

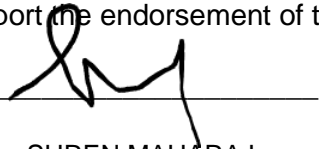


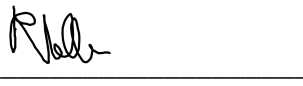
Companies and Intellectual
Property Commission

a member of **the dtic** group

CIPC FOURTH QUARTER PERFORMANCE REPORT 2020/21

Approval of the Report

Endorsement Support by the Audit Committee	
I hereby support the endorsement of the report	
Signature :	
Name :	<u>SUREN MAHARAJ</u>
Rank :	<u>AUDIT COMMITTEE CHAIRPERSON</u>
Date :	<u>30/04/2021</u>

Endorsement by the Accounting Authority	
I hereby endorse the report	
Signature:	
Name :	<u>Rory Voller</u>
Rank :	<u>Commissioner</u>
Date :	<u>30 April 2021</u>

* For the purpose of this Report:

Accounting Officer means the person responsible for the daily operations of the entity, eg CEO

Accounting Authority means a person representing a body that provides oversight on the entity, eg Board/Tribunal Chairperson and/or Minister's direct Reportee eg. Commissioner/ CEO

Acronyms

Abbreviation	Description
AFS	Annual Financial Statements
APP	Annual Performance Plan
BISG	Business Intelligent Services Group
CGSE	Corporate Governance Surveillance and Enforcement
CIPC	Companies and Intellectual Property Commission
COVID-19	Coronavirus (2019 Novel Coronavirus)
DPME	Department of Planning, Monitoring and Evaluation
EPO	European Patent Office
FAS	Financial Accountability Supplements
IAP	Inventor Assistance Programme
IFRS	International Financial Reporting Standards
IP	Intellectual Property
IPAS	Industrial Property Automation System
MoU	Memorandum of Understanding
NYDA	National Youth Development Agency
PEB	Patent Examination Board
QRS	Query Resolution System
SAPS	South African Police Service
SARS	South African Revenue Service
SEDA	Small Enterprise Development Agency
SDS	Service Delivery Standards
SMME	Small, Medium and Micro Enterprises
SSE	Substantive Search and Examination
the dtic	the Department of Trade, Industry and Competition
WIPO	World Intellectual Property Organization
XBRL	eXtensible Business Reporting Language

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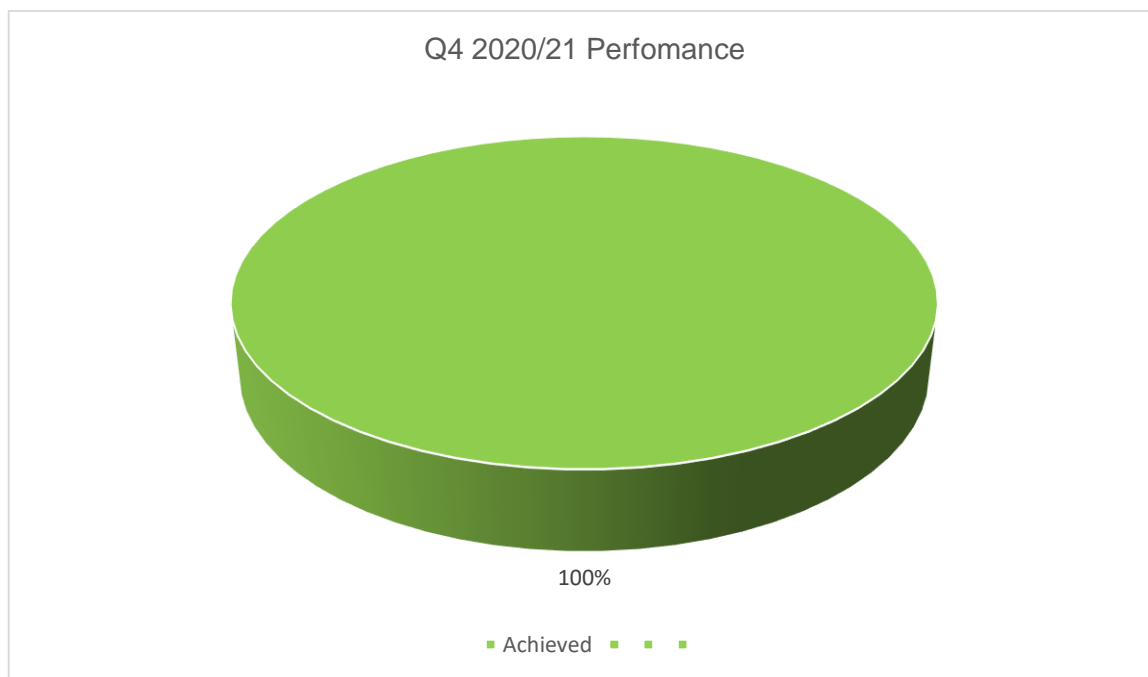
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1. Introduction and Purpose

The purpose of this report is to outline the Companies and Intellectual Property Commission's (CIPC's) 2020/21 fourth quarter performance against its plans and targets, outlined in its Annual Performance Plan (APP) for the 2020/21 reporting period.

100% of the APP targets were met during this quarter as shown below. See Section 5.3 for detailed performance information.

Figure 1: Q4 2020/21 Performance



In February this year (2021), **CIPC won the Centre for Public Service Innovation (CPSI) Innovation Award in the category Technology for Service Delivery Improvement**. Mr Tando Luyaba, Solutions Architect, Innovation and Collaboration won the prize for Trailblazer of the year. These two awards were as a result of the *Bizportal* that had revolutionised the virtual one-stop shop for businesses.

The CIPC won an innovation award from the Corporate Registers Forum (CRF) on its XBRL Programme and the award ceremony was held on 31 March 2021. The CIPC was congratulated on the success of XBRL.

2. Situational/Environmental Analysis

2.1 Service Delivery Environment

This section provides a balanced (opportunities and threats) overview of the context within which the CIPC operated its impact on the CIPC, and how it was dealt with.

2.1.1 IP applications, enterprise registration, amendments and disclosures

Table 1: IP Applications, Enterprise Registration, and Amendment Services shows the number of applications, registrations, and amendments processed, and the average turnaround time it took to process each of these services.

Table 1: IP Applications, Enterprise Registration and Amendment Services

CIPC Services	Number/Average Turnaround Time (ATAT)	Quarter 1	Quarter 2	Quarter 3	Quarter 4
Patents applications	Number	2 075	2070	2 046	2254
	ATAT	4 days	2 days	2 days	2 days
Designs applications	Number	510	391	402	350
	ATAT	2 days	3 days	2 days	2 days
Copyright in film	Number	No report	4	14	7
	ATAT	No report	25 days	3 days	1 day
Trade marks applications	Number	8 234	10 916	10 314	9 734
	ATAT	3 days	3 days	3 days	2 days
Name reservations	Number	79 482	168 212	101 622	155 882
	ATAT	2 days	2 days	1 day	1 day
Companies Registrations	Number	106 332	158 746	112 895	132 487
	ATAT	2 days	2 days	1 day	1 day
Domain Name Registrations	Number	2 436	3 423	514	Functionality temporarily not available.
	ATAT	N/A	N/A	N/A	N/A
Co-operatives Registrations	Number	643 Manual	1 575 Manual	2 286 Manual	1 372
	ATAT	2 days	3 days	2 days	2 days
Director Amendments	Number	719 Manual	1 264 Manual	1 125 Manual	1129 Manual
		28 059 Electronic	50 226 Electronic	37 391 Electronic	47 502 Electronic
		ATAT	3 days Manual 1 day Electronic	4 days Manual 1 day Electronic	3 days Manual 2 days Electronic

CIPC Services	Number/Average Turnaround Time (ATAT)	Quarter 1	Quarter 2	Quarter 3	Quarter 4
Member Amendments	Number	1384 Manual 2 910 Electronic	3 087 Manual 5 619 Electronic	1 445 Manual 4 510 Electronic	1437 Manual 4 881 Electronic
	ATAT	3 days Manual 1 day Electronic	2 days Manual 1 day Electronic	2 days Manual 1 day Electronic	3 days Manual 1 day Electronic
Auditor Changes	Number	1 061 Manual 10 845 Electronic	1 775 Manual 11 158 Electronic	1 646 Manual 8 841 Electronic	1479 Manual 9 797 Electronic
	ATAT	2 days Manual 1 day Electronic	2 days Manual 1 day Electronic	2 days Manual 1 day Electronic	3 days Manual 1 day Electronic
Company Name Changes (manual filing discontinued October 2019)	Number	16 999	21 763	15039	18 306
	ATAT	1 day	1 day	1 day	1 day
Company Financial Year End Changes (manual filing discontinued October 2019)	Number	1 307	1 492	1360	1 685
	ATAT	1 day	1 day	1 day	1 day
BBBEE Certificates	Number	65 885	88 603	14 277	80 442
	ATAT	N/A	N/A	N/A	N/A

Patents and Designs Applications

The Patents and Designs Division satisfactorily maintained and complied with the external service delivery standards set for processing both Patents and Designs applications. We received 2 254 patents applications and 350 designs application during this quarter. We

received a higher number of patent applications as compared to the previous quarter and a lower number for designs applications in comparison to the last quarter.

The impact of the COVID-19 pandemic has significantly affected the number of patents applications filed during this period as compared to the previous financial year and a slightly higher number of designs applications were received.

Challenges encountered remains the current manual input patent processing system. The Division is in the process of deploying a fully automated Intellectual Property (IP) Administration System with the assistance of the World Intellectual Property Organization (WIPO). It is believed that this end to end automated system will make the patent system seamless and encourage improved applications.

Another challenge relates to the implementation of substantive search examination (SSE), of which a Patent Search Tool is required. This is in the process of being acquired. Request for information (RFI) for this tool closed on 18 February 2021.

Copyright in films

The Copyright Unit received seven (7) applications for film registration and adhered to turn around time. The registration of films remains optional as any copyright work enjoys automatic protection, however the registration only provide the prima facie existence of the protection.

The film applications are mostly filed online and this has thus far eased processing of such applications.

During this reporting period, the Copyright Unit was able to forge partnership with the Gauteng Film Commission and the Durban Film Office. This relationship is important to expose these institutions and their stakeholders about the importance of statutory protection.

In all IP Outreach sessions creative sector is encouraged to file films electronically to make processing of such applications simpler and quicker.

Trade Marks

For the period under review the Trade Marks division has maintained its compliance with the external service delivery standards with regard to:

- Processing of new applications
- Processing of requests for special searches
- Processing of renewal applications
- Issuing of registration certificates

The Division has also consistently during this period exceeded the external service delivery standard in relation to the issuing of a 1st official actions at 6½ months on average, where the external SDS is 12 months.

The number of new applications for the period January – March 2021, was 9 734. The number of new trade mark applications for the same period in 2019/2020, i.e. January – March 2020, was 7 940.

Company Registration

Volume of applications compared with quarter 3 increased. Compared with quarter 4 of 2019-2020 the volume increased by 24 279 registrations (or 18.56%). These volumes exclude registrations via New E-Services.

Co-operatives Registration

Total of 1 372 co-operatives were registered manually of which 1 353 (99%) were registered within the external service delivery standards (SDS) of two (2) working days and 19 (1%) outside the SDS. 175 co-operatives were registered on new eservices (K2) online system.

2.1.2 Annual Financial Statements and Annual Returns Filings

Annual Financial Statements

The filings continue to be dominated mostly by companies whose annual financial statements (AFS) are audited, however, we are observing an increasing number filings where AFS were independently reviewed. During this reporting period, an iXBRL Colloquium was successfully held in February 2021 as part of increasing awareness on the impact that the use of iXBRL is assisting in CIPC playing its regulatory function. The CIPC won an innovation award from the Corporate Registers Forum (CRF) on its XBRL Programme and the award ceremony was held on 31 March 2021. The CIPC was congratulated on the success of XBRL.

Opportunities in this area relates to CIPC having AFS data and not exposing it to the data consumers as well as the related revenue that could come from such data sales. Threats around AFS would revolve around the inability to demonstrate value for money for the new regulatory requirement of filing in XBRL as entities and other stakeholders are not able to conduct comparability of AFS as advocated by the XBRL Business Case.

The Data Disclosure Team have been granted access rights to the XBRL reporting system to be able to deal with data sales requests in this regard. Sample data sets have been shared with three data consumption entities for evaluation.

During Q4, the CIPC received the volumes below and actioned as per the report in the table below.

Table 2: Annual Financial Statements

Statistics	Description
Quarter 3	
4051	Annual Financial statements received
193	Annual financial statements reviewed (With focus on IAS 1, IFRS 15 / IAS 18)
71	Pro-active investigations
Quarter 4	
3785	Annual Financial statements received
220	Annual financial statements reviewed (With focus on IAS 1, IFRS 15 / IAS 18)
50	Pro-active investigations

Annual Returns

As shown in **Table 3: Annual Returns In time filings**, the "in time filings" increased by 85 398 filings (or 11%) compared with 2019-2020 financial year. The overall compliance rate also increased albeit only by 1%.

Table 3: Annual Returns in time filings

Company type/Year	6	7	8	10	12	21	23	30	Total
2019-2020	1291	450088	13958	1077	36	8367	205230	36	680083
2020-2021	1296	535138	16669	1143	36	9596	201567	36	765481

Figure 2: AR Filing Comparison 2014-2021 shows AR filing trend over the years.

Figure 2: AR Filing Comparison 2014-2021

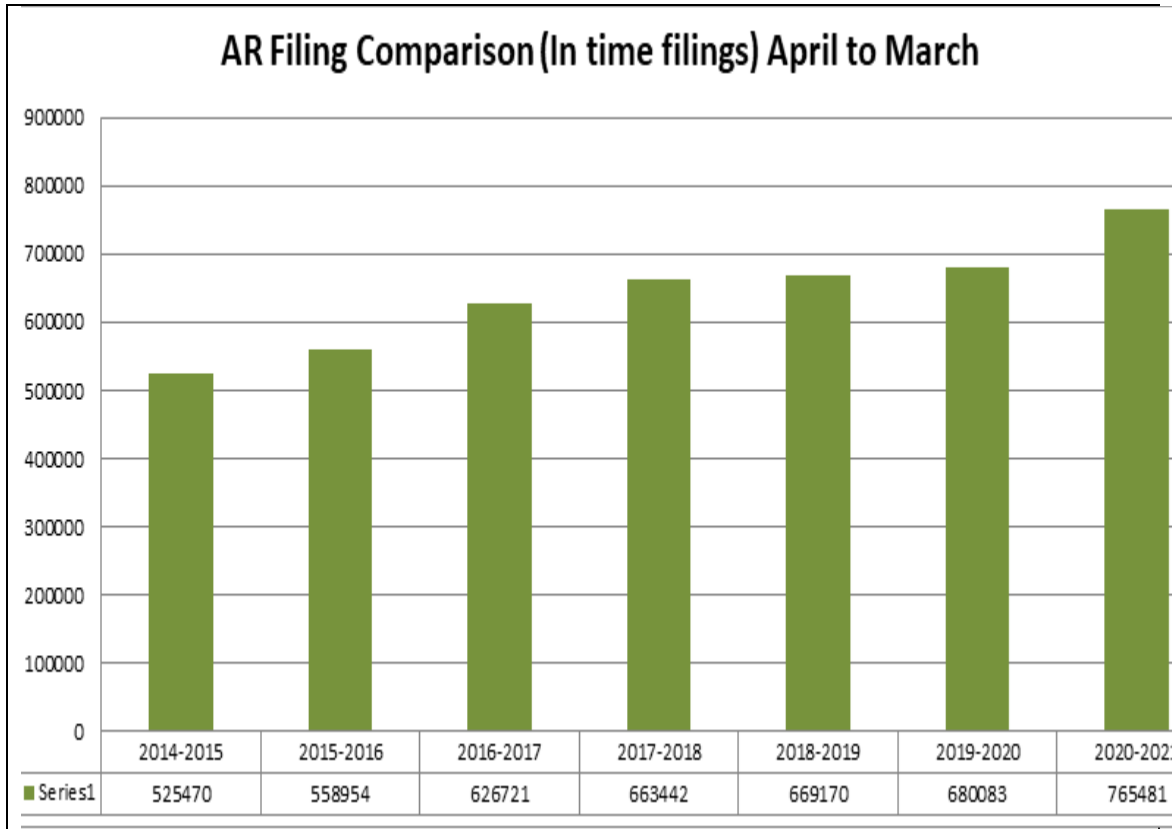


Table 4: Annual Returns Filing Compliance Rate compares compliance rate with the previous year's compliance rate.

Table 4: Annual Returns Filing Compliance Rate

Company type/Year End	06	07	08	10	12	21	23	30	Total
Compliance Rate @ March 2020	66%	41%	43%	70%	72%	68%	56%	28%	45%
Compliance Rate @ March 2021	76%	41%	39%	72%	69%	65%	64%	28%	46%

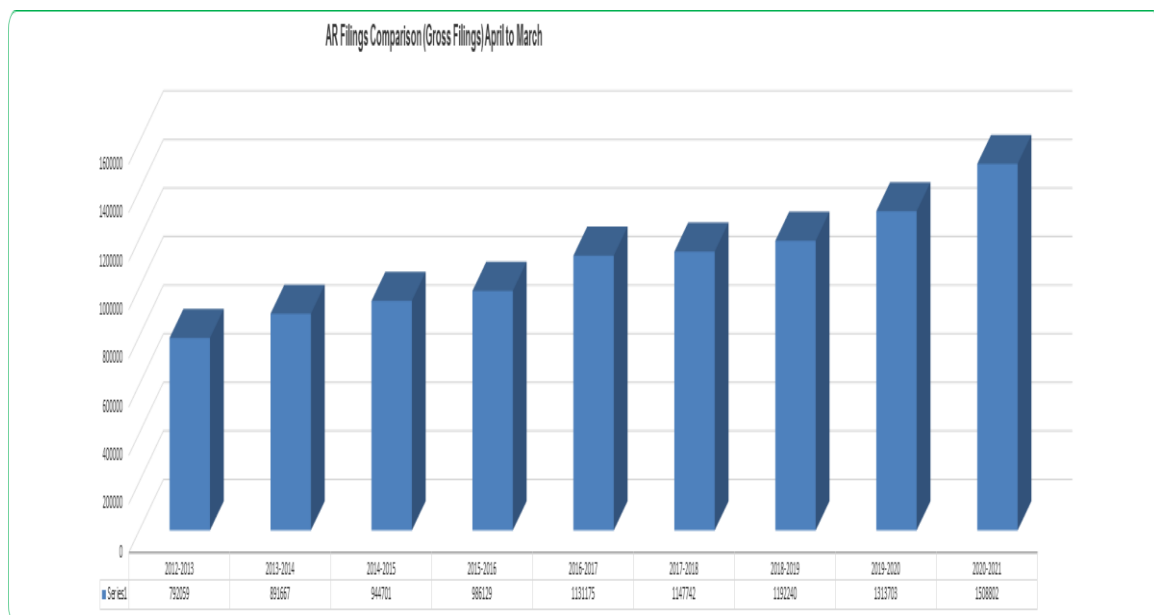
The gross filings also increased with 195 099 (or 13%) compared with 2019-2020 financial year as shown in **Table 5: Annual Returns Gross Filings**.

Table 5: Annual Returns Gross Filings

Month	2019-2020	2020-2021	Comparison (2020-2021 with 2019-2020)	% growth
Apr	320554	343346	22792	7%
May				
Jun				
Jul	355348	403549	48201	14%
Aug				
Sept				
Oct	319402	361303	41901	13%
Nov				
Dec				
Jan	318399	400604	82205	26%
Febr				
Mrch				
Total For Year	1313703	1508802	195099	13%

Figure 3: AR Gross Filings Comparisons 2015 – 2021 compares AR gross filings over the years.

Figure 3: AR Gross Filings Comparisons 2015 – 2021



The logical assumption, with the severe downturn of the economy due to Covid-19 and the National Lockdown, that less entities would file Annual Returns. It is encouraging to see the increase in compliance (albeit late compliance since Annual Returns are filed outside of the legal filing period) and a possible reason for such may be the understanding that such is a legal obligation and must be complied with regardless of the financial position of the entity.

The Annual Return functionality was released on the BizPortal channel on 8 March 2021. Annual Returns can be filed via Self Service Centres, E-Services website, Mobile App and BizPortal. This makes it easier for customers to file Annual Returns via a channel of their convenience.

One of the challenges is that a number of customers file the incorrect turnover value when filing Annual Returns which results in them logging a ticket for the correction (debit/credit) on the amount paid for Annual Returns. Currently, customers cannot amend the content of information filed on Annual Returns. With the current review or redevelopment of the Annual Return filing application this will be partly addressed by integrating Annual Return filing application with iXBRL to confirm turnover indicated on Annual Financial Statements before submitting the Annual Return.

With the stated redeveloped version of Annual Returns, further enhancements will include simultaneous filing of entity changes (e.g. address, financial year end), and more consistent compliance validations across the different channels used for Annual Return filings. The release is planned for end of Quarter 1 or Quarter 2 of 2021-2022.

Payment challenges continued to be experienced during Quarter 4.

2.1.3 Education and awareness

Corporate Education and Voluntary Compliance

The Corporate Education and Voluntary Compliance Unit hosted four (4) events:

- 12 February 2021 Co-operatives Directors,
- 17 March 2021 Protection of Personal Information Act & CIPC,
- 25 March 2021 Director Changes.

Further 16 virtual presentations were done in collaboration with other stakeholders:

- 4 February 2021 National Youth Development Agency (NYDA) Business Matters,
- 9-12 February 2021 and 18-19 February (5 webinars) Presidency Women Business Empowerment in Limpopo,
- 11 February 2021 NYDA (CIPC Products & Services),
- 18 February 2021 NYDA Building a Brand & Marketing Plan,
- 2-4 March and 16-19 March (7 webinars) Presidency Women Business Empowerment in Eastern Cape,
- 25 March 2021 Siyakha Business Compliance

IP Education

The IP Education and Awareness Unit hosted five (5) sessions:

- 4 February 2021, North West University – Virtual IP Campaign for Universities
- 17 February 2021, Durban Film Office and KZN Film Commission - Virtual Copyright Campaign for Creators
- 3 March 2021, University of Venda - Virtual IP Campaign for Universities
- 18 March 2021, Rhodes University – Virtual IP Campaign for Universities
- 31 March 2021, Durban Film Office – Virtual Copyright Campaign for Creators

2.1.4 Innovation Policy and Outreach

The SMME sector experienced further challenges since the start of the lockdown. However, the IP SMME project continued to deliver on its targets in ensuring the services to SMMEs remain unhindered. Capacity development programme continued with a dedicated information session held to a selected group of trainers following the Train the Trainer model. This select group will, after accreditation by the CIPC and WIPO, serve as the trainers at district level to inform, education and raise IP awareness to SMMEs. The select trainer participant group will commence with the formal programme by first completing the WIPO DL101 course.

The Swiss-SA IP project which commenced in Q4 provides for a good opportunity to benefit from the agreement that SA has concluded with the Swiss government focused on IP. In Q4, the project team commenced engagements by clarifying and understanding the various projects that are currently in place in CIPC.

2.1.5 Compliance and enforcement

Corporate Governance, Surveillance and Enforcement (CGSE)

The number of appointments to investigate during the reporting period increased, demonstrating commitment to establish facts around complaints and making legal pronouncements on how corporate conduct can be improved. Delegations to deal with matters with matters of non-investigation at operational level were requested and approved.

Engagements with legal entities continued to be handled virtually (using online platforms) which assists in dealing with matters under investigation expeditiously.

Increasing complaints by directors of being removed without their consent is a challenge, however, a report to this effect on what mitigation and controls can be implemented to prevent the conduct will be presented for consideration.

Table 6: Statistics for Cases is summary of the statistics of the cases during the quarter.

Table 6: Statistics for cases

	Case intake (Received)	Escalated (Appointments)	Closed	Open
Q4	38	10	11	17

Corporate Disclosure and Compliance

The number of closed cases with regards to reportable irregularities from auditors and independent reviewers for the reporting period has increased, demonstrating commitment to expeditiously deal with matters relating to non-compliance with the Companies Act, 2008. A notice regarding disclosure of solvency and liquidity conducted by companies after dividends payouts, *inter alia* proved to take companies out of their comfort zones as a transparency requirement.

COVID-19 situation affected many companies' liquidity status and inability to finalize preparation of AFS and general legal compliance as prescribed in the Act, e.g. meetings, AGMs

Companies whose non-compliance arose from financial years before the Covid-19 pandemic, they would also want to refer to the pandemic economic situation as their reasons for non-compliance. Investigators issue compliances where it was warranted upon investigation.

Copyright and IP Enforcement

The Copyright and IP Enforcement Unit use three main platforms to build respect for IP. These include a continued focus on collaboration capacity, training, and targeted awareness. January 2021 started with an increase in the restriction of movement and goods.

The stricter curfew that was applicable under level three lockdown led to an increase in enforcement successes. Focused enforcement efforts resulted in seizures of high quantities of counterfeit and smuggled vaccines and pharmaceuticals. The focus on CBD areas in the Metro Cities resulted in exceptional quantities of counterfeit clothing footwear and bags being confiscated. These goods are stored in counterfeit goods depots and will be destroyed or recycled in an environmentally friendly way, when the courts finalise the criminal matters. There were also an increase in counterfeit vaccine that are being smuggled, these are illegal and in some cases had the registered trade marks on the packaging.

Officials of a joint task team and industry representatives raided a factory that manufactured spices. They seized tons of illicit spices and confiscated the machinery and tools used in the packaging process.

Creating awareness is crucial in the fight against counterfeit goods. Participating and presenting at various local and international events assisted to raise the level of awareness on the value and respect for IPR. One of these webinars highlighted the importance of government's crisis policy and its impact on illicit and counterfeit trade in specific alcohol products. The lessons South Africa learned in the pandemic were shared.

The CIPC hosted a hybrid session (physical and virtual) with 25 officials representing SARS, SAPS, and Interpol. Participants positively commented on the value of the training. 28 relevant Depot Managers and other IP stakeholders attended a virtual workshop. Their responsibilities as prescribed by the Counterfeit Goods Act. No 37 of 1997 were discussed. Expectations from both sides were also voiced and clear guidelines will be developed. Dealing with confiscated goods due for destruction was also part of the agenda.

Collaboration on the global platform through the Africa Pharma Group and the Interpol Task teams continued. There is a clear shift in the focus for law enforcement officials from across the African Continent. The priorities are moving away from confiscating commodities (goods) to detecting and following persons involved in IP crime. We envisage that the kingpins involved in the organized crime rings that drive counterfeit goods will be targeted, though this strategy.

Through targeted sessions to the Call Centre staff and those working at the Self-Service Centres (SCC), the Unit supported the initiative to raise the level of interest and understanding of IPR within the CIPC. During the first two sessions the internal stakeholders were brought up to speed with the terms IP domains in general and Patents in particular.

2.1.6 Customer contact: Call Centre, QRS, Social Media and Self Service Centres

Table 7: Customer Contact: Call centre, QRS, and Social Media shows overall performance of the customer contact platforms.

Table 7: Customer Contact: Call Centre, QRS and Social Media

Platform	Number	Quarter 1	Quarter 2	Quarter 3	Quarter 4
Call Centre	Calls received	100 779	Not determinable	Not determinable	Not determinable
	Calls answered (%)	49 381 (49%)	34 301	23 066	28 176
Query Resolution System	Queries received	22 518	37 433	29 264	33 414
	Queries resolved for the quarter (%)	21 674 (96%)	37 148 (99.2%)	28 323 (96.8%)	32 159 (96.2%)
	Queries resolved during the quarter	23 088	37 013	28 453	35 739
	Queries resolved outside the turnaround time	3 437 (14.9%)	2 486 (6.7%)	2 130 (7.5%)	3 026 (8.4%)
Facebook	Queries received	27 409	27 220	21519	5764

Platform	Number	Quarter 1	Quarter 2	Quarter 3	Quarter 4
	Queries resolved (%)	19 392 (70%)	23 405 (86%)	20034 (93%)	5500 (95%)
Twitter	Queries received	24 729	8 552	6252	2054
	Queries resolved (%)	5 825 (23%)	3 976 (46%)	2661 (42%)	1065 (51%)

Call Centre

The number of calls answered by call centre agents increased significantly in comparison to Quarter 3. One of the reasons may be that the SSCs were closed to the public during January 2021, due to a higher lockdown level and the increase of Covid-19 cases.

Query Resolution System

The number of queries received and resolved increased in comparison to the previous quarter. The number of queries resolved outside the turnaround time, increased with 0.9% from the previous quarter. This may be contributed to the higher number of tickets received during this quarter.

Social Media

The overall performance for social media activities is above average. The response rate on Twitter is significantly lower than Facebook, owing to the fact that some incoming twitter messages are mentions, which may not necessarily need a response. The challenge experienced in January 2021 was that the social media management tool had expired. The subscription has since been renewed.

Call Centre Customer Satisfaction Survey

The customer satisfaction survey are sent to all customers who engaged with the call centre on a daily basis. During Q4, the client satisfaction on average was 7.4 out of 10 (74%), which is a 2% decline in customer satisfaction in comparison to Quarter 3.

Self Service Centres and Terminals

Due to the Covid-19 pandemic and lockdown level regulations, the SSCs only operated for one week during the month of January 2021 (8-14 January).

Table 8: Self Service Centers' (Pretoria, Johannesburg and Cape Town) Traffic

	Quarter 3				Quarter 4			
	Pretoria	Johannesburg	Cape Town	TOTAL	Pretoria	Johannesburg	Cape Town	TOTAL
Company Registrations	1141	2095	1573	4809	1177	1660	1993	4830

	Quarter 3				Quarter 4			
	Pretoria	Johannesburg	Cape Town	TOTAL	Pretoria	Johannesburg	Cape Town	TOTAL
Create Customer Codes	1141	2593	1377	5111	1935	2980	1691	6606
Re-set Password	1409	239	1737	3385	2112	507	2137	4756
Name Reservations	126	855	1565	2546	129	481	1936	2546
Annual Returns	1417	3268	1863	6548	2675	2797	1870	7342
IP	228	433	25	686	190	339	89	618
Director Amendments	518	537	141	1196	397	413	184	994
Member Amendments	0	83	14	97	0	27	17	44
Auditor & ACC Officers	0	0	0	0	0	0	0	0
CO & CC address	511	104	0	615	444	60	41	545
Cert and Disc	1316	1062	698	3076	1310	427	270	2007
Ent Enquiry	753	710	7	1470	843	813	974	2630
Name Change	209	208	39	456	136	113	121	370
Name Transfer	0	2	0	2	0	5	0	5
Cust Transactions	257	147	23	427	30	0	14	44
General/Other	338	1052	1214	2604	284	1018	1851	3153
Walk-in's	9362	13221	13135	35718	6714	11594	13296	31604

2.2 Organizational Environment

The CIPC continued to thrive under the Covid-19 pandemic through its telecommuting strategy, with the use of virtual platforms.

2.2.1 Governance

Implementation of Governance Framework

The Governance Framework is being implemented as approved. There is a need to review the Framework to ensure alignment with legislation and best practice taking into account the CIPC environment and setup. Research on the matter is in progress.

A corporate calendar has been developed and all quarterly meetings have been scheduled. Meetings continue to be held virtually in response to the Covid pandemic. A review of the Framework to align it to the current CIPC operational and structural setup is in progress.

The Delegation of Authority Framework is under review. The review process has been significantly delayed owing to unforeseen operational issues and aggravated by capacity challenges within the Division.

4.2 Status of Policies as at 31 March 2021

DIVISION	NO OF POLICIES	DUE FOR REVIEW	UP TO DATE	NEW POLICIES	REQUIRING CONSULTATION WITH OL
HR	16	4	11	1	15 (1 currently in cons)
BISG	10	1	8	1	0
Finance	9	4	5	0	0
Facilities and security	5	2	3	0	2
Client engagement	1	1	0	0	0
GRC	9	3	4	2	2 (2 currently in cons)
Strategy	2	2	0	0	0
TOTAL	52	17	31	4	19

Three policies, viz, the Ethics Policy, Declaration of Interest Policy and Voluntary Severance Policy have been tabled for consideration by organised labour.

Seventeen (17) policies are due for review in the reporting period. The date of approval for ten (10) policies could not be established hence reflected as due.

A standard whose purpose is to provide a standardized approach towards the policy development, review and approval process from a governance perspective was approved by EXCO in February 2021. In accordance with this document, the following shall apply:

- All policies shall be reviewed every three years or whenever changes are made to legislation, processes and procedures.
- Where the policy is part of the terms and conditions of the employee's service contract and such changes in the policy influence the remuneration and/or benefits of an employee, the employer shall embark on a consultation process with organised labour prior to approval.
- The period of consultation with labour organisations shall be three months from the date the policy would have been tabled before the Bargaining Forum. Should the policy not be consulted on within the time limit for consultation, it will then, through the internal structures, be recommended for approval.

2.2.2 Declaration of Interest

In line with the new policy and considering the risk exposure as well information requirements by stakeholders, declarations of interest by all employees of the CIPC has become a requirement which will be implemented once the consultation process with Organised Labour which has been initiated, is concluded.

2.2.3 Legislative Compliance

No comprehensive legislative compliance monitoring and assessment was conducted for the quarter. A report for the new quarter will be provided in the next reporting period.

2.3 New Policy and Legislative Changes

The Companies Act, 2008 is undergoing amendment in order to provide legal backing for the Introduction of a Beneficial Ownership Register. The Strategic Plan is taking into account this requirement and the organization is readying itself to be able to implement and administer the register.

3. Strategic Outcome Oriented Goals

For the five (5) year strategic period 2019/2020 – 2023/2024, the CIPC focuses on two strategic outcome oriented goals and five strategic objectives as shown below:

Table 9: Strategic Outcome Oriented Goal 1

Strategic Outcome Oriented Goal 1	Reduced administrative compliance burden for companies and IP owners.
Goal Statement	To create ease, simplicity and flexibility in forming and maintaining companies, as well as protecting intellectual property to reduce the administrative compliance burden for companies and IP owners.
Five Year Target	Key capabilities for 24/7 access to all key CIPC products and services developed.
Strategic Objectives	1.1 24/7 access to all CIPC products and services. 1.2 Timely delivery of all CIPC products and services. 1.3 An intelligent, innovative, high performance organisational environment.
Progress on Five Year Target	<p>Multiple channels have been developed (See Table 5). See Table 6 for the uptake of these channels.</p> <p>The CIPC continues to implement the modernisation strategy through K2. 29% of the CIPC processes have an option to be done electronically (See Section 10).</p> <p>IP application are processed at an average of two (2) days. Company and Co-operative registrations are processes in less than two days.</p> <p>The latest Stakeholder and Customer Survey showed a 80% approval rating.</p> <p>The CIPC continues to modernise internally by automating and digitising internal process. ESS is a digital system for management of leave, salaries, performance management, and Sustenance, Travel and other Payroll claims.</p> <p>Virtual tools such as Zoom and Microsoft Teams are used for meetings as well as for outreach to customers and stakeholders</p>
Progress of Strategic Objectives	See Section 4.1.1 to 4.1.2

Table 10: Strategic Outcome Oriented Goal 2

Strategic Outcome Oriented Goal 2	A reputable Business Regulation and IP Protection environment in South Africa.
Goal statement	To create ease, simplicity and flexibility in forming and maintaining companies, as well as protecting intellectual property to reduce the administrative compliance burden for companies and IP owners.
Five Year Target	Key compliance monitoring and enforcement capabilities developed.
Strategic Objectives	2.1 Increased knowledge and awareness on Company and IP Laws. 2.2 Improved compliance with the Company and IP Laws.

Strategic Outcome Oriented Goal 2	A reputable Business Regulation and IP Protection environment in South Africa.
Progress on Five Year Target	<p>Outreach Programmes for SMMEs, Institutes of Higher Learning, and Schools have been successful.</p> <p>The AFS and Annual Returns Filing process has been automated. An important milestone has been the development of XBRL for filing of AFS.</p>
Progress on Strategic Objectives	See 4.1.3 to 4.1.5

Eight (10) performance indicators and targets are tracked to assess progress towards the achievement of these strategic goals and objectives. See 5.2 for detailed performance information.

4. Executive Summary

4.1 Key Highlights

4.1.1 Strategic Objective 1.1 24/7 access to all the CIPC products and services.

This section highlights progress in respect to **Strategic Objective 1.1 24/7 access to all the CIPC products and services**. The CIPC strategy to realise this objective, is the development and expansion of multiple channels to increase access to the CIPC products and services and ease of transacting.

The CIPC channels in place are e-services website, self-service centres (SSCs) and partner sites (self-service terminals (SSTs)), *BizPortal* which includes the Banks (FNB, Nedbank, Standard Bank, ABSA, and SASFIN), the CIPC Mobile App, the Call Center, the query resolution system (QRS), USSD, as well as social media (Facebook, Twitter, You Tube and WhatsApp).

Three additional functions were added to the *Bizportal* channel, i.e. Name Changes, Address Changes and Annual Returns.

Table 10: CIPC Channels show services offered in each channel.

Table 11: CIPC Channels and services offered

Services/Channels	E-service Website	SSCs and Partner Sites (SSTs)	Banks (FNB, Nedbank, ABSA)	BIZPORTAL	Call Centre	QRS	Social Media (Facebook Twitter)
Integrated services (SARS, UIF, Compensation Fund, Banks Acc, BEE Cert)	No	Yes – BBBE certificate	Yes – company registration and business bank account	Yes	No	No	No
Patents applications	Yes	No	No	No	No	No	No
Designs applications	Yes	No	No	No	No	No	No
Copyright in film	Yes	No	No	No	No	No	No
Trade marks applications	Yes	No	No	No	No	No	No
Name reservations	Yes	Yes	Yes	Yes	No	No	No
Companies registration	Yes	Yes	Private company registration only	Yes	No	No	No
Co-operatives Registrations	No	No	No	No	No	No	No
Domain Name Registrations	Yes	No	No	Yes	No	No	No
Director Amendments	Yes	Yes	No	No	No	No	No
Member Amendments	Yes	Yes	No	No	No	No	No
Auditor Changes	Yes	Yes	No	No	No	No	No

Services/Channels	E-service Website	SSCs and Partner Sites (SSTs)	Banks (FNB, Nedbank, ABSA)	BIZPORTAL	Call Centre	QRS	Social Media (Facebook Twitter)
Name changes	Yes	Yes	No	Yes	No	No	No
Address changes	Yes	Yes	No	Yes	No	No	No
Financial Year End Changes	Yes	Yes	No	No	No	No	No
Enterprise enquiry	Yes	Yes	No	No	Yes	Yes	Yes
Disclosures	Yes	Yes	No	No	No	No	No
BBBEE Certificates	Yes	Yes	Yes – Only Nedbank	Yes	No	No	No
Disclosures- MOI Documents	Yes	Yes	No	No	No	No	No
Disclosures - Approved names	Yes	Yes	No	No	No	No	No
Queries	No	No	No	No	Yes	Yes	Yes
Information access	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Annual Returns filing	Yes	Yes	No	Yes	No	No	No
AFS filing	Yes – XBRL portal	No	No	No	No	No	No

Table 12: Uptake of channels for Company Registration in Q4 show the number of transactions processed through each respective channel for company registration. See Section 2.1.6 for uptake of the call centre, QRS, Social Media, and SSTs.

Table 12: Uptake of Channels for Company Registration

Channel	Volume	%
ABSA	0	0.00%
First National Bank	3828	2.89%
Nedbank	781	0.59%
Standard Bank	0	0.00%
Intermediary	0	0.00%
SST CIPC	3104	2.34%
E-Services	91477	69.05%
Manual	1103	0.83%
BizPortal	30812	23.26%
Conversion	649	0.49%
CIPC Mobile	733	0.55%
Total	132487	100.00%

4.1.2 Strategic Objective 1.2 Timely delivery of all CIPC products and services

This section highlights progress in respect to the **Strategic Objective 1.2 Timely delivery of all CIPC products and services**. The CIPC's strategy is to modernize its operations and services. This entails automation of all its processes in order to minimize the time transacting with the CIPC.

Migrate eServices from ERMS/ Computron to K2

Migration of services from legacy systems to the newly adopted modernisation platform, K2, has started. Priority is given to services currently attracting high usage from the client community. Although the migration exercise seeks to, at a bare minimum, reproduce the current features that are implemented on legacy platforms, opportunities are seized where applicable to improve these features or business rules during modernisation. Therefore, some of the delays in implementation of the ICT came about because of time spent in innovating old ICT service features. Also, delays in delivery partly stemmed from team constitution, that is, certain functional areas of the project team e.g., business analysis, was not as capacitated as much as the software development team, therefore creating bottle necks in both requirements gathering and service quality assurance.

Revision of mobile application services

Mobile application services were also considered for modernisation, because of the integration of the currently published CIPC mobile platform to legacies. Development of the mobile service platform followed the priority of the web modernisation above. There were additional or unplanned mobile application services that were requested by two units of business, Communications and IP. The same mobile development team was involved with the delivery of the planned mobile services as well as the emergent mobile services.

ChatBot implementation

The CIPC wished to pilot the services of a ChatBot right at the beginning of 2020/21, and its plan was to go out to tender to source the services of a suitable service provider for this service. Application and Architecture went out on RFQ in June 2020/21, and in the process inviting Oracle and Microsoft partners for the RFQ. Only Oracle responded to that RFQ, however, the price quoted was too high when contrasted to the workload that was envisaged for this development. To be elaborate, the lowest quotation to this RFQ was R9 million, and a consensus was reached by ICT leadership not to proceed, because of the high service charge. Instead, a deviation (against the mobile app contract) to cater for ChatBot development was approved by the CIO followed by approval from the Commissioner to set funds for this implementation. Development of the ChatBot is underway and about to reach completion pending incorporation of additional inputs from the CIPC business community.

Emerging development

As highlighted earlier, business needs evolve over time, especially with changing environmental variables in the globe, and the CIPC business is not an exception. The lockdown during COVID-19 made two services, booking and invoicing, relevant for ICT implementation within the 2020/21 financial year. The booking service sought to reduce congestion at CIPC SSC's by allowing CIPC clients to book visits to SSC's in advance, while the invoice service is automating submission and approval of invoices online. Emerging developments were also necessitated by secondary needs to modernise CIPC services. Just to mention one, while modernising, new tasks were identified which were

not taken into account during the creation of the ICT plan for 2019/20. For instance, the absence of a document management system, lead to the development of an interim document indexing solution.

IP

In the advent of modernizing Patent and Designs operations and services, the Division is in the process of deploying a fully automated IP Administration System (IPAS) with the assistance of the World Intellectual Property Organization. It is believed that this end to end automated system will make the patent system seamless and encourage improved applications.

4.1.3 Strategic Objective 1.3: An intelligent, innovative, high performance organisational environment

To realise the ***Strategic Objective 1.3: An intelligent, innovative, high performance organisational environment***, CIPC engages in corporate strategy development, strategic communications, internal audits, finance and supply chain management initiatives, and organizational design, recruitment, employee wellness, labour relations, training and development of staff through the CIPC Bursary Programme.

The CIPC is embedding the telecommuting model which enables remote working. It has proven to be highly successful with productivity being steady and service delivery standards met and exceeded across all operations. The Telecommuting Policy has been implemented.

The CIPC signed a partnership agreement with *GoogleSA* to support SMMEs which is particularly important in this time of the pandemic and the economic downturn during the period under review.

Three (3) recruitment appointments have been made in this period. The moratorium on recruitment has resulted in shortage of staff in some divisions. The automation also has impact on effective utilization of staff in affected business units.

Covid-19 pandemic has disrupted the organisations with the intermittent closure of the campus.

4.1.4 Strategic Objective 2.1 Increased knowledge and awareness on Company and IP Laws

Strategic Objective 2.1 Increased knowledge and awareness on Company and IP Laws, is the CIPC function outlined in the Companies Act, 2008 (Act No. 71 of 2008, as amended). CIPC conduct education and awareness sessions, including training and exhibitions. In some instances, the CIPC collaborate with other organisations or gets invited to events to present or exhibit on CIPC products and services.

See Section 2.1.3 for activities during this quarter.

4.1.5 Strategic Objective 2.2 Improved compliance with the Company and IP Laws

Concerning **Strategic Objective 2.2 Improved compliance with the Company and IP Laws**, CIPC contribute to legislative processes, engage with counterparts on business process improvement through automation, engage or collaborate with stakeholders to improve compliance. The CIPC also monitors compliance, conduct investigations and boardroom visits.

Drafting of the Patents and Designs legislations

The Patent Bill has received certification from the Office of the Chief State Law Advisor (OCSLA). Pre-certification of the proposed minor amendments to the Designs Act 195 of 1993 was also received. Following the ESIED Cluster presentation, permission will be sought from Cabinet to publish the Bills for public comment.

Implementation of the Industrial Property Automation System (IPAS)

IPAS training commenced in this quarter for IP-ICT Specialists. External stakeholder engagements on IPAS continued in the quarter and ongoing.

Quarterly stakeholder meeting

Quarterly stakeholder engagements took place with SAIPL and other IP law firms meeting in February 2021.

Inventors Assistance Program (IAP)

Implementation of the Inventor Assistance Programme continued in this quarter. The IAP review committee meeting was held on 17 March 2021. Six applications were received and reviewed by the committee. IAP administrators. Review by the patent examiners entails preliminary searches to ascertain novelty and inventiveness of the applications. Based on the findings, no applications were recommended to Patent Attorneys on WIPO's IAP database.

Reported irregularities

Table 13: Reportable Irregularities 2020/21

	Q2 2019/20	Q3 2019/20	Q4 2019/20	Q1 2020\21	Q2 2020/21	Q3 2020/21	Q4 2020/21
Opening Balance	242	296	313	409	374	334	361
Cases Received	81	41	147	67	33	54	34
Closed Cases	27	24	51	102	73	27	82
Closing Balance	296	313	409	374	334	361	313

Table 14: High Profile Companies under Investigation

High Impact Cases
Pembury Lifestyle Group Limited (Reportable Irregularity)
JD Properties (AFS Filings)
Ainsley Holdings Limited (AFS Filings)
Steinhoff (AFS Filings)
Communicare NPC (Companies Act Non-Compliance)

Table 15: Independent Review: Regulation 29

	Q1	Q2	Q3	Q4
<i>Opening Balance</i>	157	165	174	225
Allocated	54	78	93	47
Liability Exceeds Assets	8	14	8	36
Financial Assistance	25	34	25	62
VAT Tax Return Not Declared To SARS			2	4
Other	13	21	7	13
<i>Total Closed</i>	46	69	42	115
<i>Closing Balance</i>	165	174	225	159

Table 16: Cold Case Matters

	Q1	Q2	Q3	Q4
Administrative fine				
Opening balance	21	21	21	21
Order granted	3	3	3	3
Settlement order/offer opposed	3	3	3	3
Removed from the list	4	4	4	4
Currently in court/set down	1	1	1	1
Closing balance	4	4	4	4
	6	6	6	6

Table 17: Prospectus

COMPANY NAME	PROSPECTUS	FINAL PROSPECTUS	CURRENT STATUS
Quarter 1			
DESTINATA CAPITAL LIMITED	MAY	REGISTERED	REGISTERED
CHINA SEAS BASKET	MAY	REGISTERED	REGISTERED
BUSINESS VENTURE INVESTMENTS	MAY	PENDING	PENDING
BLACKBRICKEP 1	JUNE	REGISTERED	REGISTERED
ROCKEFELLER EP1	JUNE	REGISTERED	REGISTERED
FRITZGERALD EP1	JUNE	REGISTERED	REGISTERED
GREENREEF EP1	JUNE	REGISTERED	REGISTERED
OLIVE VCC	JUNE	REGISTERED	REGISTERED

Company Name	Prospectus	Final Prospectus	Current Status
Quarter 2			

Company Name	Prospectus	Final Prospectus	Current Status
Blackbrick EP1	July	Registered	Registered
Reockefeller EP1	July	Registered	Registered
Fritzgerald EP1	July	Registered	Registered
Greenreef EP1	July	Registered	Registered
Olive VCC	July	Registered	Registered
Illovo Stack Retail 1	August	Registered	Registered
Mdluli Safari Lodge	August	Registered	Registered
Blyde EP2	August	Registered	Registered
Vega VC1	August	Pending	Pending
Greenpark EP3	September	Pending	Pending
Advanced Investment Holdings	September	Pending	Pending

COMPANY NAME	PROSPECTUS	FINAL PROSPECTUS	CURRENT STATUS
Quarter 3			
GREENPARK EP 3	OCTOBER	REGISTERED	REGISTERED
ADVANCED INVESTMENT HOLDINGS	OCTOBER	REGISTERED	REGISTERED
DESTINATA CAPITAL LIMITED	OCTOBER	REGISTERED	REGISTERED
INFINITY ANCHOR FUND	NOVEMBER	REGISTERED	REGISTERED
ZIMBALI CAPITAL	NOVEMBER	REGISTERED	REGISTERED
MDLULI SAFARI LODGE	NOVEMBER	PENDING	PENDING
SUNSTONE CAPITAL	NOVEMBER	REGISTERED	REGISTERED
HASANAAT CAPITAL	NOVEMBER	REGISTERED	REGISTERED
EUPHORIC CAPITAL	NOVEMBER	REGISTERED	REGISTERED
AP GLOBAL	NOVEMBER	REGISTERED	REGISTERED
AURIK CAPITAL	NOVEMBER	REGISTERED	REGISTERED
BIG SKY FUND	NOVEMBER	REGISTERED	REGISTERED
BIG SKY FUND	NOVEMBER	REGISTERED	REGISTERED
OPTONMISE VENTURES	DECEMBER	PENDING	PENDING
OLIVE VENTURE CAPITAL COMPANY	DECEMBER	REGISTERED	REGISTERED
DELTA	DECEMBER	PENDING	PENDING
DECENTRAL ENERGY CAPITAL	DECEMBER	REGISTERED	REGISTERED
WESTBROOKE STAC 2021	DECEMBER	REGISTERED	REGISTERED
EXPONENTIAL VENTURE CAPITAL	DECEMBER	PENDING	PENDING
WESTBROOKE ARIA 2021	DECEMBER	REGISTERED	REGISTERED
GAIA VENTURE CAPITAL	DECEMBER	REGISTERED	REGISTERED
AEEEX South Arica	DECEMBER	REGISTERED	REGISTERED
BRIGHT LIGHT SOLAR VCC	DECEMBER	REGISTERED	REGISTERED
KALON VENTURE PARTNER FUND II	DECEMBER	PENDING	PENDING

COMPANY NAME	PROSPECTUS	FINAL PROSPECTUS	CURRENT STATUS
Quarter 4			
KAROOOOO	JANUARY	REGISTERED	REGISTERED
ERIDANUS VC1	JANUARY	REGISTERED	REGISTERED
NESA INVESTMENT HOLDINGS	JANUARY	REGISTERED	REGISTERED

COMPANY NAME	PROSPECTUS	FINAL PROSPECTUS	CURRENT STATUS
SILVERLEAF INVESTMENTS	JANUARY	REGISTERED	REGISTERED
WESTBROOK STAC 2021	JANUARY	REGISTERED	REGISTERED
RENCELL	FEBRUARY	REGISTERED	REGISTERED
ORA CAPITAL	FEBRUARY	REGISTERED	REGISTERED
ANUVA PRIVATE EQUITY	FEBRUARY	REGISTERED	REGISTERED
BLACKBRICK CT EP 4	FEBRUARY	REGISTERED	REGISTERED
PERSEUS VC 1	FEBRUARY	REGISTERED	REGISTERED
PEGASUS UA LTD	FEBRUARY	REGISTERED	REGISTERED
CRYPTIQUE LTD	FEBRUARY	REGISTERED	REGISTERED
LEAF 12 J FUND RF	MARCH	REGISTERED	REGISTERED
SAB ZENZELE KABILI	MARCH	REGISTERED	REGISTERED
SEVEN ON MAIN EP5	MARCH	REGISTERED	REGISTERED
INFINITY ANCHOR FUND	MARCH	REGISTERED	REGISTERED
VEGA VC 1	MARCH	REGISTERED	REGISTERED
AEX SOUTH AFRICA	MARCH	REGISTERED	REGISTERED
MDLULI SAFARI LODGE	MARCH	PENDING	PENDING
RENCELL	MARCH	PENDING	PENDING
SILVERLEAF INVESTMENT	MARCH	PENDING	PENDING
SA KHADINANG	MARCH	PENDING	PENDING
SUNSTONE CAPITAL	MARCH	PENDING	PENDING

4.2 Minister's priorities

4.2.1 Education and awareness focusing on educating the public on the services rendered by the CIPC especially on companies and intellectual property (IP).

See Section 4.1.4.

4.2.2 Implementation and monitoring the effectiveness of Business Rescue

The effectiveness of business rescue is monitored through the submission of monthly reports by the business rescue practitioners. Since the business rescue plan is not filed with CIPC as it precluded as per definition, resulted in us working on the template for reporting in order to determine if progress is in line with the plan. We have further established a subcommittee to identify legislative gaps which make it difficult for CIPC to regulate and identified areas for improvement have been communicated to the dtic to incorporate to the amendments.

We have conducted site visits to the accredited professional body to ascertain whether the professional bodies still comply with the requirements for accreditation wrt disciplining, conducting the continuous professional development of its members and develop strategies to ensure a well represented BRP's in line with the country's demographics. Lastly we are in the process of rolling out the electronic process for business rescue end to end process.

Table 18: Business Rescue Statistics

Year/Month	January	February	March	April	May	June	July	August	September	October	November	December	Grand Total
2011-2012	60	39	29	2	7	27	16	33	66	21	35	48	383
2012-2013	18	37	42	32	44	23	21	57	53	46	49	18	440
2013-2014	36	34	30	31	44	34	43	44	29	47	28	9	409
2014-2015	28	24	49	23	34	33	31	54	35	43	34	25	413
2015-2016	20	47	39	40	32	22	67	55	35	57	51	16	481
2016-2017	19	28	30	27	40	35	39	41	29	33	33	21	375
2017-2018	25	31	30	16	27	42	26	33	35	32	46	19	362
2018-2019	26	48	31	18	41	27	39	29	30	22	18	20	349
2019-2020	26	47	44	28	26	33	35	27	31	36	29	11	373
2020-2021	29	30	33	18	59	30	44	16	36	30	33	14	372
Grand Total	287	365	357	235	354	306	361	389	379	367	356	201	3957

Figure 4: Business Rescue Proceedings

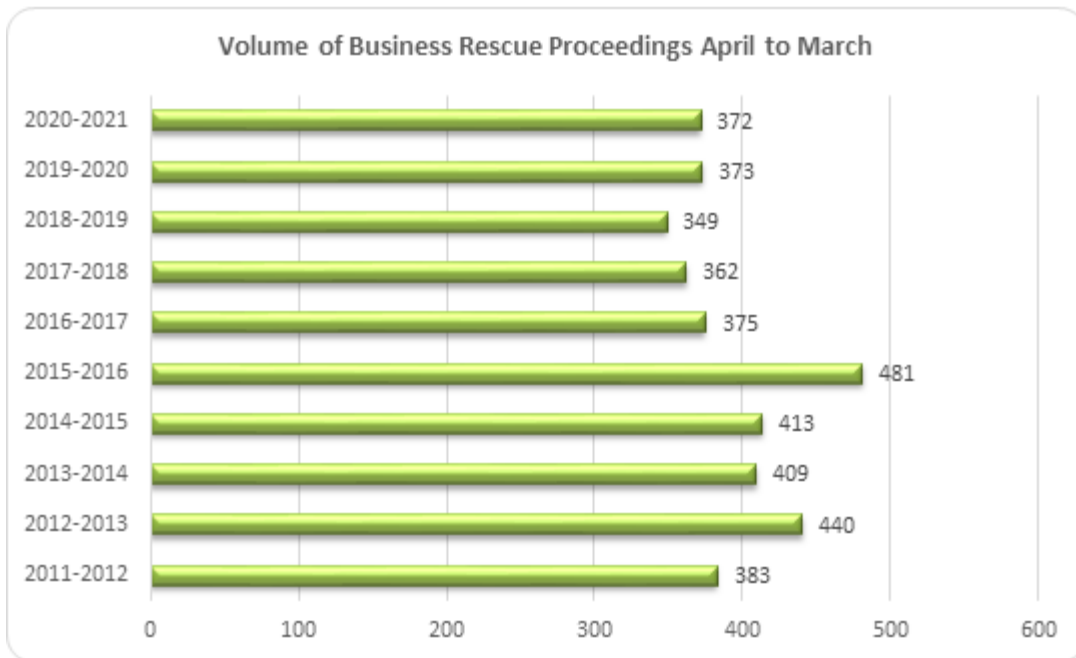


Table 19: Status of Business Rescue Proceedings

	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	Grand Total
Status of Proceedings	-	-	-	-	-	-	-	-	-	-	-
	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	

	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	Grand Total
	-	-	-	-	-	-	-	-	-	-	
	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	Total
Active	52	119	118	124	148	127	151	177	237	335	1588
Liquidation	58	64	70	73	73	49	32	19	17	5	460
Nullity	111	28	21	26	24	17	22	33	15	3	300
Set aside	2	5	6	4		2	2	5	2	1	29
Substantial	83	107	105	97	86	71	56	44	46	11	706
Termination	77	117	89	89	150	109	99	71	56	17	874
Grand Total	383	440	409	413	481	375	362	349	373	372	3957

4.2.3 Facilitate ease in respect of annual returns and reduce burden to small businesses

During Quarter 4, the current version of the Annual Return filing application was released on BizPortal (8 March 2021). The process for the redevelopment of the Annual Return filing application, with enhanced functionality commenced during the latter part of quarter 3. It is estimated that the enhanced Annual Return filing application will be released during the first half of 2021-2022 (no confirmed date has been determined).

4.2.4 Capacity building for the implementation of a substantive search and examination system for patents

Deputy Heads of IP (CIPC and EPO) held a progress virtual meeting on 28 January on the Re-enforced Partnership Agreement. Training of the examiners and interns continues with EPO through a competency based assessment programmes focusing on 6 modules.

Additional training opportunity for patent examiners is planned for between the Swiss IP office and CIPC. A Steering Committee meetings were held in the quarter for project planning.

4.2.5 Promoting accessibility and simplicity in the process for registration of IP, especially for small businesses and artists

In promoting accessibility and simplicity in the process of registration of IP E-services continues to be accessible and manual filling is accessible. The CIPC website provides a step by step filling process. Furthermore, IP registration queries are attended to through the QRS system.

4.2.6 Combating piracy, trade marks and copyright infringements

See section 2.1.5.

4.3 Media analysis

In the period of January 2021 to the month of March 2021, the CIPC entity generated a total of 3 550 media clippings across traditional media (print, broadcast and online) and social media. Social media generated 88% of the coverage, with just 12% from the traditional media space. In March 2021 the CIPC generated the most coverage for the entity with 150 media clips. There was a decrease in the month of February 2021 with

106, and January 2021 generating second highest with 162 media clips. Looking at categories for the quarter, Company Registrations coverage generated 24% of overall media narrative, followed by B-BBEE (22%), and then IP related coverage (18%). The narrative had been focused more on Business rescue funding.

4.4 Investigations/Anticorruption cases

FRAUD PREVENTION

This section gives a description of fraud allegations' numerical data presented in statistical tables. It further sets out the various channels through which these allegations or complaints were reported and provides a summary of the nature and categories of allegations received during the reporting period in comparison other quarters of the financial year.

Number of allegations received

01 Jan 2021 – 31 Mar 2021				
Opening balance 01/01/21	Calls logged Q4	Feedback Requests additional info	Resolved	Actual cases as at 31/03/21
106	94	(43)	(46)	111

For the period 01 January- 31 March 2021, a total of 94 calls were logged. This number is added to the balance of 106 at the start of the period.

As is the case with previous reports, the total number complaints received does not always translated to fraud cases which require investigation. As seen in the table, other emails or calls received relate to feedback request by complainants on matters previously reported.

To provide a more accurate figure of actual complaints/allegations at 31 March 2021, the total number of requests for feedback or emails providing additional information on already reported matters are subtracted from the sum of the opening balance and cases received. Similarly, cases resolved/ finalised during the quarter are subtracted, leaving a balance of actual open cases at the end of the period.

Cases received in the quarter increased to 94 from the 79 recorded in the preceding quarter, whereas the number of cases resolved in quarter dropped by 23. The resolution of cases was affected by the decision of the 2 employees seconded to the GRC division to return back to their business unit which somewhat affected operations.

The backlog which has remained consistently high (above 100 cases) at any given period remains a concern. A process to acquire additional resources both internally and externally is underway.

Status of Open Cases: 31 Mar 2021

Total	Under investigation	Pending investigation
111	(21)	90

The balance of 90 at the end of the quarter is inclusive of cases which under investigation but not completed at the time of compiling this report. Of these, some are matter referred to external service providers for investigation due to the nature and complexity of the allegations. As cases are reported the cumulative number of pending cases is expected to increase continually.

Summary – Reporting Channels

Channel		Received Cases
1	Hotline	90
2	Emails	4
Total		94

The CIPC makes use various channels through which fraud and corruption allegations maybe reported. These are made available to all employees, current and potential customers, stakeholders and the general public.

The hotline, independently managed on behalf of the CIPC is one such channel which provides an option for anonymity of whistle-blowers if they so wish. Additionally, it provides adequate audit trail of calls logged through it. Such controls help build trust and confidence in the system. It is no wonder that the hotline has remained the preferred reporting channel since its launch in 2016. In the wake of the Covid - 19 pandemic which saw the introduction and implementation of the Tele-commuting Strategy and Policy, the usage of the hotline has been on the increase, almost eliminating all other channels.

Summary - Nature of Cases

#	Types of cases	Q4		Q3		Q2		Q1	
		No of cases	%	No of cases	%	No. of cases	%	No. of Cases	%
1	Unauthorised/Fraudulent removal/entry of directors	26	28%	28	35%	18	25%	39	31%
2	Misuse of Clients Accounts	3	3%	0	0%	8	11%	11	7%
3	Essential services certificates complaints	0	0%	0	0%	1	01%	41	33%

#	Types of cases	Q4		Q3		Q2		Q1	
		No of cases	%	No of cases	%	No. of cases	%	No. of Cases	%
4	Internally reported matters (involving staff)	3	3%	3	4%	1	01%	0	0%
5	Other:	19	20%	11	14%	25	35%	21	17%
6	Feedback request/ additional information	43	46%	37	47%	19	27%	15	12%
Total		94	100%	79	100%	72	100%	127	100%

Allegations/cases are classified under defined categories based on the nature of calls and complaints received. Allegations which fall under more than one category are classified using the primary reason for reporting.

As illustrated by the table above, allegations relating to unauthorised director changes remain in the majority. Considering the results of the four quarters, the average percentage of this category 30% of all reported cases.

Of concern, is the increase in the number of allegations against or implicating CIPC employees. History has proven that that investigations into such allegations have almost always increased the number of employees involved in a reported matter.

Summary of outcomes- completed investigations/closed matters

Type of allegation	Total	Proven		Inconclusive		Not	
	resolved	No	%	No	%	Not	%
Unauthorised/ fraudulent director changes	39	25	64%	4	10%	10	26%
Unauthorised use of customer code/client account	3	2	67%	0	0%	1	33%
Other	4	4	100%	0	0%	0	0%
Total	46	31	67%	4	9%	11	24%

Of the total of 46 matters concluded during the quarter, 67% were found to have merit. Recommendations for corrective actions were provided with most already implemented. Majority of related to fraudulent director changes. Reasons for

- Unauthorised usage of identity documents
- Fraudulent signature and other information provided
- Third parties(agents) involvement in the transactions

- Infighting among directors resulting in fraudulent actions.

Matters which were not conclusive resulted from insufficient evidence that the transaction was fraudulent and no further/additional information provided by the client to substantiate the claims.

Considering the number of proven allegations, CIPC must ensure controls are put in place or enhanced to minimise of chances of fraud occurring as result of control gaps in the system.

4.5 Industrial/Labour relations issues

- Five (5) misconduct cases are at disciplinary hearing stage. Two (2) misconduct cases are under investigation and one (1) misconduct case finalised during the quarter.
- No warnings were issued during the quarter.
- One (1) grievance finalised during the quarter.
- Five (5) labour disputes are at CCMA and one (1) labour dispute at GPSSBC.
- Two (2) labour disputes at labour court stage pending.

4.6 New challenges and risks identified in the quarter

Challenges are discussed under each area.

5. Performance against the APP

5.1 Progress made against unachieved milestones for the previous quarter

N/A

5.2 Progress made against current quarterly milestones

Output	Performance Measure or Indicator	2020/21 Annual Target	4th Quarter milestones	Actual Achievement	Reason for Variance	Corrective Action
GOAL 1: Reduced administrative compliance burden for companies and IP owners.						
Strategic Objective 1.1 24/7 access to all CIPC products and services.						
Increased in the % of website performance for e-services 24/7	% website performance for e-services 24/7	93%	93%	99%	No electrical outages from DTI or Eskom load shedding.	N/A
Increase in the % of CIPC services with an option to file electronically compared to manually filed services	% of CIPC services with an option to file electronically compared to manually filed services	29% (1% increase)	29%	29%	N/A	N/A
Strategic Objective 1.2 Timely delivery of all CIPC products and services.						
Reduction in the average number of days to register a company from the date of receipt of a complete application	The average number of days to register a company from the date of receipt of a complete application.	2	2	1	Although technical IT and desktop challenges were experienced, it were quick to be resolved by the BISG team.	N/A
Reduction in the average number of days to register a co-operative from the date of receipt of a complete application.	The average of the number of days to register a co-operative from the date of receipt of a complete application.	3	3	2	Attributed to no system challenges.	N/A

Output	Performance Measure or Indicator	2020/21 Annual Target	4th Quarter milestones	Actual Achievement	Reason for Variance	Corrective Action
Strategic Objective 1.3 Intelligent, innovative, high performance organisational environment.						
Increase the score of the customer stakeholder value index	A score between 1 – 10 of the customer and stakeholder value index, a higher score indicating satisfaction with the CIPC	7.5	7.5	8	Strengthening of virtual channels including social media, as well as high responsiveness to stakeholders.	N/A
GOAL 2: A reputable Business Regulation and IP Protection environment in South Africa.						
Strategic Objective 2.1: Increased knowledge and awareness on Company and IP Laws.						
Increased level of awareness of Company Act and other related legislation.	Number of education and awareness webinars or on-line events offered to the public and customers conducted by the CIPC on the Companies Act and related legislation	6	6 (1)	15 (4)	Due to influx of requests for CIPC participation at events of external stakeholders.	N/A
	Number of webinars or online information sessions on invite from and in collaboration with stakeholders	6	6 (1)	32 (16)	Due to influx of requests for CIPC participation at events of external stakeholders.	N/A
Increased IP knowledge and awareness	Number of education and awareness virtual, on-line interventions on IP conducted by the CIPC and its partners	16	16 (4)	27 (5)	Performance was driven by increased appetite from the stakeholders / audience	N/A

Output	Performance Measure or Indicator	2020/21 Annual Target	4th Quarter milestones	Actual Achievement	Reason for Variance	Corrective Action
Strategic Objective 2.2 Improved compliance with the Company and IP Laws						
Increased knowledge and awareness on IP enforcement	Number of education and awareness virtual, on-line interventions on IP enforcement conducted by the CIPC and its partners	8	8 (2)	11 (4)	Virtual Platforms facilitate access to a wider audience as they support cost effective logistics.	N/A
Beneficial Ownership Register	Beneficial Ownership Register in Place	Approved Beneficial Ownership Concept Paper	Approved Beneficial Ownership Concept Paper	Approved Beneficial Ownership Concept Paper	N/A	N/A

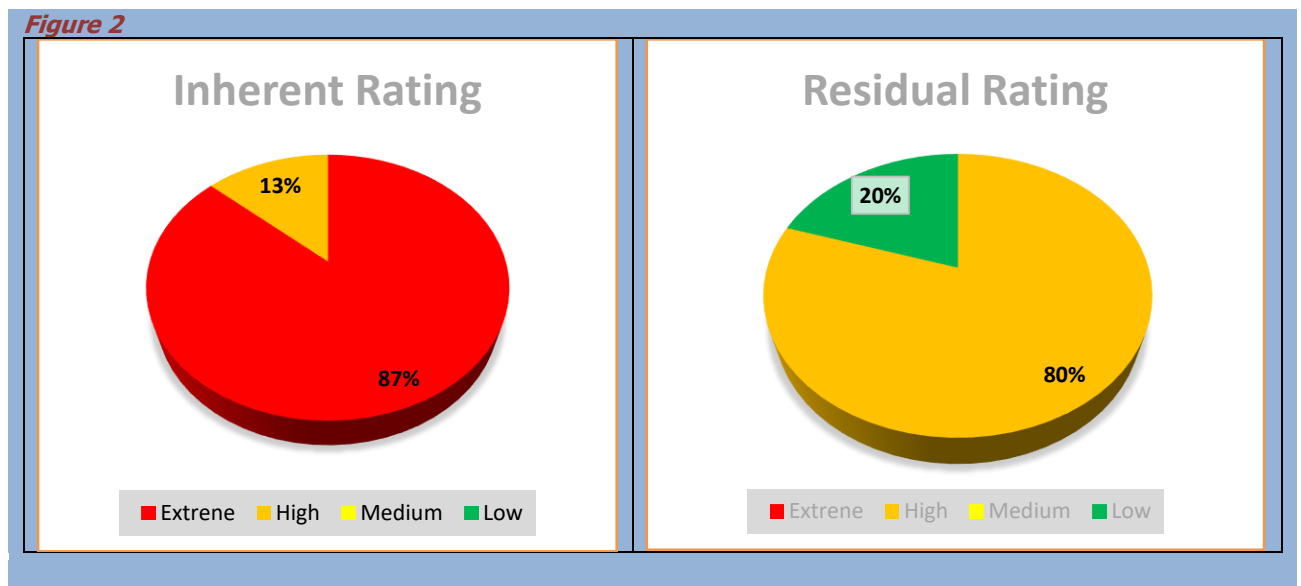
6. Risk Management Report

Overview

This section provides progress on the management of strategic and operational risks during the reporting period. Progress on the implementation of strategic risk mitigating actions planned for Q4 is summarised under 5.2 and 5.3 below.

Strategic Risk Dashboard

The strategic risk dashboard below provides a summary of the strategic risk ratings as at 31 March 2021.



The dashboard provides progress made in managing identified strategic risks and illustrates the impact of controls implemented to minimise the risks to an acceptable level. Inherently, the average strategic risk rating of the CIPC is “extreme”, however, controls implemented have brought the exposure down to “high to medium” rating. At the time of reporting, no comparison had been made between the current and desired residual risk thresholds. As a result, a conclusion of how well the organisation fared during the period cannot be made. Information in the updated Strategic Risk Register (copy attached) nonetheless indicates the strides made by the organisation in an effort to manage its risks in pursuit of its objectives.

Risk Movement Dashboard

The table below provides a summary of the how the residual risk ratings have changed in the current quarter in comparison with the three previous quarters of the financial year. The objective is to illustrate the effect of identified mitigation controls on the strategic risks. The assessment is based on information provided by risk owners and independent verification was conducted. The risks are listed in no order of priority or rating:

Key: Improved ↑ Regressed = ↓ No movement = ↔		Residual Risk Movement			
Risk Name		Q1	Q2	Q3	Q4
1.	Inadequate availability and accessibility of channels	↔	↔	↔	↔
2.	Inadequate ICT infrastructure	↔	↔	↔	↔
3.	Lack of Stability of IT systems (CIPC, Partners and 3rd party providers)	↔	↔	↔	↔
4.	Inability to effectively manage stakeholder relations and expectations	↔	↔	↔	↔
5.	Inadequate information & cyber-security	↔	↔	↔	↔
6.	Inadequate data integrity	↔	↔	↔	↔
7.	Ineffective governance and oversight over finance and supply chain management	↔	↔	↔	↔
8.	Financial sustainability	↔	↔	↔	↔
9.	Lack of optimal and professional organisational culture	↔	↔	↔	↑
10.	Ineffective people management	↔	↔	↔	↔
11.	Inadequate accessibility of Intellectual Property (IP) services Programme	↔	↔	↑	↑
12.	Ineffective implementation of the substantive search and examination programme	↔	↔	↔	↔
13.	Ineffective and inefficient enforcement	↔	↔	↔	↔
14.	Labour relations and stability thereof	↔	↔	↔	↑
15.	Occupational Health and Safety	↔	↑	↓	↑

A notable improvement in the residual risk rating of many of the most risks was recorded for the reporting period. Of the total of fifteen risks, four risks recorded an upward movement, with the remainder remaining constant in comparison to the previous quarter. The updated Strategic Risk Register shows that only 34 initiatives were initially scheduled for completion in the quarter, with an additional 34 carried over from previous of the financial year, bringing the total to 68 for the reporting period. Of the cumulative total, 34% were either reported as complete or at advanced stages of completion in line with phase/project approach agreed upon.

Operational Risk Management

A total of 19 operational risk registers were developed and/or reviewed. In addition, a high level training was provided to operational risk owners, managers and other officials who attended the risk sessions. The training serves as a refresher for most risk owners and managers who previously received detailed training on the process of risk identification, monitoring, reviewing and reporting. Despite the effort and support offered, only six registers were updated for the period under review with two submitted late after the stipulated timeframes.

In the absence of sufficient and adequately analysed data about the organisation's areas of exposure, the risk based and intelligent decision making process is severely hampered.

The non-submission of updated registers impacts negatively the risk management process in that:

- a holistic picture of the status of current and emerging organisational risks may not be adequately understood;
- risks which may have materialised during the reporting may not be identified;
- risks and incidents which required escalation to other governance structures may not be identified and addressed;

- resources to manage transversal risks which require coordination and collaboration maybe duplicated; and
- the upside of risk which presents opportunities may not be identified and or seized.

The Risk Management Unit has and continues to provide support to provide support to operational risk owners where required.

PROGRESS ON IMPLEMENTATION OF RISK AND FRAUD PLAN

This section highlights progress made on each of the planned activities for the quarter.

Activities	Q1	Q2	Q3	Q4	Comment
1. Risk Management					
1.1 Risk plan development and approval					Approved in Jan 2021
1.2 Revision of risk management policy.					In progress
1.3 Review the risk framework and methodology					In progress to be finalised end April 2021
1.4 Conduct a risk maturity assessment					Finalised, presented and approved in Q3
1.5 Strategic risk register annual review					Approved in January 2021
1.6 Risk appetite statement and tolerance review					Approved in January 2021
1.7 Conduct strategic risk analysis					In progress to be finalised in April 2021
1.8 Quarterly monitoring, review and reporting on management of operational risks					Done. Provided and presented quarterly as part of the GRC report
1.9 Operational risk register review					Done. completed in January 2021
1.10 Risk Monitoring, review and reporting					Part of GRC report
1.11 Conduct risk management training for					Not planned for Q4
2. Fraud Prevention					
2.1 Fraud prevention plan review and approval					Done. Approved in January 2021
2.2 Review of fraud methodology/processes					Done
2.3 Fraud Risk Register review					Done
2.4 Ethics policy and framework development					Done
2.5 Fraud awareness and education					To be consolidated with Ethics & declaration training.

Activities	Q1	Q2	Q3	Q4	Comment
2.6 Facilitate the declaration of interest process					Not planned for this quarter.
2.7 Maintain an effective case database					Part of GRC quarterly report
2.8 Conduct investigations					Part of GRC quarterly report
2.9 Quarterly reporting on fraud prevention					Part of GRC quarterly report

Key:

Complete	In progress	Not done	Not planned for the period
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A total of 8 activities were originally planned for the quarter with an additional 4 carried over from the previous periods of the financial year, bringing the total to 12 activities for completion in quarter 4. As at the end of 31 March, eight had been completed and with the remainder in progress.

For the financial year, 20 activities were planned. As at 31 March 2021, 16 had been completed representing 80% completion rate. At the time of reporting, activities which remain in progress were at advanced stages with completion dates revised to 30 April and 20 May 2021.

7. Audit Report

7.1 Progress against Internal Audit Finding Matrix and AG/External Audit Finding Matrix

AUDIT FINDINGS TRACKING SUMMARY REPORT FOR THE QUARTER ENDED 31 MARCH 2021

1. Purpose of the Report

This report provides a high level summary of progress made with regard to the implementation of corrective actions to address previously reported audit findings. The report covers findings emanating from the audit conducted by the Auditor General (AG) for the 2019/20 financial year as well as findings and observations from internal audit reviews conducted in the 2015/16, 2016/17, 2017/2018, 2018/19, 2019/2020 financial years. Details of progress are contained in the respective registers attached to this report.

2. Summary of all Unresolved Findings

Audits assignment Involved = **19**
 Total findings at the beginning of Q4 = **65**
 Total findings resolved = **13**
 Total findings in progress = **19**
 Total findings unresolved = **33**

2.1 Auditor General Findings 2019/20

Audit Assignment	Q4 opening balance	Addressed and risk accepted	In progress	Not Addressed
AG: Management report findings	11		11	
% Total	100%	0%	100%	0%

2.2 Internal Audit Findings

2.2.1 2015/2016

Audit Assignment	Opening balance - Q4 of 2020/2021	Addressed and risk accepted	Partially Addressed	Not Addressed
1. Human Capital Management	1	1		
Overall Total	1	1	0	0
		100%	0%	0%

2.2.2 2016/2017

Audit Assignment	Total outstanding Findings at beginning of Q4 of 2020/2021	Addressed and risk accepted in Q4 of 2020/2021	Partially Addressed	Not Addressed in Q2 of 2018/19
1. Payroll	1	1		0
2. IT Audit Follow Up Audit	1	0		1
OVERALL TOTAL	2	1	0	1
		50%		50%

2.2.3 2017/2018

Audit Assignment	Total outstanding Findings Q4 of 2020/2021	Addressed and risk accepted - Total	Partially Addressed	Not Addressed - Total
1. Free State Self Service Terminal	1		1	
2. Contract management	2	2		
3. Registry audit	5		2	3
4. Annual returns compliance	1		1	
TOTAL	9	2	4	3
		22%	44%	33%

2.2.4 2018/2019

Audit Assignment	Total outstanding Findings Q4 of 2020/2021	Addressed and risk accepted - Total	Partially Addressed	Not Addressed - Total
1. Application control review on the Ptolemy system	1			1
2. Education and awareness audit	6	2	1	3
3. Surveillance and enforcement audit	3	2		1
4. IT Security Review	2	1		1
5. Security management review	7		3	4
6. Service Delivery Standards review	11			11
7. Supply chain management	1	1		

Audit Assignment	Total outstanding Findings Q4 of 2020/2021	Addressed and risk accepted - Total	Partially Addressed	Not Addressed - Total
TOTAL	31	6	4	23
		19%	13%	68%

2.2.5 2019/2020

Audit Assignment	Total outstanding Findings Q4 of 2020/2021	Addressed and risk accepted - Total	Partially Addressed	Not Addressed - Total
1. Accounts Payables Audit	1	1		
2. Business Plan 2019/2020	1			1
3. Payroll	1	1		
4. General IT Control Audit	3			3
5. Disclosure	3	1		2
6. Trade Marks	2			2
TOTAL	11	3	0	8
		27%	0%	73%

7.3 Progress made regarding Combined Assurance Plan

The combined assurance plan has to be updated taking into consideration the new strategic risks. The updating of the strategic risk register has made the current combined assurance plan redundant.

8. Financial Report

Annexure

9. PFMA and TR compliance checklist

FOURTH QUARTER				
JANUARY 2021			Bus. Unit/Division	Comment/Status
To be confirmed	<ul style="list-style-type: none"> Shareholder's requirement 	Accounting Authorities meet one-on-one with the Executive Authority to discuss strategic issues The Accounting Authority should submit the Briefing Notes 10 days before the meeting to the Executive Authority.	OCOM	No
January 2021	<ul style="list-style-type: none"> Shareholder's requirement 	Submit monthly expenditure and income statements with projections for the remaining months, explanations for material variances as well as possible remedies to be applied to ensure that expenditure and income are in line with the approved budget	Finance	Submitted with the ENE report on 18 December 2020. The Q1, Q2 and Q3 reports submitted
January 2021	<ul style="list-style-type: none"> TR 26.1.1, 26.1.2, 29.1.3, 29.3.1, 30.2.1 & 30.4.2 Shareholder's requirement 	Submission of the 2020/21 third quarter report signed by the Accounting Authority to the Minister via Public Entity Oversight (PEO) . The report should be aligned to the Annual Performance Plan (APP) and Business Plan. The quarter report should include progress report on matters raised by the AGSA and entity's Internal Audit as an annexure to the report.	Strategy and Planning	Submitted 31 January 2021
January 2021	<ul style="list-style-type: none"> TR 29.1.3 	Schedule 3B entities to submit quarterly reports on borrowing programme to National Treasury on actual borrowing for quarter and update on borrowing plan	Finance	N/A

FOURTH QUARTER				
January 2021	<ul style="list-style-type: none"> National Treasury Notice No. 33 and Framework for Strategic Plans and Annual Performance Plans 	3A public entities submit for approval, final draft of the Annual Performance Plans and updated Strategic Plan to the Minister to the Public Entity Oversight	Strategy and Planning	Submitted 31 January 2021
January 2021	<ul style="list-style-type: none"> Shareholder's requirement TR 29.1.1 	3B public entities submit for approval, final draft the Corporate Plans to the Minister via the Public Entity Oversight	Strategy and Planning	We do not do Corporate Plans
January 2021	<ul style="list-style-type: none"> Shareholder's requirement 	The Accounting Authority to discuss Annual Performance Plan or Corporate Plan with the Executive Authority.	OCOM	No
FEBRUARY 2021				
February 2021	<ul style="list-style-type: none"> Shareholder's requirement 	Submit monthly expenditure and income statements with projections for the remaining months, explanations for material variances as well as possible remedies to be applied to ensure that expenditure and income are in line with the approved budget	Finance	Submitted with the ENE report on 18 December 2020. The Q1, Q2 and Q3 reports submitted
To be confirmed	<ul style="list-style-type: none"> Portfolio Committee request 	Submission of the 2020/21 third quarter report to the Portfolio Committee for tabling . Public Entities submit 65 copies and one	Strategy and Planning	This is the dtic responsibility

FOURTH QUARTER				
		CD to Parliamentary Officer, Ms Saroj Naidoo, 6th Floor, 120 Plein Street, Cape Town, for the tabling process.		
To be confirmed	<ul style="list-style-type: none"> National Treasury Notice No. 33 and Framework for Strategic Plans and Annual Performance Plans 	3A public entities submit tabling , 80 copies and one (1) CD of the updated Strategic Plans and Annual Performance Plans to the Minister via Parliamentary Officer, 120 Plein Street, 6th floor, Cape Town, 10 copies and one (1) CD to the Public Entity Oversight and 10 copies to the National Treasury	Strategy and Planning	This is now done by the dtic. Hard copies are no longer done since the changes as a result of Covid 19 pandemic.
To be confirmed	<ul style="list-style-type: none"> Shareholder's requirement TR 29.1.1 	3B public entities submit for tabling , 80 copies and one (1) CD of the Corporate Plans to the Minister via Parliamentary Officer, 120 Plein Street, 6th floor, Cape Town, 10 copies and one (1) CD to the Public Entity Oversight and 10 copies to the National Treasury	Strategy and Planning/OCOM	We do not do corporate plans
February 2021	<ul style="list-style-type: none"> Shareholder's requirement TR 33.3.1 	Submit to the dti a schedule of the outcome of any disciplinary hearings and/or criminal charges ; the names and ranks of employees involved; and the sanctions and any further actions taken against these employees.	Corporate Services	This is submitted as and when requested by the dtic
MARCH 2021				
March 2021	<ul style="list-style-type: none"> Shareholder's 	Submit monthly expenditure and income statements with projections for the remaining	Finance	The Q1, Q2 and Q3 reports submitted. Q4 is

FOURTH QUARTER				
	requirement	months, explanations for material variances as well as possible remedies to be applied to ensure that expenditure and income are in line with the approved budget		currently in progress
March 2021	<ul style="list-style-type: none"> PFMA Section (38)(1)(j) 	Submission of assurance letters to show the implementation of effective, efficient and transparent financial management and internal control systems	Finance	This will only be available once audit has been completed.
March 2021	<ul style="list-style-type: none"> Shareholder's requirement 	Submission of 2020/21 Business Plans signed by the Accounting Authorities.	OCOM	Annual Operational Plan signed on 30 March 2021 and submitted to the dtic for information.
When necessary	<ul style="list-style-type: none"> Shareholder's requirement 	Submit any a report on a specific topic or extraordinary from time to time provided the reasonable notice has been given to the public entity.		
THIRD QUARTER				
OCTOBER 2020				Comment/Status
23 October 2020	<ul style="list-style-type: none"> Shareholder's requirement 	Submit monthly expenditure and income statements with projections for the remaining months, explanations for material variances as well as possible remedies to be applied to ensure that expenditure and income are in line with the approved budget	Finance	N/A Only submitted quarterly. The Q1 reports submitted.
30 October 2020	<ul style="list-style-type: none"> TR 26.1.1, 26.1.2, 29.1.3, 	Submission of the 2020/21 second quarter report signed by the Accounting Authority. The report should be aligned to the	Strategy & Planning	Submitted 1st draft on 1 October 2020

FOURTH QUARTER				
	29.3.1, 30.2.1 & 30.4.2	Annual Performance Plan (APP). The quarter report should include progress report on matters raised by the AGSA and entity's Internal Audit as an annexure to the report.		
	<ul style="list-style-type: none"> Shareholder's requirement 			
30 October 2020	<ul style="list-style-type: none"> TR 29.1.3 	Schedule 3B entities to submit quarterly reports on borrowing programme to National Treasury on actual borrowing for quarter and update on borrowing plan	Finance	N/A
30 October 2020	<ul style="list-style-type: none"> Framework for Strategic Plans and Annual Performance Plans Shareholder's requirement 	3A public entities submit second draft of the Annual Performance Plans to the Minister via the PEO	Strategy & Planning	Submitted 31 January 2021
30 October 2020	<ul style="list-style-type: none"> Shareholder's requirement 	3B public entities submit first draft of the Corporate Plans to the Minister via the PEO		
30 October 2020	<ul style="list-style-type: none"> Shareholder's requirement 	Accounting Authorities reporting directly to the Executive Authority submit bi-annual performance review	OCOM	No
NOVEMBER 2020				
27 November 2020	<ul style="list-style-type: none"> Shareholder's 	Submit monthly expenditure and income statements with projections for the remaining	Finance	N/A Only submitted quarterly.

FOURTH QUARTER				
	requirement	months, explanations for material variances as well as possible remedies to be applied to ensure that expenditure and income are in line with the approved budget		The Q1 and Q2 reports submitted
To be confirmed	<ul style="list-style-type: none"> Shareholder's requirement 	Accounting Authorities reporting directly to the Executive Authority meet with Executive Authority to discuss bi-annual performance	OCOM	No
To be confirmed	<ul style="list-style-type: none"> Shareholder's requirement 	Accounting Authorities submit final draft shareholder's compact to the Executive Authority	OCOM	No
DECEMBER 2020				
18 December 2020	<ul style="list-style-type: none"> Shareholder's requirement 	Submit monthly expenditure and income statements with projections for the remaining months, explanations for material variances as well as possible remedies to be applied to ensure that expenditure and income are in line with the approved budget	Finance	Submitted with the ENE report on 18 December 2020. The Q1 and Q3 reports submitted

10. List of the CIPC Core Processes (Automated Processes)

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
1	CO & CC	COR30.3; CoR30.1; CK2B	CO&CC AR Filing of Annual Returns		1	Fully automated process. Customers may submit manually.
2	CO & CC	COR123. 1	CO&CC BR Entering into Business Rescue Proceedings	1		
3	CO & CC	CoR125.3	CO&CC BR Notice of Substantial implementation	1		
4	CO & CC	CoR125.2	CO&CC BR Notice of Termination	1		
5	CO & CC	CoR125.1	CO&CC BR Review of BR Progress Reports (CO&CC)	1		
6	CO & CC	No form	CO&CC AR Deregistration		1	Automated as part of the AR Filing process Referral into deregistration is automated while the extraction of the lists and referral for posting is still manual.
7	CO & CC	COR40.1/ CM26LIQ	CO&CC Liquidation	1		This is an end to end process that starts with a liquidation form or court order being filed with CIPC to notification of dissolution by the Master. It also includes the set aside of the liquidation process by court order and publication of the information.
8	CO & CC	COR40.5	CO&CC Re- instatements	1		
9	CO & CC	Letter	CO&CC Voluntary Deregistration	1		

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
10	CO & CC	COR15.2, COR15.2 Annexure A	CO Amendment of MOI - Addition of ring fencing to the MOI (incl JSE)	1		
11	CO & CC	COR15.2, COR9.4	CO Amendment of MOI - Change of Company Name (incl JSE)		1	Fully automated process. Customers may submit manually.
12	CO & CC	COR15.2	CO Amendment of MOI - Change of CO main business (incl JSE)	1		
13	CO & CC	COR15.2	CO Amendment of MOI - Change of Company Shares (incl JSE)		1	Incorporates CO Conversion of Par Value Shares #17
14	CO & CC	COR15.2	CO Amendment of MOI - Conversion of a Company to another type of Company (incl JSE)	1		
15	CO & CC	COR15.2	CO Amendment of MOI - Conversion of par value shares (incl JSE)		1	Incorporated with CO Change of Company Shares #14
16	CO & CC	COR18.1	CO CC Conversion to a CO	1		
17	CO & CC	COR25	CO Change of Financial Year End		1	Fully automated process. Customers may submit manually.
18	CO & CC	CR 6	CO Co-op conversion to a CO	1		Starts with Co-operatives Special Resolution
19	CO & CC	COR89	CO Notice of amalgamation or merger of Companies	1		

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
20	CO & CC	COR21.1	CO Notice of Change of Registered Office/Address		1	Fully automated. Customers may submit manually.
21	CO & CC	COR22	CO Notice of location of CO records	1		
22	CO & CC	COR14.1, COR15.1 D	CO Registration Non-Profit CO with or without members with a long standard or customised MOI	1		
23	CO & CC	COR14.1, COR15.1 C	CO Registration Non-Profit CO with or without members with a short standard or customised MOI		1	Fully automated. No choice of manual process
24	CO & CC	COR14.1, COR15.1 B	CO Registration of a Personal Liability with a Long standard or Customised MOI	1		
25	CO & CC	COR15.1 B; COR14.1	CO Registration of a Private CO with a Long or customised MOI	1		
26	CO & CC	COR20.1, COR21.1	CO Registration of external CO	1		
27	CO & CC	COR15.1 B; COR14.1	CO Registration of State-Owned CO with long-or customised MOI	1		
28	CO & CC	COR15.1 B; COR14.1	CO Registration-Private Company with a Customised MOI		1	
29	CO & CC		CO Registration with BEE		1	

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
			Certificate (SST)			
30	CO & CC	COR15.1 A; COR14.1	CO Standard Registration (including Banks, SST, Third party)		1	
31	CO & CC	COR17.1	CO Domestication of Foreign CO	1		
32	CO & CC	COR9.1	NR Reservation of a Company, Close Corporation or Co-operative name or business name	-	1	
33	CO & CC	COR9.2	NR Extend a Name reservation		1	Automated (hybrid)
34	CO & CC		NR Name search		1	This is more of a disclosure function than a processing function. I will recommend to put it under general.
35	CO & CC	COR10.1	NR Register a Defensive Name		1	
36	CO & CC	COR10.2	NR Renew defensive name reservation		1	
37	CO & CC	COR11.1	NR Transfer of reserved or registered name		1	Customers may submit manually
38	CO & CC	No form	CO&CC BR discontinuation of business rescue proceedings (via set aside court order, nullity etc)	1		New
39	CO & CC	CoR40.2	CO Transfer to foreign jurisdiction	1		New

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
40	CO & CC	COR15.2	CO Amendment of MOI - Adoption of new MOI (incl JSE)	1		Not previously on list
41	CO & CC	COR15.3	CO Amendments of MOI - Other changes (example is deletion or adding of a clause)(incl JSE)	1		Not previously on list
42	CO & CC	COR16.1	CO Notice of Company Rules	1		Not previously on list
43	CO & CC	COR16.2	CO Results of Vote on Company Rules	1		Not previously on list and have no workflow for this form. Use CoR16.1 but such is a risk due to the fact that CoR16.2 is a fee carrying form while CoR16.1 does not have a fee.
44	CO & CC	COR15.3	CO Alteration of MOI	1		Not previously on list This form is meant for the correction of errors within a MOI.
45	CO & CC	COR15.4	CO Translation of MOI	1		Not previous on list before. Can be tracked but not tested yet. Haven't received one in two years. Low priority
46	CO & CC	COR15.5	CO Consolidation of MOI	1		Not previously on list
48	CO & CC	CoR12.1	Allegation of Name Reservation System Abuse	1		No process yet since it is a more investigative option - not sure where this needs to reside e.g. names or investigations.

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
49	CO & CC DMP	CK2	CC Principle Business Change	1		Not on the list before. Process owner is actually Companies not DMP.
50	CO & CC DMP	CK2	CC Name Change (including shortened name registration and registration of a translation)	1		Not on the list before. Process owner is actually Companies not DMP.
51	CO & CC DMP	COR 126.1	CO BR Application to be licenced as a Business Rescue Practitioner	1		
52	CO & CC DMP	COR123.2	CO BR Appointment of Business Rescue Practitioner	1		
53	CO & CC DMP	CoR21.2	CO Change of Company Representatives	1		
54	CO & CC DMP	COR39	CO Appointment, resignation or removal of Directors		1	Fully automated process. Customers may submit manually.
187	CO&CC:DMP		Update Directors Details		1	Splinter of DMP COR39 process which is automated
55	CO & CC DMP	CK2	CC Appointment, resignation or removal of Members		1	Automated process with manual intervention (hybrid). Customers may submit manually.
56	CO & CC DMP	COR44	CO Auditor appointment, resignation or removal		1	Fully automated process. Customers may submit manually.

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
57	CO & CC DMP	COR44	CO Appointment, resignation or removal of Audit Committee members and CO Secretary	1		
58	CO & CC DMP	CK2A	CC Appointment, resignation or removal of an Accounting Officer CORRAO	1		
59	CO & CC DMP	CK2A	CC Change of address		1	Process owner is actually Companies not DMP. Fully automated process. Customers may submit manually.
60	CO & CC DMP	COR44	CO Auditor and CO Secretary change of address	1		Automated (hybrid) process. Customers may submit manually.
61	CO & CC DMP	CK2A	CC Change of Financial Year End		1	Process owner is actually Companies not DMP. Fully automated process. Customers may submit manually.
62	CO & CC DMP		CO Disqualified Directors Register		1	
63	CORPORATE LEGAL AND POLICY SUPPORT		CLPS Provide policy and legal insight & advice & co-ordinate the prosecution of contraventions with NPA	1		
64	CORPORATE LEGAL AND POLICY SUPPORT	COR168	CLPS	1		

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
65	CORP EDUCATION & VOLUNTARY COMPLIANCE		CEVC Advisory opinion	1		
66	CORP EDUCATION & VOLUNTARY COMPLIANCE		CEVC Education Event	1		
67	CORP DISCLOSURE & COMPLIANCE		CDC XBRL Filing of Annual Financial Statements		1	
68	CORP DISCLOSURE & COMPLIANCE		CDC Independent Review	1		
69	CORP DISCLOSURE & COMPLIANCE		CDC Annual R29.12 Report	1		Annual reports from Independent Review Professional Bodies
70	CORP DISCLOSURE & COMPLIANCE		CDC Reportable Irregularities	1		
71	CORP DISCLOSURE & COMPLIANCE		CDC Prospectus Registration	1		
72	CORP GOV SURVEILLANCE & ENFORCEMENT	COR131.1	CO & CC Complaints resolution		1	2 Internal processes follow: Investigation; and Determination of complaint
73	CO-OPS	CR1; CR8; or CR4	Co-ops Amalgamation of Co-operatives (Amalgamation Agreement)	1		
74	CO-OPS	CR5	Co-ops Amendment (of Statute)	1		
75	CO-OPS	CR8	Co-ops Application for Exemption of Auditing Requirements	1		

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
76	CO-OPS	CR4	Co-ops Appointment of an Auditor	1		
77	CO-OPS	CR6	Co-ops Change Co-operative constitution	1		
78	CO-OPS	CR2; CR3; CR7	Co-ops Change an old registration number to a new registration number	1		
79	CO-OPS	CR3	Co-ops Change of address and contact particulars	1		
80	CO-OPS	CR6	Co-ops Change of financial year end	1		
81	CO-OPS	CR6	Co-ops Change of name	1		
82	CO-OPS	CR6	Co-ops Change of registered address	1		
83	CO-OPS	CR6	Co-ops Changes to co-operative share capital	1		
84	CO-OPS	CR6	Co-ops Changes to the Board of Directors	1		
85	CO-OPS	CR7	Co-ops Compliance	1		Annual Financial Statement
86	CO-OPS	CR6	Co-ops Conversion of a Co-ops to another kind of Co-op	1		
87	CO-OPS	CR1	Co-ops Co-op Conversion of a Company to a Co-operative	1		
88	CO-OPS	CR9	Co-ops Deregistration (Voluntary)	1		
89	CO-OPS		Co-ops Deregistration (Non Compliance)	1		Annual Financial Statements

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
			and by Court Order)			
90	CO-OPS	CR1	Co-ops Division of Co-operatives (Amalgamation Agreement)	1		
91	CO-OPS	CR9	Co-ops Liquidation of a Co-op (voluntary & by court order)	1		
92	CO-OPS	CR2	Co-ops Lodge a return relating to Directors	1		
93	CO-OPS	CR1; CR8; CR4	Co-ops Registration of a Co-operative (Primary, secondary, tertiary)	1		
94	CO-OPS	CR5	Co-ops Registration of a Co-operative name		1	
95	TRADE MARKS	TM2	TM Amendment of goods/services	1		
96	TRADE MARKS	TM2	TM Amendment of the Mark	1		
97	TRADE MARKS	TM1	TM Application to register a Trade Mark		1	Fully automated. Customers may choose to file manually
98	TRADE MARKS	TM6	TM Assignment of a Trade Mark	1		
99	TRADE MARKS	TM2	TM Association between Trade Marks	1		
100	TRADE MARKS	TM1	TM Bulk application to register Trade Mark (CUBA)		1	Fully automated. Customers may choose to file individually/manually

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
101	TRADE MARKS	TM2	TM Certified extract from the Register of Trade Marks	1		
102	TRADE MARKS	TM2	TM Change of address for service	1		
103	TRADE MARKS	TM2	TM Change of name of applicant	1		
104	TRADE MARKS	TM2	TM Change of physical address of applicant	1		
105	TRADE MARKS		TM Conduct a preliminary search		1	Fully automated
106	TRADE MARKS	TM2	TM Correction of clerical error	1		
107	TRADE MARKS	TM2	TM Dissolution of association	1		
108	TRADE MARKS		TM Maintenance Before - same as after	1		
109	TRADE MARKS		TM Opposition	1		Manual lodgement only (email and physical paper-based)
110	TRADE MARKS	TM7	TM Recordal of a registered user	1		
111	TRADE MARKS	TM5	TM Renewal of a Trade Mark		1	
112	TRADE MARKS	TM2	TM Request a special search	1		
113	TRADE MARKS	TM2	TM Request by applicant to enter an endorsement	1		
114	TRADE MARKS	TM2	TM Restoration of a Trade Mark	1		Manual lodgement only (email and physical paper-based)
115	TRADE MARKS		TM Certificates	1		

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
116	TRADE MARKS		TM Acceptance	1		Issuing of Notice of Acceptance automated
117	PATENTS		PT Advertising Design Applications on Patent Journal		1	
118	PATENTS	P12; P13	PT Amendment of complete specification	1		
119	PATENTS	P11	PT Amendment of provisional specification	1		
120	PATENTS	P4	PT Application by patent attorney who has been suspended or removed from register	1		
121	PATENTS	P1; P7; P8	PT Application for a patent with a complete specification		1	
122	PATENTS	P1; P6	PT Application for a patent with a provisional specification		1	Hybrid with back office intervention. Customers may file manually
123	PATENTS	P10	PT Application for extension of time to pay renewal fees	1		
124	PATENTS	P25	PT Application for PCT		1	Automated. Through WIPO (Attorneys). Can be filed manually
125	PATENTS		PT Application for perusal of file	1		
126	PATENTS	P20	PT Application for revocation	1		

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
127	PATENTS	P4	PT Application for revocation of independent patent and grant of patent of addition as independent patent	1		
128	PATENTS	P21	PT Application for voluntary surrender	1		
129	PATENTS	P4	PT Application of extension of time for acceptance of complete specification	1		
130	PATENTS	P4	PT Application to amend or lodge a fresh application	1		
131	PATENTS	P4	PT Application to extend period for publication of acceptance	1		
132	PATENTS	P4	PT Application to extend privileges of patent attorney	1		
133	PATENTS	P4	PT Application to rectify register	1		
134	PATENTS		PT Bulk application to register a Patent (CUBA)		1	Fully automated. Customers may choose to file manually
135	PATENTS	P4	PT Cancellation of notice of hypothecation	1		
136	PATENTS	P4	PT Change of address for service	1		
137	PATENTS	P4	PT Change of complete specification into provisional specification	1		
138	PATENTS	P4	PT Claim priority	1		

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
139	PATENTS	P4	PT Correction of clerical error	1		
140	PATENTS	P4	PT Endorsement or cancellation of endorsement	1		
141	PATENTS		PT Examination and acceptance	1		
142	PATENTS	P1	PT Late claiming priority	1		
143	PATENTS	P5; P8	PT Late lodgement of documents	1		
144	PATENTS	P19	PT Lodging opposition	1		
145	PATENTS	P22	PT Notice of future proceedings	1		
146	PATENTS	P10	PT Patent renewal	1		
147	PATENTS		PT Patent Restoration			
148	PATENTS	P4	PT Post-dating application	1		
149	PATENTS		PT Public Patent Search		1	
150	PATENTS	P17	PT Register as a patent customer or attorney	1		
151	PATENTS		PT Registration certificate	1		
152	PATENTS	P18	PT Removal from register as patent customer or attorney	1		
153	PATENTS	P14; P16	PT Supplementary disclosure in patent specification	1		
154	PATENTS		PT Patent Journal Downloads		1	
155	DESIGNS	D5	DS Addressing deficiencies in the application	1		

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
156	DESIGNS		DS Advertising Design Applications on Patent Journal		1	
157	DESIGNS		DS Application for copies of documents	1		
158	DESIGNS		DS Application for perusal of file	1		
159	DESIGNS	D5	DS Assignment of Design	1		
160	DESIGNS		DS Bulk application to register Designs (CUBA)		1	Fully automated. Customers may choose to file individually/manually
161	DESIGNS	D5	DS Change of name of applicant	1		
162	DESIGNS		DS Change of residential address or address for service	1		
163	DESIGNS		DS Correction of errors in wording	1		
164	DESIGNS		DS Correction of errors of representation	1		
165	DESIGNS		DS Examination and Acceptance	1		
166	DESIGNS	D1; D3; D6; D8	DS New design application		1	Automated. Customer can choose to file manually
167	DESIGNS		DS Registration certificate	1		
168	DESIGNS		DS Registration of a Design		1	
169	DESIGNS	D10	DS Renew a design	1		
170	DESIGNS		DS Restoration of a design	1		
171	COPYRIGHT & IP ENFORCEMENT		CIPE Assessment of complaint	1		

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
172	COPYRIGHT & IP ENFORCEMENT		CIPE Stakeholder training and capacity building	1		
173	COPYRIGHT		CR Accreditation of Collecting Society	1		
174	COPYRIGHT		CR Amendments of Films and Visual Recordings		1	Automated (hybrid). Customer can choose to file manually
175	COPYRIGHT		CR Bulk application to register Copyrights (CUBA)		1	Fully automated. Customers may choose to file individually/manually
176	COPYRIGHT		CR Copyright process		1	Automated (hybrid). Customer can choose to file manually
177	COPYRIGHT		CR Counter statement	1		
178	COPYRIGHT		CR Notice of opposition	1		
179	COPYRIGHT		CR Oppositions to Registration of Films and Visual CR Recordings	1		
180	COPYRIGHT	RF1; RF2; RF3; RF9	CR Registration of Films and Visual Recordings		1	Automated (hybrid) Customer can choose to file manually
181	OMBUD		OMBUD Investigate & resolve service delivery & administration complaints	1		
182	CLIENT SERVICES		CE Customer registration		1	Generic: all domains
183	CLIENT SERVICES		CE Password reset		1	Generic: all domains
184	CLIENT SERVICES		CE Customer transactions		1	Generic: all domains
185	CLIENT SERVICES		CE Document status		1	Generic: all domains

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
186	CLIENT SERVICES		Certificates and Disclosures		1	Generic: all domains
188	CLIENT SERVICES		Top up	1		Top up of balance in customer account. Interim solution until payment model is deployed to all processes
189	GENERIC ALL		Tracking/Indexing of Application	1	1	Related to online, and manual lodgements
190	GENERIC ALL		Disclosure Application for perusal of file	1		Request via email or telephonically
191	GENERIC ALL		Disclosure Application for copies of documents		1	Request via email or telephonically
192	GENERIC ALL		QRS: Enterprise enquiry		1	
193	GENERIC ALL		Supplier Invoice Tracking		1	
194	GENERIC ALL		Ceding of Individual Rights		1	
195	GENERIC ALL		Transacting on behalf of clients		1	
196	GENERIC ALL		Booking System		1	
				137	55	192

				71%	29%	
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