | | | | |
|---|---|---|---|---|---|
| **9** | Select Case Reason (must align with Case Type) | Employee creating the case | Zoho CRM – Case Reason dropdown | During creation | 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).<br> |
| **10** | Confirm / update Status correctly | Case owner (person responsible) | Zoho CRM – Status field | During case lifecycle | 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.<br> |

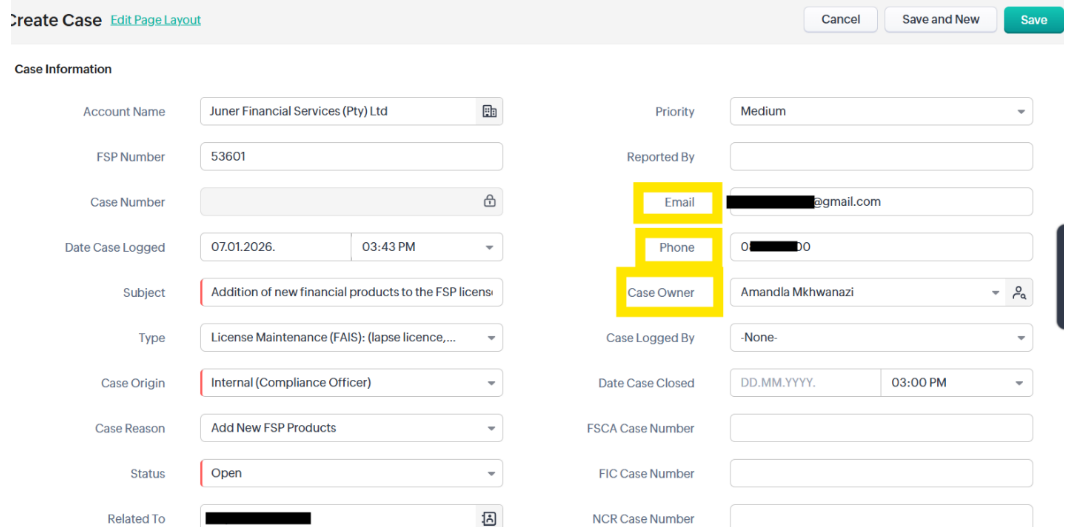
# SOP: Creating and Closing a case in Zoho CRM

| | | | | | |
|---|---|---|---|---|---|
| **11** | Complete "Related To" (mandatory contact link) | Employee creating the case | Zoho CRM – Related To lookup | During creation | **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.<br><br> |
| **12** | Tick "Sync to Excel" (Teamflect tracking) | Employee creating the case | Zoho CRM – Sync to Excel checkbox | During creation (before Save) | 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.<br><br> |
| **13** | Select Case Priority (High / Medium / Low) | Employee creating the case | Zoho CRM – Priority dropdown | During creation | 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.) |

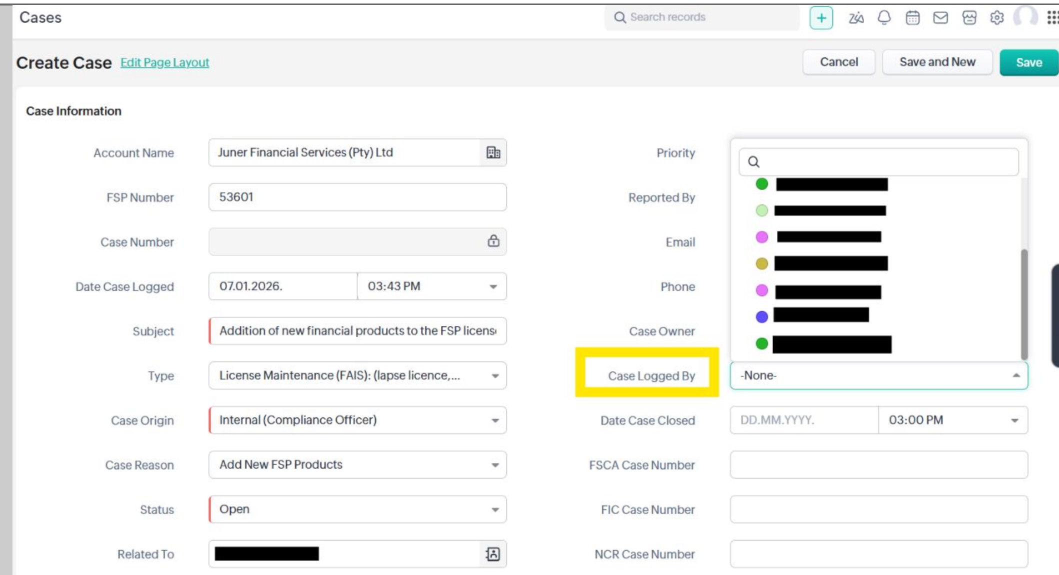
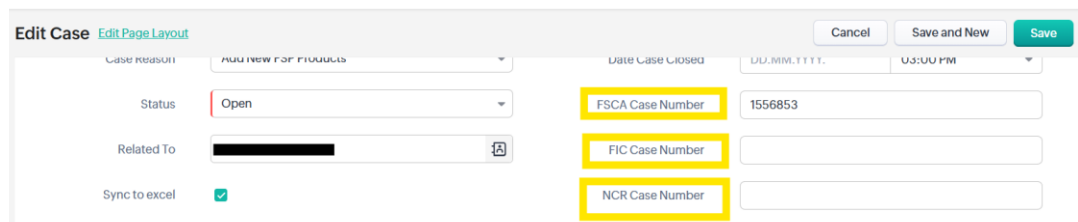
# SOP: Creating and Closing a case in Zoho CRM

| | | | | | |
|---|---|---|---|---|---|
| | | | | |  |
| **14** | Complete "Reported By" | Employee creating the case | Zoho CRM – Reported By field | During creation | "Reported By" = who reported/requested the case (usually the same person selected in **Related To**). Copy the name and ensure correct spelling.<br> |
| **15** | Confirm Email + Phone auto-populate and Case Owner defaults | System (auto) + employee verifies | Zoho CRM – Case fields | During creation | 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). |

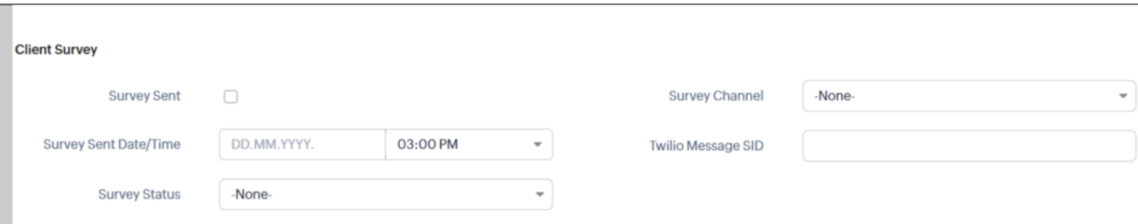
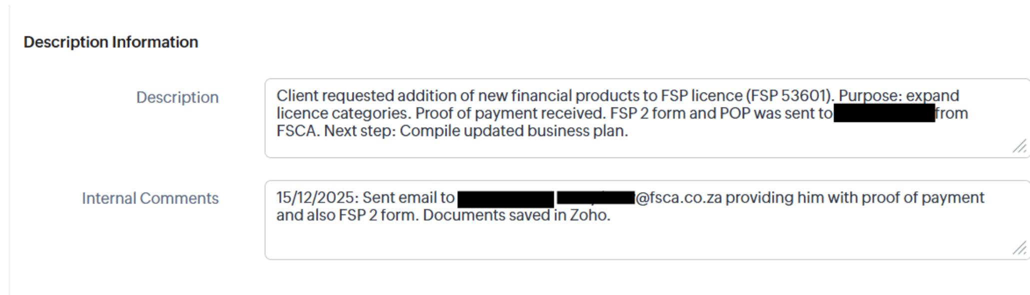
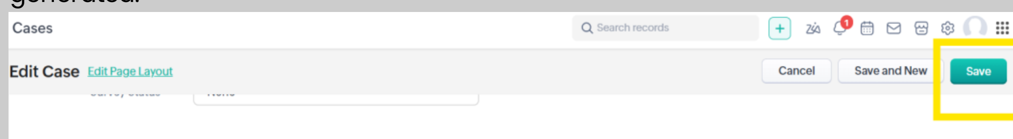
# SOP: Creating and Closing a case in Zoho CRM

| | | | | | |
|---|---|---|---|---|---|
| | | | | |  |
| **16** | Complete “Case Logged By” (must be your own name) | Employee creating the case | Zoho CRM – Case Logged By dropdown | During creation | Select **your own name**. You may **not** log a case under someone else’s name. This ensures accountability and Teamflect tracking is correct. |

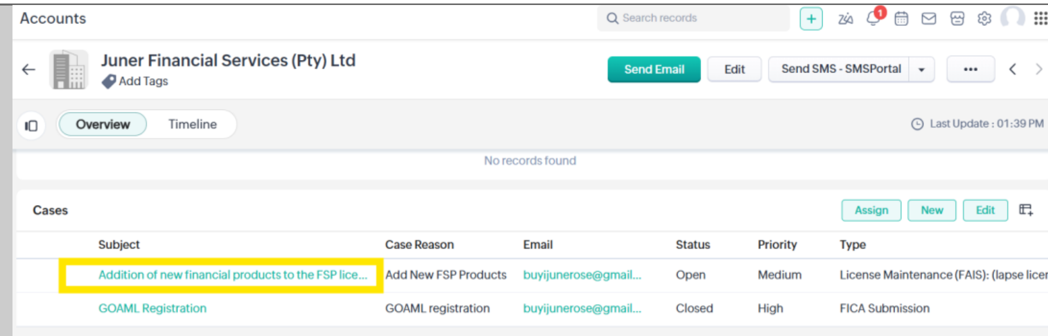
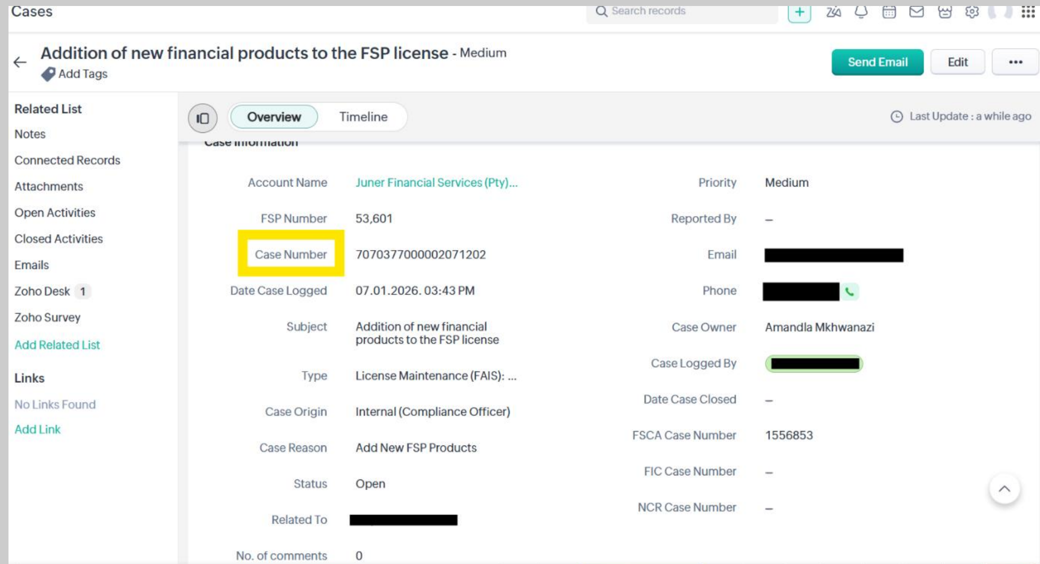
# SOP: Creating and Closing a case in Zoho CRM

| | | | | | |
|---|---|---|---|---|---|
| | | | | |  |
| **17** | Capture regulator reference number (FSCA / FIC / NCR) when applicable | Case owner | Zoho CRM – Regulator reference fields | As soon as issued (same day) | 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.<br> |
| **18** | Warning: Client Survey section – DO NOT COMPLETE | All staff | Zoho CRM – Client Survey section | Always | **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. |

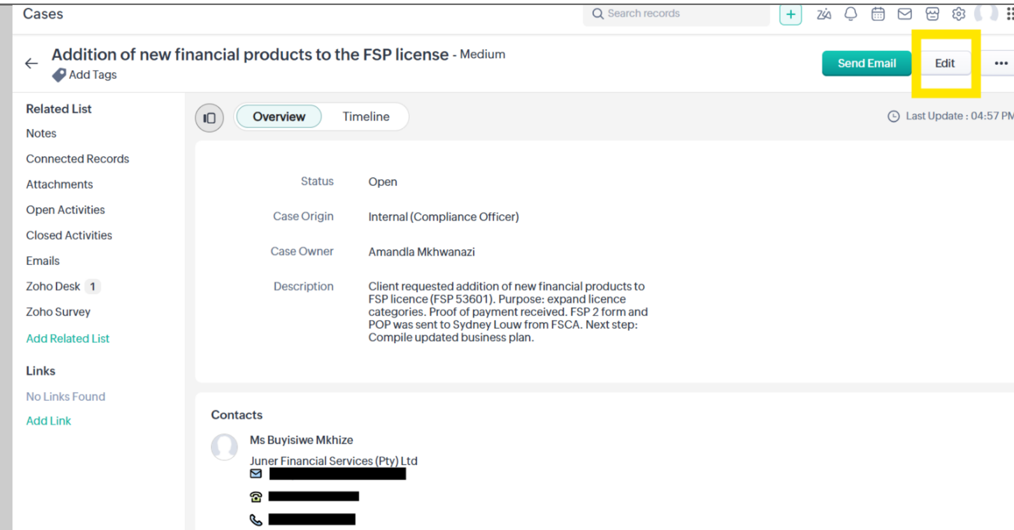
# SOP: Creating and Closing a case in Zoho CRM

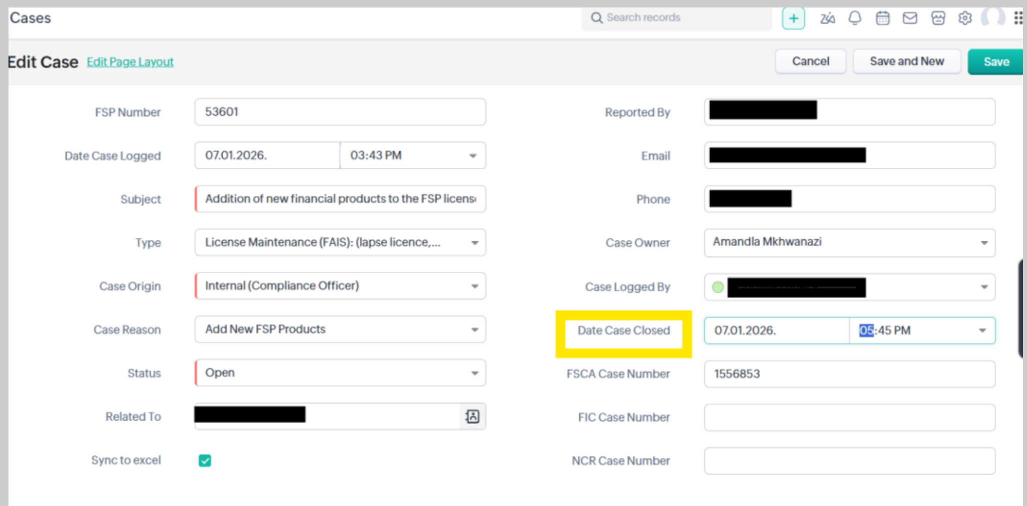
| | | | | | |
|---|---|---|---|---|---|
| | | | | |  |
| **19** | Complete Description + Internal Comments properly | Case owner | Zoho CRM – Description Information section | During creation and throughout case | **Description:** what client requested + expected outcome + key documents + deadlines + next step. **Internal Comments:** internal action log with dates/times (emails sent, submissions made, follow-ups, responses, evidence location). This supports audit and handover.  |
| **20** | Save the Case and confirm Case Number is generated | Employee creating the case | Zoho CRM – Save button | Immediately after Step 19 | Click **Save**. Confirm the case appears in the list. Open the case and confirm **Case Number** was generated.  |

# SOP: Creating and Closing a case in Zoho CRM

| | | | | | |
|---|---|---|---|---|---|
| | | | | |  |
| **Closing a case in Zoho** | | | | | |
| **21** | Close the Case correctly (Edit → Date Case Closed + time → Solution → | Case owner | Zoho CRM – Edit Case | Immediately when work is finalized | 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**. |

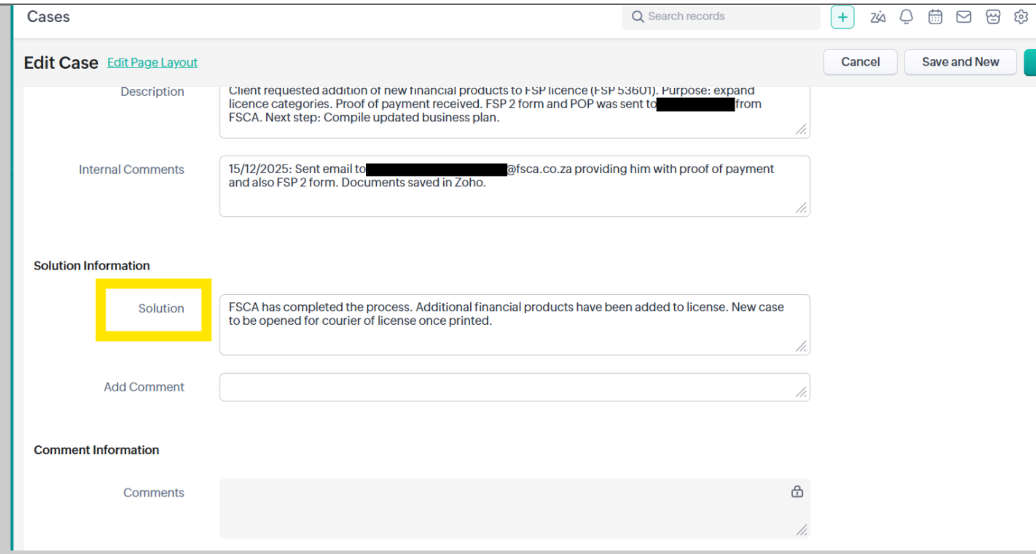
# SOP: Creating and Closing a case in Zoho CRM

<table>
<tr><td></td><td>Status Closed<br>→ Save)</td><td></td><td></td><td></td><td>




</td></tr>
</table>

# SOP: Creating and Closing a case in Zoho CRM

| | | | | | |
|---|---|---|---|---|---|
| | | | | |  |