



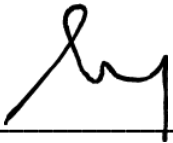

Companies and Intellectual
Property Commission

a member of **the dtic** group

CIPC SECOND QUARTER PERFORMANCE REPORT

2021/22

Approval of the Report

Endorsement Support by the Audit Committee	
I hereby support the endorsement of the report	
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Rank :	<u>AUDIT COMMITTEE CHAIRPERSON</u>
Date :	<u>29/10/2021</u>
Endorsement by the Accounting Authority	
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Name :	<u>Adv Rory Voller</u>
Rank :	<u>Commissioner</u>
Date :	<u>29 Oct 2021</u>

*** For the purpose of this Report:**

Accounting Officer means the person responsible for the daily operations of the entity, e.g. CEO
Accounting Authority means a person representing a body that provides oversight on the entity, e.g. Board/Tribunal Chairperson and/or Minister's direct Reportee e.g. Commissioner/ CEO

Acronyms

Abbreviation	Description
AFS	Annual Financial Statements
APP	Annual Performance Plan
BISG	Business Intelligent Services Group
CCRD	Consumer Corporate Regulation Division
CGSE	Corporate Governance Surveillance and Enforcement
CIPC	Companies and Intellectual Property Commission
EPMO	Enterprise Project Management Office
EPO	European Patent Office
FAS	Financial Accountability Supplements
ICT	Information and Communication Technology
IFRS	International Financial Reporting Standards
IP	Intellectual Property
IPAS	Industrial Property Automation System
JPO	Japanese Patent Office
MoU	Memorandum of Understanding
PEB	Patent Examination Board
QRS	Query Resolution System
SAPS	South African Police Service
SARS	South African Revenue Service
SDS	Service Delivery Standards
SMME	Small, Medium and Micro Enterprises
SSC	Self Service Centre
SSC	Shared Service Centre
SSE	Substantive Search and Examination
SST	Self Service Terminal
TAT	Turnaround time
the dtic	the Department of Trade, Industry and Competition
WIPO	World Intellectual Property Organization
WTO	World Trade Organisation
WSSS	WIPO Summer School South Africa
XBRL	eXtensible Business Reporting Language

Table of content

Acronyms	1
Table of content	2
List of Tables	4
List of Figures	4
1. Introduction	5
2. Situational Analysis	6
2.1 Service Delivery Environment	6
2.1.1 Service Delivery	6
2.1.2 Legal, Policy Support, and Outreach	16
2.1.3 Compliance Monitoring and Enforcement	18
2.1.4 Education and Awareness	32
2.1.5 Customer contact: Call Centre, QRS, and Social Media etc.	33
2.1.6 Disclosure	36
2.1.7 Channels	36
2.2 Organizational Environment	41
2.2.1 Governance and Compliance	41
2.2.2 Frameworks/Strategies	42
2.2.3 Appointments, Resignations, Retirements, Terminations	42
2.2.4 Discontinued activities / activities to be discontinued	43
2.2.5 New or proposed activities	43
2.2.6 Facilities and Security	43
2.2.7 Other matters	43
2.3 New Policy and Legislative Changes	43
3. Executive Summary	45
3.1 Key Highlights	45
A. Progress towards Impact Statements, Outcome and Outputs – Programme 1: Service Delivery and Access	45
B. Progress towards Impact Statements, Outcome and Outputs – Programme 2: Innovation and Creativity Promotion	45
C. Progress towards Impact Statements, Outcome and Outputs – Programme 3: Business Regulation and Reputation	46
3.2 Report on Joint Indicators	46
3.3 Media analysis/campaign/strategies	49

3.4 Investigations/Anticorruption cases	52
3.5 New challenges and risks identified in the quarter	56
4. Performance against the APP	57
4.1 Progress made against unachieved targets in the previous quarter	57
4.2 Progress made against current quarterly milestones	60
4.1.1 Programme 1: Service Delivery and Access	60
4.1.2 Programme 2: Innovation & Creativity Promotion	69
4.1.3 Programme 3: Business Regulation and Reputation	75
4.3 Joint Indicators Performance Table	80
5. Risk Management Report - Annexure C	103
6. Audit Report - Annexure D	107
6.1 Progress against Internal Audit Finding Matrix & Progress against AG/External Audit Finding Matrix	107
6.3 Progress made regarding Combined Assurance Plan	110
7. Financial Report - Annexure E	111
8. PFMA and TR compliance checklist - Annexure F	112

List of Tables

Table 1: Key Services – Volumes, Average TAT and SDS.....	6
Table 2: Annual Returns Filing – Quarter 1.....	18
Table 3: Annual Returns Filing – Quarter 2.....	19
Table 4: Business Rescue Statistics	20
Table 5: Business Rescue Statistics – Monthly Breakdown	21
Table 6: Annual Financial Statements.....	23
Table 7: Reportable Irregularities 2020/21.....	24
Table 8: High Profile Companies under Investigation.....	25
Table 9: Independent Review: Regulation 29	25
Table 10: Cold Case Matters	26
Table 11: Prospectus.....	27
Table 12: Statistics for cases	28
Table 13: Case Register & Allegations.....	29
Table 14: Customer Contact: Call centre, QRS, and Social Media	33
Table 15: Self Service Centers’ (Pretoria, Johannesburg and Cape Town) Traffic.....	35
Table 16: Paper Based Disclosure Production Stats	36
Table 17: State Department – Disclosure Billing Statistics	36
Table 18: CIPC Channels and services offered	37
Table 19: Partner sites	37
Table 20: Channels and Services Available 24/7.....	38
Table 21: Status of Policies as at 30 September 2021	41
Table 22: Status of Compliance – Declaration of Interest	41
Table 23: Appointments, Resignations, Retirements and Terminations.....	42
Table 24: Media Coverage Overview	51
Table 25: Number of allegations received	52
Table 26: Status of Open Cases.....	53
Table 27: Reporting Channels	54
Table 28: Nature of Cases	54
Table 29: Labour Relations Issues.....	55
Table 30: Risk Movement Dashboard	104
Table 31: Progress on the Implementation of Risk and Fraud Plan	105

List of Figures

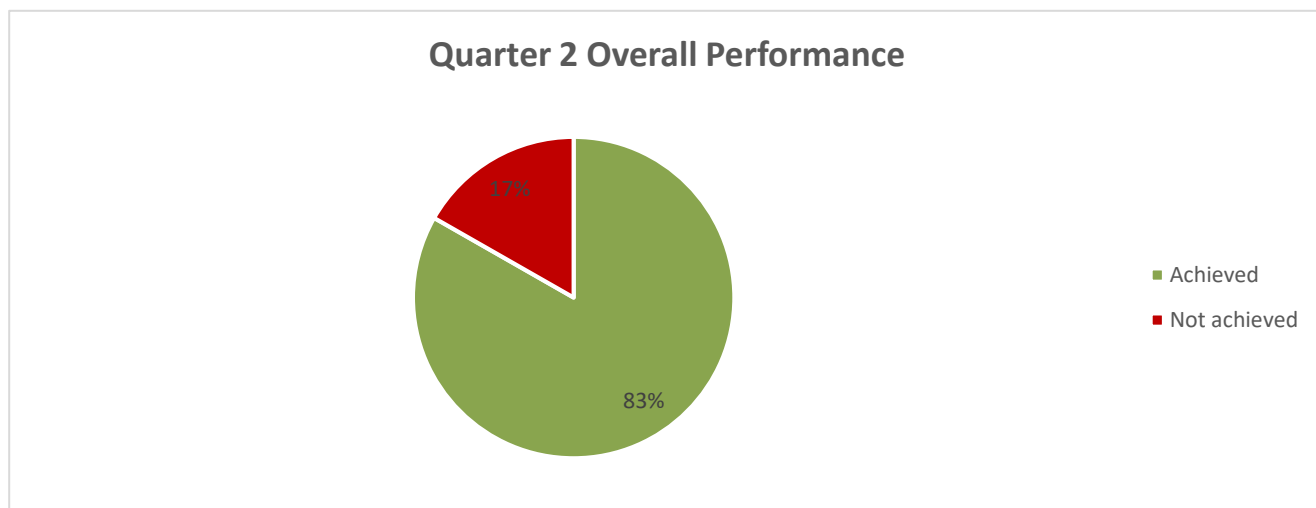
Figure 1: Overall KPI Performance	5
Figure 2: Programme Performance	5
Figure 3: Annual Returns Filing Comparison.....	19
Figure 4: Status of Business Rescue Proceedings Specifications – 2021-22	20
Figure 5: Strategic Risk Dashboard	103

1. Introduction

The purpose of this report is to outline the Companies and Intellectual Property Commission's (CIPC's) 2021/22 second quarter performance against its plans and targets, outlined in its Annual Performance Plan (APP) for the 2021/22 reporting period.

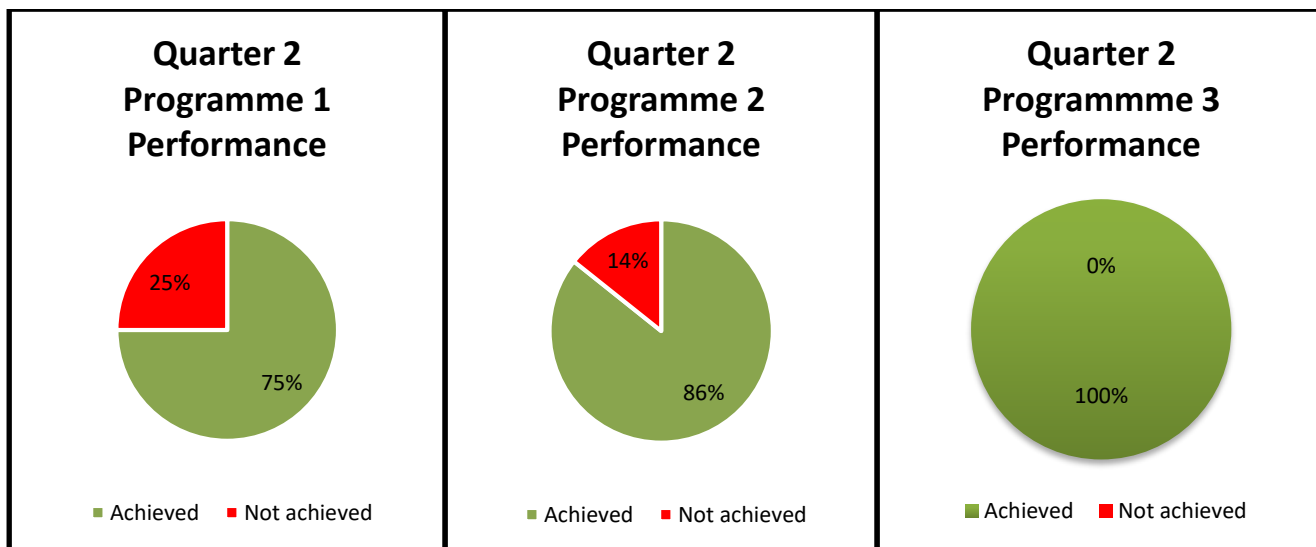
For the 2021/22 Quarter 2, 29 (83%) of the 35 targets were achieved.

Figure 1: Overall KPI Performance



For Programme 1, 14 (75%) all out of the 16 targets were achieved, for Programme 2, 12 (86%) of the 14 targets were achieved and for Programme 3, all five (100%) the targets were achieved.

Figure 2: Programme Performance



2. Situational Analysis

The situational analysis shows the impact of the external (service delivery environment) and internal (organizational environment) context on the CIPC services during the period under review.

2.1 Service Delivery Environment

The section present the demand for the CIPC services and discuss how this affected the CIPC.

2.1.1 Service Delivery


Table 1 shows the performance in key services in volume, average TAT, and percentage of transactions processed within the set SDS. Each of the key services are discussed thereafter.

Table 1: Key Services – Volumes, Average TAT and SDS

CIPC Services	Number /Average Turnaround Time (ATAT)	Quarter 1	Quarter 2
Patents applications	Number	2 363	2 822
	ATAT	2 days	2 days
	SDS (2 working days)	98%	98%
Patents registration certificates	Number	1 185	1 022
	ATAT	24 days	13 days
	SDS (44 working days)	91%	100%
Designs applications	Number	407	436
	ATAT	2 days	2 days
	SDS (2 working days)	98%	90%
Designs registration certificates	Number	369	250
	ATAT	37.85	17 days
	SDS (44 working days)	50%	100%
Copyright in film applications	Number	1	26
	ATAT	8 days	Less than 1 day (8 hours)
	SDS (1 working day)	0%	More than 100%
Copyright in film registrations	Number	1	Not applicable as there were no advertised applications
	ATAT	66 days	N/A
	SDS (22 working days)	0%	N/A
Trade marks applications	Number	10 504	10 774
	ATAT	2	2
	SDS (3 working days)	90%	97%
Trade marks registrations	Number	6 099	1 358
	ATAT	132 days (66+66 days)	132 (66+66 days)
	SDS (66 + 66 working days)	Not available	89%
Name reservations	Number	111 833	131 006
	ATAT	1 day	2 days
	SDS	99%	89%
Companies Registrations	Number	117 799	115 951

CIPC Services	Number/Average Turnaround Time (ATAT)	Quarter 1	Quarter 2
	ATAT	1 day	1 day
	SDS	97%	4%
Co-operatives Registrations	Number	1 149	1 535
	ATAT	2 days	1 day
	SDS (3 days)	91%	100%
Director Amendments	Number	43 067 (Electronic) 1 012 (Manual)	40 926 (Electronic) 1 045 (Manual)
	ATAT	3 days (Electronic) 3 days (Manual)	3 days (Electronic) 3 days (Manual)
	SDS	75%	96,5%
Member Amendments	Number	4 887 (Electronic) 2 495 (Manual)	4 436 (Electronic) 2 311 (Manual)
	ATAT	2 days (Electronic) 1 day (Manual)	1 days (Electronic) 2 day (Manual)
	SDS	92% (Electronic) 99% (Manual)	92% (Electronic) 95% (Manual)
Company Name Changes	Number	14 977	14 250
	ATAT	1 day	1 day
	SDS	100%	100%
Company Financial Year End Changes	Number	1 187	1
	ATAT	1 day	1 day
	SDS	100%	100%
Query Resolution	Number closed	37 092	43 287
	ATAT	5	5
	SDS	89%	93%
Facebook	Queries received	20 137	22 688
	ATAT	19 734	21 661
	SDS (24 hours)	98%	97%
Twitter	Queries received	7 471	7073
	ATAT	7 321	6 937
	SDS (24 hours)	98%	98%

Legend

 **Under 90% - SDS Performance Target**

(i) Patents and Designs

Quarter 1

Applications

The CIPC satisfactorily maintained and complied with the external SDS set for processing both patents and designs applications, despite the COVID-19 pandemic conditions in the 2021/22 Quarter 1. This is due to the high number of applications filed through the automated processes. Further, this shows that telecommuting as a strategy to mitigate challenges posed by the COVID-19 pandemic, is working.

The CIPC received 2 363 patents applications and 407 designs application during the 2021/22 Quarter 1. This is significantly higher than patent applications received in the same quarter last year (2075 applications were received in Quarter 1 of 2020/21), and slightly higher compared to last quarter (2020/21 Quarter 4 wherein 2254 applications were received) despite the COVID-19 pandemic conditions. As for design applications the number of applications received i.e. 407 is lower than those received in the same quarter last year (510 applications were received in quarter 1 of 2020/21), and higher compared to last quarter (2020/21 Quarter 4 – 350 design applications received). It would seem that the COVID-19 pandemic had negative effect to design applications.

The average turnaround time for patent applications was two (2) working days. Ninety-eight percent (98%) of transactions were processed within the set external SDS of two days (2). Two percent (2%) processed outside the SDS is attributed to manual applications and queries related thereto.

The average turnaround time for designs applications was two (2) working days. Ninety-eight percent (98%) of the applications were processed within the SDS of two (2) working days. The 2% processed outside the SDS is also attributed to the manual application queries.

Registrations

During 2021/22 Quarter 1, the CIPC issued 1 185 patents and 47 designs registration certificates, 91% of patent registration certificates and 50% of designs registration certificates were processed within the set SDS of 44 days at an average turnaround times of 24 days and 38 days respectively.

Renewals

During 2021/22 Quarter 1, the CIPC processed 1 868 designs renewals, and 87 % designs renewals were processed within the set external SDS of two (2) working days at an average turnaround times two (2) working days.

Quarter 2

Applications

The CIPC satisfactorily maintained and complied with the external SDS set for processing both patents and designs applications, despite the COVID-19 pandemic conditions in the 2021/22 Quarter 2.

The CIPC received 2 822 patents applications and 436 designs application in Quarter 2. This is significantly higher than patent applications received in the same quarter last year (2070 applications were received in Quarter 2 of 2020/21) despite the COVID-19 pandemic conditions. Furthermore 436 design applications were received in Quarter 2; this is significantly higher than the number of applications received in Quarter 2 of 2020/21 i.e. 391.

The average turnaround time for patent applications was two (2) working days. Ninety-eight percent (98%) of transactions were processed within the set external SDS of two days (2). Two percent (2%) processed outside the SDS is attributed to manual applications and queries related thereto. The average turnaround time for designs applications was two (2) working days. Ninety percent (90%) of the applications were processed within the SDS of two (2) working days. The 10% processed outside the SDS is also attributed to the manual application queries.

Registrations

During 2021/22 Quarter 2, the CIPC issued 1 022 patents and 436 designs registration certificates, 100% of both patent and designs registration certificates were processed within the set SDS of 44 days after publication on the Patents Journal at an average turnaround times of 13 days and 17 days respectively.

Renewals

During 2021/22 Quarter 2, the CIPC processed 2 184 designs renewals, and 61% designs renewals were processed within the set external SDS of two (2) working days at an average turnaround times two (2) working days. 10 792 Patent renewal applications were processed in Quarter 2.

(ii) Copyright in film

Quarter 1

Applications

Ten (10) applications were during this quarter, which is significantly higher than applications received in the same quarter last year (1), and slightly higher compared to last quarter (2020/21 Quarter 4), which was 7.

Out of the ten (10) copyright in film applications received, nine (9) were referred back as they did not meet the compliance requirements. This signaled lack of compliance by the applicants and the CIPC therefore sent explanatory notes to assist applicants to comply. The one (1) application was processed outside the set SDS due to Ptolemy system error. The CIPC continues to encourage applicants for file electronically to avoid delays because of manual inputs of applications into system, and therefore avoid system errors.

Registrations

One (1) copyright in film registration certificate was issued during 2021/22 Quarter 1, outside of the set external SDS of thirty (30) days after publication in the Patents Journal. This was because a new person processed the registration, and this person had yet to be fully trained.

Quarter 2

Applications

Twenty-six (26) film applications were received and all were processed within hours to meet the set SDS of two (2) working days.

Registrations

During the period under review, no copyright in film registrations certificates were issued.

(iii) Trade marks

Quarter 1

Applications

The CIPC received 10 504 trade marks application during 2021/22 Quarter 1. This is higher than trade marks applications received in the same quarter last year (2020/21 Quarter 1 – 8 111), and higher compared to last quarter (2020/21 Quarter 4 – 9 917). The average turnaround time for trade marks applications was two (2) working days. Ninety percent (90%) of transactions were processed within the set external SDS of three (3) working days.

Special searches

The CIPC received and processed 248 special searches during 2021/22 Quarter 1.

Registration certificates

The CIPC issued 6 099 trade marks registration certificates during 2021/22 Quarter 1.

Renewals

The CIPC processed 6 842 trade marks renewals during 2021/22 Quarter 1. This is higher than trade marks applications received in the same quarter last year (2020/21 Quarter 1 – 6 757), and higher compared to last quarter (2020/21 Quarter 4 – 6 397). The average turnaround time for processing trade mark renewals was 2 working days. Ninety percent (90%) of transactions were processed within the set external SDS of three (3) working days.

Quarter 2

Applications

1. Allocate official application numbers within 3 working days of applications having been received

July:

3,839 new applications processed

105 processed outside SDS

97,2% compliance

August:

3,419 new applications processed

136 processed outside SDS

96% compliance

September:

3,516 new applications received

65 processed outside SDS

97,1% compliance

Special searches

The CIPC received and processed 198 special searches during 2021/22 Quarter 2.

Registration certificates

Issue trade mark registration certificates within 66 days from expiry of statutory 3-month opposition period

July:

629 certificates issued

42 issued outside SDS

93.3% compliance

August:

693 certificates issued

74 issued outside SDS

89,3% compliance

September:

36 certificates issued

27 issued outside SDS

25% compliance

Renewals

Process renewal applications within 3 working days of receipt of the renewal

July:

1,819 renewals processed

37 processed outside SDS

97,9% compliance

August:

1,916 renewals processed

26 processed outside SDS

98,6% compliance

September:
1,796 renewals processed
31 processed outside SDS
98,2% compliance

(iv) Companies and Close Corporations (CCs)

Quarter 1

Compared with 2020/21 Quarter 1, most of the listed business processes indicates an increase in filings in 2021/22 Quarter 1. The main reason for the indicated increase is that during 2020/21 Quarter 1, the country (South Africa) was under National Lockdown Level 5 (April 2020) when only fully automated CIPC business processes were active. During this period, only essential service businesses were allowed to conduct business and the focus was therefore on conducting business affairs and not administration with regulators.

New company registrations (including company name reservations) and voluntary deregistration increased dramatically. The main reason for the increase in voluntary deregistration may be the closing down of businesses due to the current economic circumstances. Some businesses closed down, others converted to sole proprietors that has less regulatory and compliance obligations, or merged. The phenomenon of 'survivalist registrations' may have also contributed to the increase for new company registrations. Because economic conditions are worsening, and therefore economic recovery will take time, this increase is likely to continue.

Although some areas (such as CCs to companies conversions, external company registration, and location of company records) did not reach its target of 90% of the transactions processed within the set external SDS, their average turnaround times (TAT) was within the set SDS because so many filings being well within SDS. Poor performance in meeting SDS in some areas is because of teething problems (such as system crashes, application failures, correct set-up of equipment) with the implementation of the telecommuting strategy, and many staff taking accumulated leave days from the previous financial year before these are forfeited at the end of June 2021. As the CIPC staff gets stable with telecommuting the SDS and the average TAT will improve.

The CIPC registered 117 799 new companies during 2021/22 Quarter 1. This is slightly higher than the number of companies registered in the same quarter last year (106 332 companies were registered in Quarter 1 of 2020/21), and slightly lower compared to last quarter (2020/21 Quarter 4 wherein 132 487 companies were registered).

Quarter 2

Quarter 2 delivered mixed results in the achievement of Average Turnaround Times and Service delivery percentage due to the internal application and infrastructure availability challenges in August 2021 and September 2021. Since different processes were impacted in different ways, it is difficult to establish whether changes were due to such challenges or external environmental factors like the unrests in the country.

Overall, the achievements are as below:

- Approved Company Names Weighted Average: 2 days
- New Company Registrations Weighted Average: 1 day

Following services are fully automated and filing occurs instantaneously upon payment (if payment is required):

- Company and CC Annual Returns;
- Company Automated Name Changes;
- Company Automated Share Changes;
- Company and CC Financial Year End Changes;
- Company and CC Address Changes;
- New company registrations (short standard private company and short standard npc without members) via BizPortal, Banks, Self Service Terminal and Mobile App.
- Following e-mail services average TAT is less than 5 working days:
- MOI Amendment - JSE;
- MOI Amendments - email;
- Location of company records;
- Company and CC Voluntary deregistration (not final deregistration since such takes approximately 4 months);
- Company and CC Liquidations;
- Company and CC Re-instatements;
- Company and CC Commencement of Business Rescue Proceedings

(v) Co-operatives

Quarter 1

The impact of the COVID-19 pandemic on the co-operatives volumes and processing of the applications has been minimized through automation of processes and telecommuting. As a result we have reduced the turnaround times, maintaining the set external SDS to an average of 1 day.

The volumes have been more or less the same around +/- 1000 applications. Government incentives drive on cooperatives might have affected negatively the volumes of applications received because since the COVID-19 pandemic, government is currently prioritizing providing support to the existing enterprises, which had to close because of the lockdown restrictions, not the new and upcoming cooperatives. This may explain the why there is no increase in new co-operatives registration volumes. In addition, many co-operatives activities are in abeyance to reduce the spread of the COVID-19 pandemic.

Registrations

During 2021/22 Quarter 1, the CIPC registered 1023 primary co-operatives via K2 and 126 Secondary co-ops using legacy systems of which we processed 91% within the set external SDS of three (3) working days, at an average of two (2) working days. This is significantly higher than co-operatives registered in the same quarter last year (643), and significantly lower than in last quarter (2020/21 Quarter 4), which was 1 372. It is worth

noting that there were more than 6 000 co-operatives applications initiated but abandoned by clients, others cancelled.

Conversions

During 2021/22 Quarter 1, the CIPC received five (5) applications for conversions of which only three (3) met the requirements and therefore approved. We processed 99% of the three (3) within the set external SDS of seven (7) working days.

Amalgamations

There were no applications received for amalgamations.

Quarter 2

Registrations

We have registered 1 533 Primary Co-operatives within the average of one (1) day turnaround time, which increased by 480 applications from the previous quarter. The K2 system has greatly improved the processing efficiency. The rolling out other phases of K2 such as amendments, reporting etc. is greatly anticipated as it will result in efficiency improvements in these areas.

Conversions

We received six (6) applications for conversions and only two (2) complied and were processed.

Amalgamations

There were no amalgamations processed.

(vi) Directors, Members and Practitioners (DMP)

Quarter 1

CoR39's

During 2021/22 Quarter 1, the COVID-19 pandemic and Eskom load shedding impacted performance in the DMP area. Three (3) staff members had to isolate as they had been exposed to people who had tested positive to COVID-19. Eskom load shedding affected performance, because a majority of staff telecommute and therefore could not perform their duties whenever there was load shedding in their residential areas. However, the target of processing 90% of transactions within the set external SDS was met, except for *Electronical changes of directors* of which we processed only 75% within the set SDS.

The COVID-19 pandemic and Eskom load-shedding did not however impact the demand for DMP services (volumes) mainly because the DMP processes are automated, do not therefore need anyone to physically visit the office.

In addition to focusing on meeting the set SDS, the CIPC's focus is on maintaining quality standards. To achieve this, the use of third parties ('agents') to file amendments is discouraged, so that the CIPC eliminate filing of falsified information.

CK2's

With regards to Membership changes it is prudent to note upfront that Eservice applications received may include things that fall within the Companies and Close Corporations Unit because the form cannot be separated. We processed 4888 applications and 98% of them were processed within SDS whereas when it comes to manual applications we processed 2496 of which 85% was done within the SDS.

The period under review, we closed the office on numerous occasions due to Covid-19 cases as well as systems interruptions these affected all the DMP applications.

CoR44's

1474 manual applications were processed; 98% percent of these applications were done within the SDS.

Business Rescue Practitioners

Since the implementation of the K2 system, it has been easy to monitor the applications received and the processing is done within a day because of that. We had received a number of applications through Companies Tribunal in order to review our decisions with regards to classification of Business Rescue Practitioners when issuing licenses however, we have not lost any thus far as our decisions have either been upheld by the CT or the "Applicants" withdrew based on our replying affidavits.

Quarter 2

System challenges were experienced during the period under review, affecting productivity. We were however able to process all transactions within the set external service delivery standards. Automation of processes has resulted in improved turnaround times, e.g. change of directors registered within 24 hours.

We are focusing more on compliance, as a result, we have identified 912 Close Corporations (CCs) operating without Accounting Officers, as prescribed by the law. Letters were prepared to notify the CC's to remedy the situation and we will monitor the situation if the CC's concerned do not remedy the situation then we will escalate the matter for compliance notices to be issued.

(vii) Query Resolutions

Quarter 1

During 2021/22 Quarter 1, the CIPC received 38 561 queries through the query resolution system (QRS). We closed 37 092 queries, including those lodged in previous quarters. Of the closed queries, we closed 89% within the set external SDS of ten (10) working days, at an average TAT of five (5) working days.

Quarter 2

The number of queries received during Quarter 2 increased significantly to 45 585 in comparison to Quarter 1. The tickets closed during this quarter increased to 43 287. The percentage of tickets closed within the required SDS increased to 93% due to interventions like a meeting with the Management Committee (MANCO) to create awareness and address issues. The average TAT of closing tickets were 5 working days.

2.1.2 Legal, Policy Support, and Outreach

(i) IP Policy and Outreach

Quarter 1

Train of Trainer (ToT) Programme

The project ended off last financial year with the initiation of training for a pool of trainers. Over twenty-eight (28) individuals had indicated their interest and were then directed to complete the DL101 course, which was to end in June 2021 (2021/22 Quarter 1). To date, three (3) of the private candidates had successfully completed the course and the CIPC is awaiting the results from the majority of the group being the SEDA practitioners.

IP for SMME

During 2021/22 Quarter 1, the partnership with the Swiss Governments on IP for SMME project continued, and further included the South African Institute of IP Law (SAIPL) and Technology Innovation Agency (TIA). Engagements centered around understanding the scope of the project and agreeing on the approach for the implementation of the pre-determined deliverables on the IP SMME project.

IP BRICS

Engagements began during this quarter in preparation for the HIPO (Heads of IP offices) Annual Meeting (which will take place around 26 August 2021).

Quarter 2

Train of Trainer (ToT) Programme

On the Train of Trainer (ToT) Programme, one of the three (3) candidates has enrolled for the Summer School Programme, which allows them to complete DL450 as a prerequisite for the training accreditation.

IP for SMMEs

Engagements with the SWISS team (SSAIP project) continued resulting in an agreement on incorporating aspects of the IP for SMME project. The intervention for this year will be the development of a web based IP stakeholder map. To grow the pool of potential trainers (and increase IP awareness overall), engagements with TIA is in progress.

CIPC participates in the 13th BRICS Heads of IP Offices Meeting

On 26 August 2021, the CIPC participated in the 13th BRICS Heads of Intellectual Property (IP) Offices (HIPO) Meeting was hosted virtually by India. As an IP regulator in South Africa, the CIPC participates in the BRICS IP group, represented by the CIPC Commissioner and other IP senior managers. The IP work stream focuses on leveraging the BRICS HIPO strategic partnerships to advance IP policy goals; harmonising the IP environment, and supporting the overall BRICS objectives. Key decisions focussed on effective use of IP (IP for poverty alleviation) and effective use of digital technology.

With the CIPC currently enhancing their IT systems in addressing the challenges of the fourth industrial revolution and improving customer services, the review of the Patent Act, 1978 in conjunction with the implementation of Phase II of the National IP Policy, is well positioned to contribute to the growth of our nation's development.

(iii) Corporate Legal and Policy Support

Quarter 1

Acute monitoring of timeframes concerning response to subpoenas, implementation of court orders, and representation of the CIPC in court or at Companies Tribunal, is of the utmost importance. Strict adherence to such timelines was observed during 2021/22 Quarter 1.

The COVID-19 pandemic that the world is experiencing currently has continued to affect the country negatively. Concerning enforcement procedures, social distancing and rules about gatherings and interpersonal interaction has resulted in a decline of the CIPC representation at court and/or the Companies Tribunal. As a mitigating factor, however, many institutions such as the High Court (Pretoria) has implemented virtual representation, and the CIPC is able to give evidence, attend court proceedings and represent the CIPC in legal matters virtually.

Quarter 2

The first two (2) quarters of the current financial year saw the development and approval of a number of policies, which effects the way CIPC functions. Representing the CIPC in specific forums, such as Companies Tribunal and High Courts are on track and reaction to subpoena's and strict timelines have been optimum.

The most significant process / project undertaken during this time is the Implementation of the CIPC POPIA Compliance Framework. Significant work has been done in ensuring that the CIPC is 100% compliant in terms of the Protection of Personal Information Act requirements. The process is ongoing.

2.1.3 Compliance Monitoring and Enforcement

(i) Annual Returns

Quarter 1

The gross and in time filing rate of annual returns continued to increase regardless of the current economic and pandemic circumstances. This may be a result of combined efforts from several CIPC units (Corporate Education and Voluntary Compliance Unit, IP Education and Awareness Unit, IP Policy Support and Outreach, Corporate Enforcement and Surveillance Unit, and Corporate Compliance and Voluntary Disclosure) to increase awareness on compliance requirements such as annual returns filings. These activities include SMME engagement, webinars, investigations, and boardroom visits.

Table 2: Annual Returns Filing – Quarter 1

Description	06	07	08	10	12	21	23	30	Total
Total Filed @ June 2020	177	66775	2371	192	9	1427	34873	9	105833
Total Due @ June 2020	462	352834	11471	447	12	3948	95022	38	464234
Compliance Rate @ June 2020	38%	19%	21%	43%	75%	36%	37%	24%	23%
Total Filed @ June 2021	189	83556	3032	220	9	1685	37399	16	126106
Total Due @ June 2021	426	302331	9933	418	13	3829	85425	38	402413
Compliance Rate @ June 2021	44%	28%	31%	53%	69%	44%	44%	42%	31%

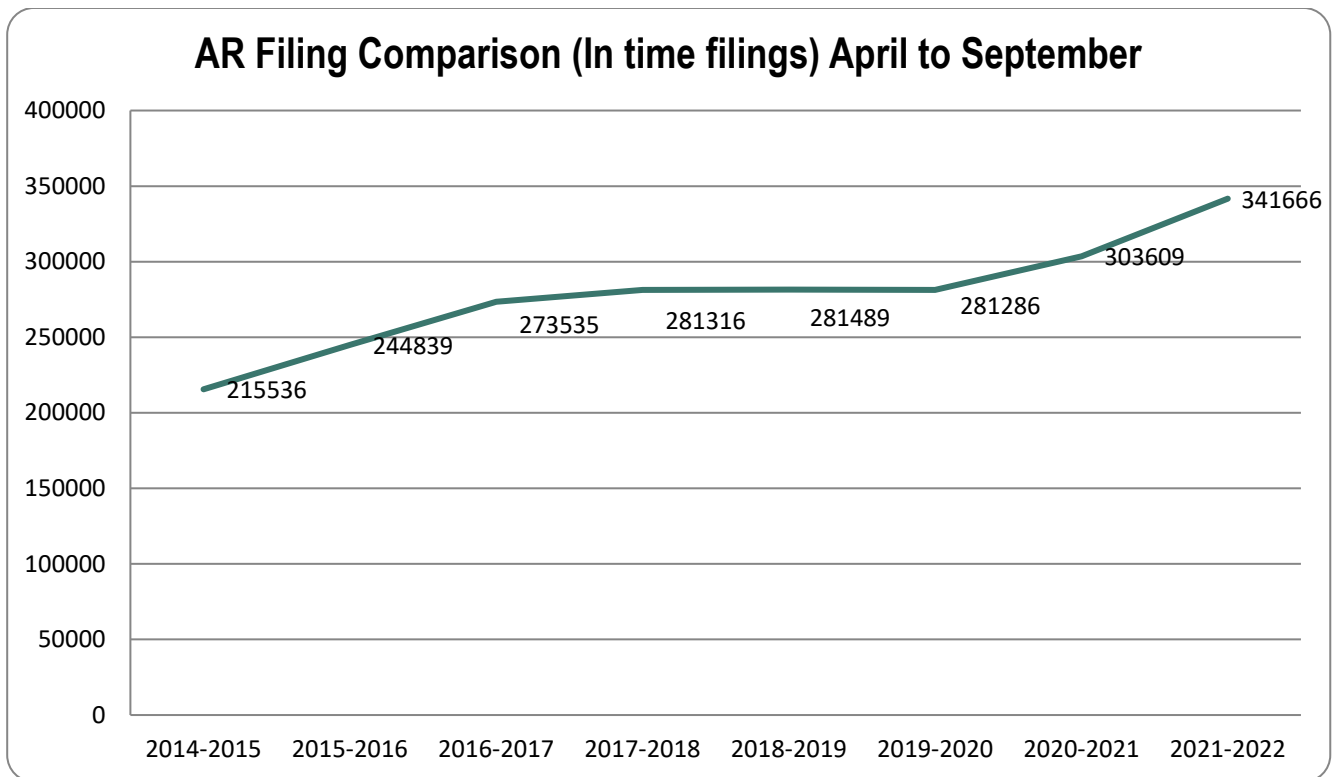
Quarter 2

The Level 4 and 5 National Lockdown in the 2020/21 Quarter 1, affected the volume of new company registrations negatively. However, during the Quarter 2 of the 2020/21, the volume subsequently picked up under Adjusted Lockdown Level 4 and then stabilised during quarter 3. This spike in new company registrations in Quarter 2 of 2020/2 therefore increased the volume of companies and close corporations with an active status, whom needs to file Annual Returns. There was also an increase of in time filings but such increase was not sufficient to maintain the compliance rate (expressed as %) and subsequently it decreased.

Table 3: Annual Returns Filing – Quarter 2

Description	06	07	08	10	12	21	23	30	Total
Total Filed @ September 2020	546	203028	6565	511	15	3928	89001	15	303609
Total Due @ September 2020	946	663748	21839	855	29	7712	176535	73	871737
Compliance Rate @ September 2020	58%	31%	30%	60%	52%	51%	50%	21%	35%
Total Filed @ September 2021	549	238898	8275	523	18	4488	88897	18	341666
Total Due @ September 2021	1035	920504	32344	987	37	9687	198345	91	1163030
Compliance Rate @ September 2021	53%	26%	26%	53%	49%	46%	45%	20%	29%

Figure 3: Annual Returns Filing Comparison



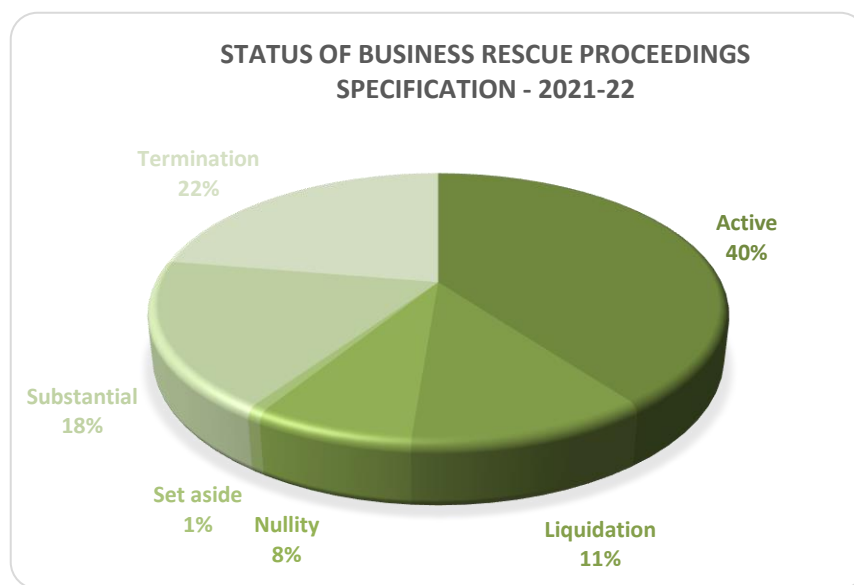
(ii) **Business Rescue**

Quarter 1

Table 4: Business Rescue Statistics

Count of Status of BR Proceedings	Status											Grand Total
	2011-2012	2012-2013	2013-2014	2014-2015	2015-2016	2016-2017	2017-2018	2018-2019	2019-2020	2020-2021	2021-2022	
Status of Proceedings												
Active	52	117	118	124	147	126	149	174	224	311	66	1608
Liquidation	58	64	70	73	73	49	32	19	17	5		460
Nullity	111	28	21	26	24	17	22	32	15	4	7	307
Set aside	2	5	6	4		2	2	5	2	1		29
Substantial	83	108	105	97	87	71	57	46	56	18		728
Termination	77	118	89	89	150	110	100	73	59	34	4	903
Grand Total	383	440	409	413	481	375	362	349	373	373	77	4035

Figure 4: Status of Business Rescue Proceedings Specifications – 2021-22



Quarter 2

There is a clear increase in the volume of the new business rescue proceedings matters for quarter 2 (106 matters) compared with the comparative period of 2020-2021 (96). All these matters are being received via the new automated Business Rescue Proceedings service via the CIPC New E-Services platform.

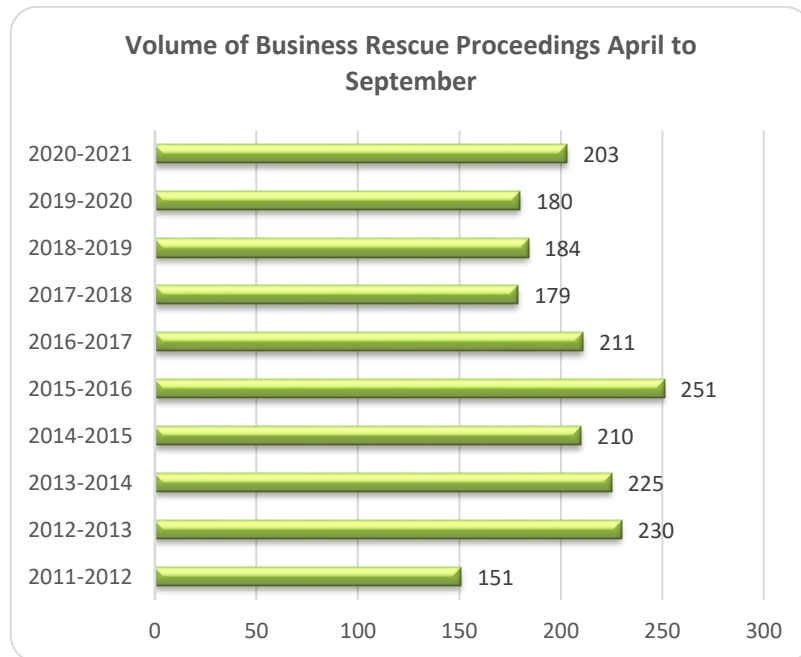
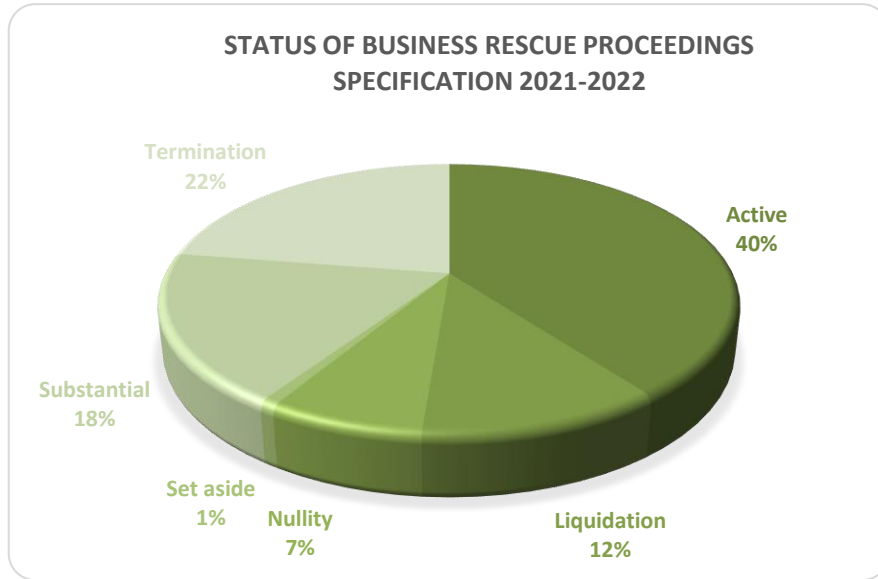
Table 4: Business Rescue Statistics

Status of Proceedings	2011-2012	2012-2013	2013-2014	2014-2015	2015-2016	2016-2017	2017-2018	2018-2019	2019-2020	2020-2021	2021-2022	Grand Total
Active	52	116	117	122	146	123	145	165	214	287	158	1645
Liquidation	58	65	70	73	73	49	33	24	21	8	4	478
Nullity	111	28	21	26	24	17	22	32	15	4	7	307
Set aside	2	5	6	4		3	2	5	2	2		31
Substantial	83	108	105	97	88	73	59	47	59	27	1	747
Termination	77	118	90	91	150	110	101	76	62	45	13	933
Grand Total	383	440	409	413	481	375	362	349	373	373	183	4141

Table 5: Business Rescue Statistics – Monthly Breakdown

Count of Month Year/Month	Column Labels												Grand Total
	April	May	June	July	August	September	October	November	December	January	February	March	
2011-2012	2	7	27	16	33	66	21	35	48	60	39	29	383
2012-2013	32	44	23	21	57	53	46	49	18	18	37	42	440
2013-2014	31	44	34	43	44	29	47	28	9	36	34	30	409
2014-2015	23	34	33	31	54	35	43	34	25	28	24	49	413
2015-2016	40	32	22	67	55	35	57	51	16	20	47	39	481
2016-2017	27	40	35	39	41	29	33	33	21	19	28	30	375
2017-2018	16	27	42	26	33	35	32	46	19	25	31	30	362
2018-2019	18	41	27	39	29	30	22	18	20	26	48	31	349
2019-2020	28	26	33	35	27	31	36	29	11	26	47	44	373
2020-2021	18	59	30	44	16	36	30	33	14	30	30	33	373
2021-2022	20	38	18	18	37	51	1						183
Grand Total	255	392	324	379	426	430	368	356	201	288	365	357	4141

Figure 4: Status of Business Rescue Proceedings Specifications – 2021-22



(iii) Corporate Compliance and Disclosure Regulation

Quarter 1

During 2021/22 Quarter 1, the CIPC continued to monitor compliance and disclosure according to the provisions of the Companies Act, 2008 (Act No. 71 of 2008).

Reportable Irregularities (RI) arising from Independent Review of Financial Statements

There is a slight decrease in terms of closed cases in this regard and this is due to incomplete contact information on the submitted reports. Investigators make all efforts to follow through on the RI's relating to Independently Reviewed Annual Financial Statements (AFS).

Table 6: Annual Financial Statements

Statistics	Description
Quarter 1	
4059	Annual Financial statements received
199	Annual financial statements reviewed
	Pro-active investigations
Quarter 2	
4286	Annual Financial statements received
180	Annual financial statements reviewed
179	Pro-active investigations

Quarter 1

The volumes received demonstrates compliance by industry to our requirements for filing of AFS and the commitment by the reviewers to monitor compliance of AFS with IFRS and Companies Act.

The COVID-19 pandemic did have an impact on the volumes, many companies have not yet had their financial statements audited, that affects filing volumes. LSSA raised objections against our issuance of a notice demanding inclusion of Section 4 statements in the AFS of companies as well as objections to the filing of AFS by "Incorporated" Companies.

A formal meeting with Law Society of South Africa (LSSA) was held to deal with their objections; one on Section 4 of the Companies Act, 2008, was not approved by the CIPC, the one on AFS Filings by incorporated companies, the CIPC committed to make further follow up to review the notice.

XBRL Taxonomy Developments

The CIPC, through a representative, participated in a meeting with the International Taxonomy Consultative Group. Four matters were discussed, i.e.:

- (i) Request for Information Third Agenda Consultation
- (ii) Digital reporting implications for the Exposure Draft Disclosure Requirements in IFRS Standards—A Pilot Approach
- (iii) IFRS Taxonomy content—tagging implicitly reported concepts
- (iv) IFRS Taxonomy content—tagging comparative information reported in accordance with a superseded IFRS Standard

None of the above agenda items affects the CIPC XBRL taxonomy in the short or medium term.

Quarter 2

Taxonomy rollout for 2021 as planned for 01 October was successfully rolled out for GRAP Reporting entities and IFRS Standards as published on 31 March 2021. Communique was published internally and externally to all our stakeholders about the progress of XBRL in CIPC as it was celebrating three (3) year anniversary on 01 July 2021. CFO Enterprises and SAICA published formal articles from CIPC on the current developments and progress CIPC is making regarding its XBRL Project.

As on 30 September 2021, the following filing statistics were observed:

- Total number of filings since implementation of XBRL = 43 458
- Total number of unique filings since inception of XBRL = 23 624
- Total number of filings for Q2 = 4 289

Reported irregularities

Table 7: Reportable Irregularities 2020/21

	Q1	Q2
Opening Balance	313	321
Cases Received	20	33
Closed Cases	12	71
Closing Balance	321	283

Quarter 1

The volumes of Reportable Irregularities received shows a downward trend. COVID-19 may be having either a positive or negative impact in terms of governance. Notable RI's received came from Cell C Ltd and Cell C Service provider (Pty) Ltd and relates to the procurement process of a service provider to deal with SARS payments.

The COVID-19 impact on businesses cannot be ruled out, accounting records keeping and inability to conduct audits by Auditors. The instability in IRBA and therefore low capacity could also be a factor in terms of processing of RI's from Auditors.

Quarter 2

A higher number of closed cases was achieved during Quarter 2, the team resolved to prioritize long outstanding matters. Cases were followed with compliance notices and in some instances, closed, due to lack of interest from the parties in pursuing the matters further. Five (5) matters during the quarter were handled proactively, including a referral from another regulator, demonstrating the commitment to collaborations in the regulatory space.

High Profile Companies under Investigation

Table 8: High Profile Companies under Investigation

High Impact Cases
Quarter 1
South African Post Office SOC
Communicare NPC
Denel SOC
Attacq td
Quarter 2
Cipla Medpro South Africa
Medpro Pharmaceutica

Quarter 1

Four (4) high profile companies were dealt with.

Quarter 2

Cipla Medpro South Africa and Medpro Pharmaceutica are some of the entities being followed up pro-actively. On 06 August 2021, IRBA provided a workshop on the amendment of the Auditing Profession Act to the relevant CIPC officials.

Independent Review: Regulation 29

Table 9: Independent Review: Regulation 29

	Q1	Q2
<i>Opening Balance</i>	159	192
<i>Allocated</i>	51	53
<i>Total Closed</i>	18	105
<i>Closing Balance</i>	192	140

Cold cases

Table 10: Cold Case Matters

Administrative fine	Q1	Q2
Opening balance	22	22
Order granted	4	4
Settlement order/offer	2	2
opposed	4	4
Removed from the list	1	1
Currently in court/set down	5	5
Closing balance	6	6

Quarter 1

Due to the effect of the COVID-19, we have noted a slow movement of matters referred to the office of the State Attorney and as such, it is not possible to comment on the overall compliance with regard to compliance activities save to say for a single matter that was finalized during this period. No administrative fines were issued during Quarter 1. On the matters whereby an order has been granted a forensic accountant has to be appointed in order to determine the exact administrative fine that the company has to pay. The State Attorney is facilitating this process.

COVID-19 and tough economic conditions continues to have an impact on the industry. This is evident on the lack of matters before court through the office of the State Attorney.

The Belgacom International Carriers SA (Pty) Ltd has paid the administrative fine as per the settlement agreement order.

Quarter 2

The COVID-19 conditions continues to affect action from the side of the State Attorney on matters that CIPC referred to them. Another factor cited by the State Attorney includes amongst other things their internal ICT systems, which were not functional for the month of September; hence, matters could not be reconciled nor scheduled for further action the status quo remains in this matter.

Prospectuses

Quarter 1

Table 11: Prospectus

COMPANY NAME	PROSPECTUS	FINAL PROSPECTUS	CURRENT STATUS
Quarter 1			
KALON VENTURE PARTNERS FUND II	APRIL	REGISTERED	REGISTERED
POLO FIELDS EP7	APRIL	REGISTERED	REGISTERED
DESTINATA CAPITAL	APRIL	REGISTERED	REGISTERED
GAIA VENTURE CAPITAL	APRIL	REGISTERED	REGISTERED
EUPHORIC CAPITAL	APRIL	PENDING	PENDING
NORTHAM PLATINUM HOLDINGS	APRIL	REGISTERED	REGISTERED
ANUVA PRIVATE EQUITY	APRIL	REGISTERED	REGISTERED
EXCHANGE LOFTS EP6	MAY	REGISTERED	REGISTERED
AP GLOBAL INVESTMENTS	MAY	REGISTERED	REGISTERED
AP GLOBAL INVESTMENTS	MAY	REGISTERED	REGISTERED
OPTOMISE VENTURES	MAY	REGISTERED	REGISTERED
ORA CAPITAL	MAY	REGISTERED	REGISTERED
WESTBROOKE STAC 2021	MAY	REGISTERED	REGISTERED
WESTBROOK ARIA 2022	MAY	REGISTERED	REGISTERED
DECENTRAL ENERGY CAPITAL	MAY	REGISTERED	REGISTERED
ERIDANUS VC1	MAY	PENDING	PENDING
12 CAPE	MAY	REGISTERED	REGISTERED
GROUNDSTONE CAPITAL	MAY	PENDING	PENDING
INTERNATIONAL TITANS BASKET	MAY	PENDING	PENDING
OLIVE VENTURE CAPITAL	MAY	REGISTERED	REGISTERED
EXPONENTIAL VENTURE CAPITAL	JUNE	REGISTERED	REGISTERED
MONROE EP8	JUNE	REGISTERED	REGISTERED
PERSEUS VC1	JUNE	PENDING	PENDING
HASANAAT CAPITAL	JUNE	REGISTERED	REGISTERED
CAPITALE STUDENT HOUSING FUND	JUNE	PENDING	PENDING
DELTA VC1	JUNE	REGISTERED	REGISTERED

Quarter 2

COMPANY NAME	PROSPECTUS	FINAL PROSPECTUS	CURRENT STATUS
Quarter 2			
JALTECH DIGITAL ASSET HOLDINGS LIMITED(RF)	FINAL	REGISTERED	REGISTERED
WESTBROOKE YIELD PLUS PLC 2-3-1	FINAL	REGISTERED	REGISTERED
BALLITO GROVES EP 10 LIMITED	SUPPLEMENT	REGISTERED	REGISTERED
ATHENA EDUCATION (IOM) PLC 2-3-1	FINAL	REGISTERED	REGISTERED
MONROE EP 8 LIMITED	SUPPLEMENT	REGISTERED	REGISTERED
SEA POINT FOUR 11	DRAFT	PENDING	PENDING FINAL
CROWDPROP	DRAFT	PENDING	PENDING FINAL

(v) Corporate Governance, Surveillance and Enforcement

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

Table 12: Statistics for cases

	Case intake (Received)	Escalated (Appointments)	Closed	Open
Q1	122	16	60	46
Q2	180	24	81	75

Quarter 1

Out of the 122 cases received, 60 cases were closed within the set requirements, thus representing 49%. The trends emerging in the quarter under review are the following:

ALLEGATIONS AND/OR SPECIFIC SECTION (S) OF THE ACT CONTRAVENED

- Company hijacking (resignation/ removal of directors – Sections 70, 70 (6) and 71 of the Companies Act, 2008 including fraud and process issues in terms of CoR39, director amendments;
- Breach of contract (including contractual dispute regarding unpaid salaries)
- Memorandum of Incorporation (MOI) dispute among directors, refusing to incorporate new clauses.

There is an increase in company hijackings. This will be dealt with in monthly meetings.

Quarter 2

Table 13: Case Register & Allegations

ALLEGATIONS / CONTRAVENTIONS	April	May	June	July	August	September
Vacant on Board/ Resignation of directors S70, S70 (6) and Removal of directors S71 including process issues in terms of CoR39, director amendments	12	16	10	5	5	11
Home owners Association, NPO	3	2	1	0	0	1
MOI dispute among directors	6	4		0	2	2
Failure to hold AGM	2	2	6	2	3	1
S26 Disclosure of company documents	4	3	4	6	3	4
Breach of contract dispute	12	8	4	3	9	6
Liquidation matter	1	0	0	0	2	0
S160 (2) (b) Name dispute/correct address/	3	3	3	0	3	3
180 TOTAL	43	38	28	16	27	28

The CIPC has made application to court to impose the fine in a case **CIPC v JCI Limited** where the Compliance Notices were not complied. There are further seven (7) requirements needed in respect of Section 175 (2) that a judge will require from the applicant (CIPC) to determine an appropriate fine. Media Statement Court ruling on JCI Ltd: Court Order was granted in favour of CIPC against JCI Ltd.

(vi) IP Enforcement

Quarter 1

The CIPC through various frontline activities is playing a key role in the war against counterfeits. The protection of IP Rights is key in driving the protection of goods as well as aligning authorities, manufacturers and suppliers to do the same. COVID-19 has changed the ways of working for professionals combating illicit trade. Active participation and sharing of lessons learn, not only nationally, but also on an international level, led to increasing public-private and cross-sector, collaboration.

Finding the positive aspect is tough during the times in which we find ourselves, but the impact of COVID-19 has led to closer collaboration in South Africa's fight against illicit trade. Collaboration and closer cooperation between different sectors, countries, and public and private institutions is key in our fight against counterfeit goods. While we have not won the war against illicit trade, the pandemic has widened the possibilities that exist through technology, allowing authorities to become more united in the fight against illicit trade.

Towards contributing to a greener environment, a project to upcycle confiscated counterfeit goods is underway. Given the challenges faced to destroy counterfeit goods in an environmentally friendly way, not only in South Africa but also in the rest of the World, the idea for an innovative project came to life. The project is designed to transform the counterfeit goods into useful items. Taking away the trade mark or any reference thereto and adding value through artistic effort. It is foreseen that the project will create opportunities for social entrepreneurs and create new jobs.

It is difficult to determine the exact cost that IP infringements have on the South Africa economy but through the new cellphone application called Accurate Reliable Stats (AJS) developed by CIPC, the lacuna will be addressed. This significant development will contribute greatly to limit the severe impact on consumers that are continuously misled by sub-standard and potentially harmful products and the loss of investment opportunities and subsequent job losses, due to the impact of the trade in counterfeit goods on a country.

Fast moving consumer goods became the focus and target area for counterfeiters. Authorities destroyed counterfeit goods and expired food confiscated from spaza shops mostly owned by foreign nationals. Concerns were raised that there were rising concerns of foodstuffs described as fake as well as harmful food colourants in some goods.

The role CIPC play in ensuring that law enforcement agencies active in the sector of the economy is fully capacity to deal effectively with counterfeit goods should be stressed. A training workshop to focus on a way forward to deal with buildings occupied and used to manufacture and sell counterfeit goods was held. A group of individuals that will form part of a task team was identified. The first meeting that was held in May served as a training workshop to enable us to build capacity within the team and to cross-pollinate the skill sets.

Quarter 2

To combat trade mark counterfeiting and copyright piracy

Professionals combatting illicit trade, in particular trade in counterfeit goods had to adapt to the new normal. The CIPC used Internet-based technology to combat online piracy and counterfeiting. This resulted in excellent inter-agency cooperation, which enabled sharing information on chat services that are easy accessible on a smartphone.

IP right-holders responded quickly and this led to the successful seizure of counterfeit goods. Counterfeit brands i.e. Adidas, Nike, New Balance, Puma and Converse, among many other brands, were seized. The SAPS, along with the Johannesburg Metro Police and SARS Customs Officials, led the operation. The respective brand holders were also present during the raids.

Education and Awareness

The focus during this quarter was to raise an awareness in tertiary students on the negative impact of counterfeit. A series of workshops were conducted for this purpose, in collaboration with UNISA, SEDA and the Durban University of Technology.

Six webinars focusing on the value of IP to entrepreneurs were conducted over a six-week period. 932 registrations were received. Themes for the training sessions included IP to Market, Access to Finance, and Respect for IP.

Two sessions were hosted for internal staff to increase their interest and awareness on IP rights. The training focused on *Counterfeit Goods a Hard Pill to Swallow* and *Cultivating your Cannabis IP- a topic to get high on*.

A Social Media awareness campaign was designed and used to keep consumers informed and warned about the dangers posed by counterfeit protective gear. It allowed awareness messages, such as the ones below, to be disseminated on various social media platforms.

Capacity Building and Training

The CIPC presented to the Online Dialogue of the WIPO Advisory Committee on Enforcement, and shared lessons that South African law enforcement agencies experienced over the past year. In this way, creative solutions were shared with an International audience. The paper focused on Using the Internet to Support Effective Intellectual Property Enforcement – Freeing up Capacity, Boosting Collaboration and Extending the Reach of Education and Awareness Activities.

The CIPC presented to the members of the Self Care Association of South Africa addressing their concerns and contributed to finding solutions to combat the scourge in online offers of unscheduled medications. A memorandum of understanding with the local online selling platforms are currently being negotiated to address the industry concerns and to protect consumers.

Upcycling of Counterfeit Goods

The usual destruction of counterfeit goods result in them being burned, shredded, or buried in landfill sites. This has a devastating effect on the environment. Given these challenges South Africa and countries all over the world face challenges on destroying counterfeit goods in an environmentally friendly way. An innovative project was thus designed to transform the counterfeit goods into useful items i.e. removing the trade mark and adding value through artistic effort.

Accurate Justified Statistics – a Cell Phone Application

Internet-based technology is used to unify record-keeping practices across enforcement agencies. Due to lack of accurate IP seizure data, it is difficult to determine the exact cost that IP infringements have on our economy. To address this, we are currently developing a new mobile phone application named Accurate Justifiable Stats (AJS). The application is in the testing phase and on completion will provide accurate statistical information and thus show the impact of counterfeiting.

2.1.4 Education and Awareness

(i) Corporate Education and Voluntary Compliance

Quarter 1

We hosted webinars on social media, as well as, participated upon invite from external stakeholders in webinars on Company and Co-operative Laws and processes. The volume of requests for CIPC participation decreased due to virtual. The unit also responded to Facebook queries from customers. The unit is busy with a process to have a director e-learning program developed.

Due to the COVID-19 pandemic that influenced the way the unit does education and awareness of customers and the public, as it could no longer host or participate in education and awareness events or provide CIPC -. A new platform was implemented with which CIPC can livestream webinars on social media (CIPC Facebook and YouTube). Working from home had an impact on the way staff within CIPC work and communicate with one another and the public. Load shedding also affected access to the systems while working from home.

With the new platform used to host webinars on social media, it appears that more members of the public view the webinars than before. As the webinars remain on social media, members of the public can view the webinars after it was live-streamed. However, viewing webinars is dependent on members of the public having internet connectivity in their area and funds for data. Some areas have very poor or no internet connectivity and many cannot afford to buy data.

The unit previously used MS Teams as a platform for webinars, but it created a problem with the limited number of persons that could attend webinars. CIPC implemented a new platform during this quarter, which live-stream webinars on social media. The platform does not have a limit to number of persons that can attend the webinars. Through this platform, the unit successfully hosted a Companies Act 10 Year Celebration webinar. Professor Mangalo was the key-speaker at the webinar to reflect on the corporate law journey.

Quarter 2

We hosted and participated on invite from stakeholders in education and awareness events. More government departments and organisations, as well as, the dtic stakeholders requested CIPC participation in webinars. A wider audience was reached with livestreamed webinars. Seven (7) modules were completed and tested for the Director e-learning programme. The launch of this e-learning platform was launched on 18 October 2021.

(ii) IP Education and Awareness

Quarter 1

During 2021/22 Quarter 1, eleven (11) IP education and awareness events were held. The first quarter of the year has always displayed positive results as stakeholders respond better. The threats posed by online sessions is unaffordability of data by some of the stakeholders and this problem was flagged in the last financial year. The WIPO SA IP Summer School was held for through the virtual platform for the first time, successfully. The World IP Day Celebrations also took place in April 2021 where CIPC held talks on community radios.

Quarter 2

During this reporting period 2021 / 22 Quarter 2, we at least held thirteen (13) IP virtual sessions. We targeted the audience/sectors, which were not previously engaged, a group of black attorneys, young IT entrepreneurs and group of entrepreneurs from rural Kwaggafontein in Mpumalanga.

2.1.5 Customer contact: Call Centre, QRS, and Social Media etc.

(i) Client Engagement and E-communication

Table 10: Customer Contact: Call centre, QRS, and Social Media shows overall performance of the customer contact platforms.

Table 14: Customer Contact: Call centre, QRS, and Social Media

Platform	Number	Quarter 1	Quarter 2
Call centre	Calls received	28 580	26 255
	Calls answered (%)	Not determinable	Not determinable
Query Resolution System	Queries received	38 561	45 585
	Queries closed	37 092	43 287
	Queries closed within 10 days	33 144 (89%)	39 938 (93%)
Facebook	Queries received	20 137	22688
	Queries resolved (%)	98%	97%
Twitter	Queries received	7 471	7073
	Queries resolved (%)	98%	98%

Quarter 1

The call centre answered 28 580 calls during this quarter.

The CIPC received 38 561 queries via the Query Resolution System (QRS) in this quarter, and closed 37 092 queries. It took an average of 5.2 days to close a query. Most queries received, were relating to manual updating of customer details/password reset, allocation of funds and paper based disclosure requests.

The overall performance from the perspective of customers for social media management has been positive for 2021/22 Quarter 1. The e-communication satisfaction survey conducted reveals that customers are 83% satisfied with the services provided through social media. Moreover, Facebook queries resolved amount to 91.8%, of which 98% were responded to with 24 hours above the set target. However, Twitter query resolution is sitting at 49.7%, of which 98% were responded to within 24 hours. The latter may be attributed to the fact that not all Twitter incoming messages need a response.

The call centre agents work from home, as the COVID-19 pandemic still has a significant impact on the way of work, and this has affected the performance and monitoring systems in a somewhat negative way. In terms of social media we have seen the benefits of working from home as staff are able to perform their duties even at night and during weekends, as the social media environment requires an immediate response all the time

The call centre is currently using a call forwarding system, which does not necessarily achieve optimal performance, as there is no virtual queue where customers can wait for the next available agent. We are in the process of procuring a cloud based contact centre system, which will improve the process.

Quarter 2

The call centre answered 26 255 calls during this quarter. It is less than the previous quarter, as some days the call centre could not receive calls due to system challenges (5 August and 15 to 17 Sep 2021), resulting in less working days.

The CIPC received 45 484 queries via the Query Resolution System (QRS) in this quarter, and closed 43 287 queries. The number of enquiries received from customers, and resolved by the staff, increased in comparison to quarter one. It took an average of 5 days to close a query. Most queries received, were relating to manual updating of customer details/password reset, allocation of funds and paper based disclosure requests.

The call centre is currently using a call forwarding system, which is affecting performance, as there is no virtual queue where customers can wait for the next available agent. The procurement of the cloud based contact centre system is still ongoing.

The response rate for Facebook queries has improved by 3.62% compared to quarter 01 performance. Similarly, the number of incoming messages has also increased for the current quarter. However, Twitter response rate has regressed by 5.21% compared to quarter 01 performance. Also, the number of incoming Twitter queries slightly decreased for the period under review. The management of social media is currently managed through the social media tool, and other staff members manage social media directly from Twitter and Facebook respectively to due limited licenses. A new tool will be procured towards the end of the current financial year to streamline the overall social media management effort.

(ii) Service centres

Table 15: Self Service Centers' (Pretoria, Johannesburg and Cape Town) Traffic

	Quarter 1				Quarter 2			
	Pretoria	Johannesburg	Cape Town	TOTAL	Pretoria	Johannesburg	Cape Town	TOTAL
Company Registrations	1532	2338	2994	6864	967	1686	2000	4653
Create Customer Codes	2357	2847	3187	8391	1478	1045	2194	4717
Re-set Password	2474	1206	2961	6641	1547	537	1915	3999
Name Reservations	265	1157	2801	4223	138	451	1816	2405
Annual Returns	2167	3388	3160	8715	1192	2339	2028	5559
IP	442	520	197	1159	293	385	148	826
Director Amendments	671	632	351	1654	513	262	252	1027
Member Amendments	122	128	109	359	81	107	75	263
Auditor & ACC Officers	0	0	0	0	0	0	0	0
CO & CC address	473	97	13	583	377	81	6	464
Cert and Disc	1928	665	921	3514	1496	794	554	2844
Ent Enquiry	1736	1289	1330	4355	1607	753	818	3178
Name Change	99	186	179	464	152	84	121	357
Name Transfer	90	5	35	130	0	25	21	46
Customer Transactions	1481	0	0	1481	1132	223	0	1355
General/Other	2004	1849	2453	6306	1349	996	1554	3899
Walk-in's	17842	16307	20661	54810	19023	9768	13472	42263

Quarter 1

There has been a significant increase in the number of transactions (54 810) compared to the previous quarter (31 604).

Although a number of our customers still prefer human interaction, we have an opportunity to increase electronic transacting and develop other channels to replace human interaction and still satisfy customer requirements.

The COVID-19 pandemic has affected our self-service terminal customers who are served through partnerships mainly with the provincial economic development entities. Some of these entities have not been operating optimally due to the pandemic, so our electronic channels have played a major role in keeping our momentum going.

Quarter 2

Transactions for Quarter 2 decreased as compared to Quarter 1. There were a number of technical disruptions, which might have contributed to the decline in customer transactions. Our partners, mostly provincial economic development government agencies, are still recovering from the disruptions emanating from Covid-19.

2.1.6 Disclosure

Table 16: Paper Based Disclosure Production Stats

	Q1	Q2
Disclosure Request received	3916	4184
Disclosure Request Completed	3826	4537
Disclosure Transaction Billed	2646	2355
Escalated tickets resolved by Managers	575	0

Quarter 2

The disclosure team still come to the office three (3) times per week, as they are unable to work from home due to the nature of the disclosure work. The file transition project of moving files from the previous storage warehouse (Iron Mountain) to a new storage warehouse (AGS) has affected negatively to service delivery to the clients. Despite the unavailability of files, the unit continued to render service to the clients by responding to the disclosure requests.

The Post Office tax non-compliance issue created backlog within the unit as no mail was collected by Post Office from April until August 2021. This created backlogs not only for the unit but also for business and increased number of calls at the Call Centre. The purchase order for the new South African Post Office was issued on 6 September and the total backlog post was 11 086 collected on 14 September. Everything within mailroom now run smoothly and no backlog thus far.

The State department has experienced high number of requests, despite the unavailability of files the team of three strive hard to render the service. Resource constraints is a biggest challenge within the unit.

Table 17: State Department – Disclosure Billing Statistics

	Q1	Q2
Disclosure Request Received	1650	2477
Disclosure Request Outstanding	496	379

2.1.7 Channels

The CIPC multi-channels strategy seeks to extend the CIPC footprint nationally and globally by the development and expansion of multiple channels, more so for virtual channels.

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) I,

Mobile App, the call center, the resolution system (QRS), USSD, as well as social media (Facebook, Twitter, YouTube and WhatsApp). **Table 14: CIPC Channels** show services offered in each channel.

Table 18: CIPC Channels and services offered

Services/Channels	E-service Website	SSCs and Partner Sites (SSTs)	Banks (FNB, Nedbank, ABSA)	BIZPORTAL
Integrated services (SARS, UIF, Compensation Fund, Banks Acc, BEE Cert)	No	Yes – BBBE certificate	Yes – company registration and business bank account	Yes
Patents applications	Yes	No	No	No
Designs applications	Yes	No	No	No
Copyright in film	Yes	No	No	No
Trade marks applications	Yes	No	No	No
Name reservations	Yes	Yes	Yes	Yes
Companies registration	Yes	Yes	Private company registration only	Yes
Co-operatives Registrations	No	No	No	No
Domain Name Registrations	Yes	No	No	Yes
Director Amendments	Yes	Yes	No	No
Member Amendments	Yes	Yes	No	No
Auditor Changes	Yes	Yes	No	No
Name changes	Yes	Yes	No	Yes
address changes	Yes	Yes	No	Yes
Financial Year End Changes	Yes	Yes	No	No
Enterprise enquiry	Yes	Yes	No	No
Disclosures	Yes	Yes	No	No
BBBEE Certificates	Yes	Yes	Yes – Only Nedbank	Yes
Disclosures- MOI Documents	Yes	Yes	No	No
Disclosures -Approved names	Yes	Yes	No	No
Queries	No	No	No	No
Information access	Yes	Yes	Yes	Yes
Annual Returns filing	Yes	Yes	No	Yes
AFS filing	Yes – XBRL portal	No	No	No

Table 15: Partner Sites show the CIPC partner sites where self-service terminals (SSTs) are hosted:

Table 19: Partner sites

Province	Partner
Gauteng	Gauteng Department of Economic Development (GDED)
Gauteng	InvestSA Gauteng Growth and Development Agency (GCDA)
Gauteng	Transnet Enterprise Development Hub in Johannesburg,
North West	North West Development Corporation (NWDC),
North West	Orbit TVET College in Rustenburg
KwaZulu-Natal	Trade and Investment KwaZulu-Natal (TIKZN),
KwaZulu-Natal	KwaZulu-Natal Department of Economic Development, Tourism and Environmental Affairs (KZN DEDTE)
KwaZulu-Natal	Transnet Mega Hub in Richards Bay
Western Cape	West Coast Business Development Centre (WCBDC),
Western Cape	InvestSA in the Western Cape
Northern Cape	Northern Cape Department of Economic Development and Tourism (NEDT)

Province	Partner
Free State	Free State Development Corporation(FDC)
Limpopo	Limpopo Economic Development Agency (LEDA)
Mpumalanga	Mpumalanga Department of Economic Development and Tourism (MDEDT)
Eastern Cape	Eastern Cape Department of Economic Development, Environmental Affairs and Tourism (DEDEAT).

The multi-channels strategy is geared towards availing the CIPC products and services 24/7. **Table 16: Channels and Services Available 24/7** shows the CIPC channels and service available 24/7 as at 30 June 2021.

Table 20: Channels and Services Available 24/7

Channels available 24/7	Services available 24/7per channel
1. CIPC Website	Company registration Company name reservation Company and close corporation address changes Company and close corporation financial year end changes Company name change Company share change Annual Returns Domain name registrations BB-BEE certificate XBRL Filing
2. CIPC Mobile App	Company registration Company name reservation Annual Returns BB-BEE certificate Booking
3. BizPortal & Banks	Company Registration Company name reservation Domain Name Registrations BB-BEE certificate
4. SSTs	Company Registration Company name Reservation Company and close corporation address changes BB-BEE Domain names Annual Returns
5. Emails	Electronic Filing (Prospectus, Independent Review and Reportable Irregularity) Company registration Company associated name reservation MOI Changes Close corporation to company conversions External company registrations Merger and amalgamations MOI Amendments Company location of company record changes Voluntary deregistration Voluntary and court order liquidations Business Rescue Proceedings, Status reports, Substantial Implementations, Terminations and court orders relating to business rescue Company and close corporation reinstatements

Quarter 1

Furthermore, the CIPC is in the process of implementing the chatbot channel. The development of the channel is complete, however, quality assurance of it will be done in Q2 of this financial year. The CIPC aims to use the chatbot channel towards assisting CIPC clients to get instant answers in regards to their transaction questions. Moreover, the channel will assist with guiding users with information on how to transact on the various electronic platforms that the CIPC currently implements. Lastly, the channel exposes short-click services or services that are consumed with at most ten steps, e.g., resetting of passwords and reservation of names etc. Rollout of the channel is expected to take place in Q2.

BISG has implemented another channel, New E-Services. This is not a new channel though, but a platform that seeks to replace E-services. Electronic services implemented on the New E-Services platform are listed below and the full re-implementation of the E-services eservices on the New E-services platform is projected to complete at the end of Q4 2021/22. In addition, the new E-Services has automated six new business processes as follows:

1. **Ceding of rights** – a service that will enable clients to securely cede rights of their CIPC profiles to one another. Service is pending deployment.
2. **Transact in Behalf of** – a service that will enable clients to securely transact on behalf of one another. Service is pending deployment.
3. **Enterprise registration** – a service that will allow clients to create CIPC profiles that represents organization. Currently, the CIPC only caters for individual profiles. Service is pending deployment.
4. **Invoicing** – a service that will automate the service provider submission of invoices to the CIPC. Service is pending deployment.
5. **Business Rescue Practitioner Appointments** – a process that enables prospective Business Rescue practitioners register with the CIPC. Service is live.
6. **Business Rescue Filing** – a process that enables business file for Business Rescue. Service is live.

Quarter 2

In addition, to services implemented in Q1 on the new E-Services, ICT has automated the following business processes and they are pending CAB approval and rollout:

- **Change of company address service on K2** – allowing clients to change company address details on K2.
- **PI Score Calculation on K2** – allowing companies to calculate the PI score on K2.
- **Annual returns** – revision of the current annual return service.
- **Enhancements of Business Rescue Filing** – Enhancements proposed by business after the initial release of business rescue.
- **Name Transfer on Mobile** – automation of names transfer on mobile.
- **FAS on K2** – automation of the old financial statement submission on K2.
- **Checklist on K2** – automation of the old checklist submission on K2.
- **AFS on K2** – an integration of K2 with the XBRL system

- **Location of document** – allowing company representative to specify the address details of company records on K2.
- **Name Extension on Mobile** – allowing users to extend the validity period of names on K2.
- **Chabot**

All the above changes although implemented and tested by ICT are pending deployment into the production environment.

2.2 Organizational Environment

2.2.1 Governance and Compliance

Quarter 1

During the first quarter of 2021/22 financial year, two policies were approved; Disciplinary Procedure Policy and Grievance Procedure Policy. Conflict of Interests and Ethics Policies were tabled and presented to Organized Labour during this period.

Quarter 2

Majority of Policies have been updated in line with the approved policy development and review standard, with only 14% of the total due for review.

Table 21: Status of Policies as at 30 September 2021


DIVISION	NO OF POLICIES	DUE FOR REVIEW	UP TO DATE	IN PROGRESS	NEW POLICIES
HR	15	-	13	2	-
BISG	11	2	8	-	1
Finance	8	-	8	-	-
Facilities and security	5	3	-	2	-
Client engagement	1	-	-	1	-
GRC	8	-	3	5	-
Strategy	2	1	-	1	-
Not allocated(Gifts and Promotions)	1	1	-	-	-
TOTAL	52	7	32	11	1

Declaration of Interest

The Declaration of Interest Policy applicable to all CIPC employees is at the stage of approval. To align with the requirement to declare at the beginning of the financial year, implementation of the Policy is planned for 1 April 2022. The period preceding implementation will be used to create awareness and educate employees on the Policy.

Status of compliance by Senior Managers as outlined in the approved Fraud Prevention Policy is illustrated below:

Table 22: Status of Compliance – Declaration of Interest

 All senior managers except one are compliant with the requirement to disclose and declare their actual or potential interest.	Status of compliance as at 30 June 2021	No of SM	%
	Compliant	34	97

<ul style="list-style-type: none"> No independent verification of declaration was verified. Reasons for non-compliance is yet be determined. 	Non-compliant	01	03
	Total	35	100

Compliance Management

- Legislative Compliance**

Based on the information provided and reviewed, the status of compliance has improved and the organisation seems to be compliant with the 25 Acts assessed. Once the verification exercise is completed, the detailed report will be provided to the Committee.

- Covid-19 Compliance**

The CIPC continued to implement measures to ensure compliance with Covid-19 protocols.

2.2.2 Frameworks/Strategies

Quarter 1

Telecommuting

- The CIPC follows a working from home policy, which has resulted in more effort required for communication between staff through virtual meetings. There is no new legislative development that affects the unit.
- Working from home influences the way staff communicate with one another and with customers and the public. However, staff have adapted quite well to the new circumstances and are able to perform their duties effectively.
- For communication virtual meetings (MS Teams) are used, as well as, more emails and phone calls.

Quarter 2

There was no update on the telecommuting strategy or any other strategies.

2.2.3 Appointments, Resignations, Retirements, Terminations

Table 23: Appointments, Resignations, Retirements and Terminations

	Quarter 1	Quarter 2
Appointments	5	4
Resignations	1	4
Retirements	2	0
Terminations	0	0

2.2.4 Discontinued activities / activities to be discontinued

None.

2.2.5 New or proposed activities

A director e-learning programme will be launched on 18 October 2021.

2.2.6 Facilities and Security

There was no update on Facilities and Security.

2.2.7 Other matters

2.3 New Policy and Legislative Changes

This section describes new policy and legislative developments, the effect on the CIPC activities, and how these were addressed.

Quarter 1

The Protection of Personal Information Act, 4 of 2013 (POPIA) came into operation on 1 July 2021.

As a public body in terms of POPIA, the CIPC must ensure compliance to the POPI Act about the personal information that is collected, processed and disclosed. All CIPC processes external (as well as internal – HR) is and will be affected by the new legislation.

In the first quarter, the only measures taken, was to conduct a risk assessment about the CIPC processes and the type of information that we hold and must protect. A POPIA implementation plan has been drafted and awaits EXCO approval. The real work concerning the legislation will only commence in the second quarter, with the implementation of the POPIA plan and the effect that it will have on ALL CIPC processes, whether internal or external.

Quarter 2

The POPIA Implementation Plan was approved by EXCO and implementation has commenced. Information Officer and Deputy Information Officers registration has been filed with the Information Regulator. Prior Authorization application was completed and filed with Information Regulator. The purpose of the application is to request approval from the IR for the processing of unique identifiers of data subjects (such as ID numbers).

Disclaimers of privacy and confidentiality attached to ALL outgoing CIPC e-mails. Notices to customers are published in terms of the applicability of POPIA to CIPC functions.

3. Executive Summary

3.1 Key Highlights

A. Progress towards Impact Statements, Outcome and Outputs – Programme 1: Service Delivery and Access

Quarter 1

Through a collaboration with SARS, the CIPC further enhanced its flagship channel, *BizPortal*, by giving access to business owners to all SARS services. In addition to this, a partnership has been formed with the National Small Business Chamber to assist the micro and small business sector not only in formalizing their businesses, but to stay compliant and to have access to information. A private sector partnership that CIPC is particularly proud of is one with GoogleSA, which gives small business owners access to a range of services offered by Google. This is available through the BizPortal platform.

Quarter 2

There was no update provided.

B. Progress towards Impact Statements, Outcome and Outputs – Programme 2: Innovation and Creativity

Promotion

Quarter 1

Delays encountered in patents and designs processes relates to the current manual inputs into the system, this is as a result of applications received as hard copies and processed manually. The CIPC is in the process of deploying a fully automated IP Administration system with the assistance of the World Intellectual Property Organization. It is believed that this end-to-end automated system will not only will make the patent system seamless and enable the 100% compliance to the SDS but will also make the patent system seamless and encourage improved applications.

Quarter 2

The programme received and processed an increased number of patents and designs in the quarter. Manual processing of applications remains a challenge. The CIPC is in the process of deploying a fully automated IP Administration system with the assistance of the World Intellectual Property Organization. It is believed that this end-to-end automated system will not only will make the patent system seamless and enable the 100% compliance to the SDS but will also make the patent system seamless and encourage improved applications.

C. Progress towards Impact Statements, Outcome and Outputs – Programme 3: Business Regulation and Reputation

Quarter 1

We hosted three webinars and participated in seven webinars on invite during the 2021/22 Quarter 1. The webinars were live-streamed on social media. Webinar presentations increased awareness of Company and related legislation, as well as, of services, processes and the channels available to customers.

We are in the process of developing a Director eLearning course to empower company directors with knowledge to understand their fiduciary duties.

Quarter 2

Corporate Education

A wider audience was reached, in total hosted and participated in 15 webinars. Presentations were customized as per customers' needs. We engaged internal stakeholders to work towards a common goal. Meetings were held with **the dtic**, BBBEE Commission, Tribunal and GCIS to plan and host a joint webinar on compliance. The director e-learning programme modules were developed and will be launched on 18 October 2021 to capacitate directors to understand their duties and responsibilities in running successful companies.

Corporate Legal

Risk Impact / Assessment Survey to ascertain CIPC's POPIA compliance in terms of the personal information that we process and disclose was done. Significant implementation of the CIPC POPIA plan, action items have been done during this quarter.

3.2 Report on Joint Indicators

Quarter 1

Joint Indicator 1: Integrated Support to Drive Industrialisation

Effectively use IP as an economic strategy:

- Number of Patents registered – 2363 Patents have been registered
- Number of Designs registered – 407 Designs have been registered

IP4SMME- Technology Stations:

- The engagement with the Technology Innovation Agency initiated in the quarter for an Agreement to work with Technology Stations and train them to provide IP guidance to SMMEs

Joint Indicator 4: Development Model and Spatial Equity

Entities who are not making disclosures in terms of Section 4 of the Companies Act, 2008 about the Solvency and Liquidity Tests are being proactively investigated to check compliance, 59 were being investigated in 2021/22 Quarter 1.

Quarter 2

For a more detailed report on Joint Indicators, please see 4.3.

Joint Indicator 1: Integrated Support to Drive Industrialisation

Effectively use IP as an economic strategy:

- Number of Patents registered – 2 822 Patents have been registered
- Number of Designs registered – 436 Designs have been registered

IP4SMME- Technology Stations:

- Engagements continue with TIA as regards amending the current MoU to include this specific intervention

Joint Indicator 2: Contribution to the development of an AfCFTA Export Plan

The CIPC continues to engage with its counterparts in the Region, the latest engagement between the CIPC and the Lesotho Registrar of Companies Office. They have been requested to lodge a request with the CIPC for renewal of the MoU in order to allow for mutual co-operation. The CIPC participated in the webinars about Beneficial Ownership with our counterparts from locally– and Africa (Open Ownership).

Joint Indicator 3: Investment Facilitation and Growth

- Strengthening of the IP regulation system through improving efficiencies, and maintain turnabout times
- Service Delivery Standards are maintained on an ongoing basis
- Turn Around Time in the Quarter for Patent Application is two (2) working days
- Turn Around Time in the Quarter for Design Application is two (2) working days
- Implementation of SSE (Training of examiners and interns)
- Training of SSE Examiners and Interns on an ongoing basis through the re-enforced Partnership Agreement with the European Patent Organisation.
- Turn Around Time in the Quarter for Film Applications is achieved through less than 8 hours

Joint Indicator 4: Development Model and Spatial Equity

Entities who are not making disclosures in terms of Section 4 of the Companies Act, 2008 about the Solvency and Liquidity Tests are being proactively investigated to check compliance, 59 were being investigated in 2021/22 Quarter 1.

- We held planning meeting with **the dtic** stakeholders to host a joint webinar to empower the marginalised communities, increase compliance to improve economy through investor confidence.
- We held a virtual IP session with a group of black attorneys in Gauteng, young IT entrepreneurs, a group of entrepreneurs in the rural area of Kwaggafontein in Mpumalanga and further held a session on films with the dtic to Women in Films. All these contributed to development model.

Joint Indicator 5: Actions to Promote Transformation

Corporate Education & Voluntary Compliance

We are educating business community regarding the CIPC products and services to ensure that they take informed decisions and encourage adherence to the provisions of the Companies Act, 2008 in terms of directors of SOEs acting in the best interest of the institutions (compliance).

Joint Indicator 6: The Green Economy and Greening the Economy

We will focus on environment, social and governance (ESG) reporting in the ensuing quarter to evaluate if companies report accordingly when it comes to environmental, social and governance matters.

Joint Indicator 7: Strengthening and Building a Capable State

IPAS

- Through Intellectual Property Automation System (IPAS), to automate all processes end to end in the intellectual property (IP) area.
- Implementation of IPAS end-to-end automation system for Patents and Designs in progress. Ongoing training and testing for formalities as well as engagements with IP Law Firms.

SSE Internship – youth (under 35)

- 29 Interns currently undergoing SSE training

IP for SMME

- We are building capacity countrywide of SMMEs to realise their potential. The IP for SMME project is being implemented through the Swiss-SA Collaboration Project. Project plans were put in place in the 1st quarter.
- An activity plan has been finalized on the IP stakeholder map.

Collaboration with the Japan IP Office

- Training opportunities were availed by the Japan IP Office for training of South African Examiners in the second quarter.

3.3 Media analysis/campaign/strategies

Quarter 1

The tracked Advertising Value Equivalent (AVE) in Q1 is R21 474 489.30. Media coverage was generated through various activities such as:

- A webinar to unpack the 2021 World Bank Ease of Doing Business Index drove positive coverage in traditional media while the 10-year anniversary of the Companies Act and the CIPC journey, as well as a webinar on services offered on the BizPortal website were the main drivers of positive conversation on social media. Other positive conversation drivers on social media were customer compliments and the Ease of Doing Business Webinar.

All negative-rated items in traditional media reported that some criminal syndicates were allegedly working with the CIPC officials in defrauding COVID-19 TERS payments. Negative coverage on social media was linked to customer complaints from unanswered calls, proof of payment not showing on their accounts and too slow turnaround times. Neutral-rated coverage across all media channels was linked to company registrations, deregistration, general inquires and business rescue mentions.

It must be noted that the tracked AVE above, is not a true reflection of the publicity generated on traditional and social media in this period. A new media monitoring service provider was appointed, who commenced providing services to CIPC from Mid-May in Quarter 1. Therefore, this AVE does not reflect media coverage in April and early May, which would have included a media campaign the CIPC ran from 19-26 April to commemorate World IP Day.

Quarter 2

The CIPC leverages opportunities of receiving free publicity through engaging media on highlights and milestones that the CIPC achieves. Some of the engagements is to state the CIPC position on matters that impact our reputation. We also regularly monitor media coverage to track CIPC reputation; track the effectiveness of media releases and gauge media sentiments on the coverage of CIPC stories; and to identify matters that are likely to become issues, and take corrective action.

PROACTIVE NEWS SHARING

In the period under review, the CIPC leveraged media platforms to position the organisation as a modern regulator. Media releases were issued regarding the following issues/highlights:

August	
CIPC APPROVES SAMPRA DISTRIBUTION OF R152 MILLION FOR MUSIC ROYALTIES	The Companies and Intellectual Property Commission (CIPC) is pleased to announce the approval to distribute R152 million by SAMPRA, for music royalties for the 2020/21 financial year.
CIPC RECEIVES A CLEAN AUDIT FOR THE FIFTH YEAR IN A ROW	The CIPC received a clean audit for the 2020/2021 financial period from the Auditor General of South Africa. This is the fifth year in a row that the Commission receives a clean audit, an achievement to be celebrated and shared publicly. The purpose of the media release was to build the reputation of the CIPC and position it as an agile, innovative organisation that practices good governance; raise awareness of CIPC role and position it as an ethical and practices good corporate governance; and earns the trust and confidence of our customers, stakeholders and broader society.

September	
HIGH COURT ORDERS JCI LTD TO PAY THE CIPC AN ADMINISTRATIVE FINE OF R1 MILLION	<p>Pretoria (September 08, 2021) – The Companies Intellectual Property Commission (CIPC) welcomes the High Court Order delivered on Thursday 02 September, ruled in its favour in a case against JCI Ltd.</p> <p>The core issue of this case was that the Audited Annual Financial Statements of JCI Ltd were not compiled as per the requirements of Section 30 of the Companies Act, No. 71 of 2008, as amended, read with the International Financial Reporting Standards (IFRS).</p>
IP SUMMER SCHOOL INVITATION	The CIPC is a partner in a joint annual IP Summer School programme hosted with World Intellectual Property Offices (WIPO) NIPMO, University of Kwa Zulu Natal (UKZN), and DSI. The IP Summer School is aimed at The government is to invite and encourage entrepreneurs, students, innovators, professionals and researchers from all sectors to participate in a summer school on intellectual property (IP) aimed at increasing understanding of IP rights.
CIPC SYSTEMS FULLY RESTORED	The CIPC experienced a systems shut down over a two-day period due to an attempted systems interception. The CIPC took a conservative approach to sharing news in order to avoid causing unnecessary panic over possible data breach. A media statement was issued to notify the public of the systems restoration and to state the reasons for the systems shutdown.

1. MEDIA INTERVIEWS

In mid-July, the CIPC was invited to participate in a Cape Talk Radio interview. The Commissioner, Rory Voller participated in the interview. The interview was conducted in conversational manner with the key points of discussion being the CIPC functions and the automation of services. Listeners invited to call in had positive comments about their experience with the CIPC and the ease with which they were able to transact with us. The overall sentiments of the interview were positive.

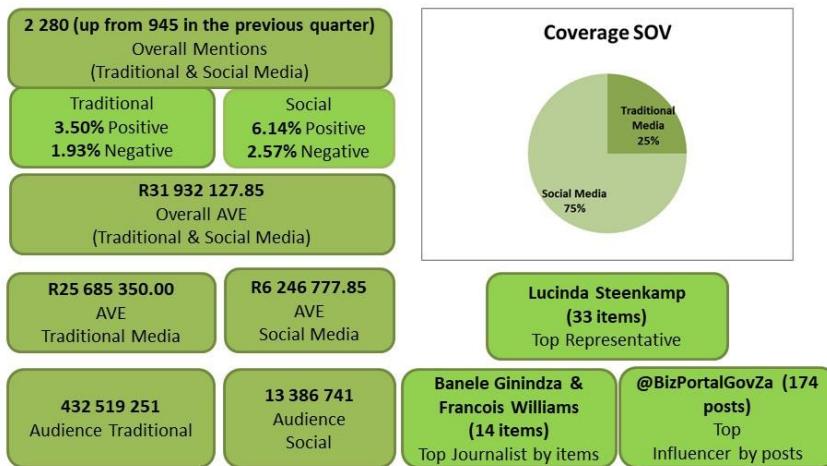
2. MEDIA COVERAGE: JUNE – SEPTEMBER

Media monitoring also enables the organisation to determine the Advertising Value Equivalent (AVE) for the CIPC. Advertising Value Equivalent (better known as AVE), is the monetary value of what it would cost to place your editorial content as an advert. It was created to give Public Relations (PR) professionals a measurable context in the communications and marketing sphere, originally comparing it against brand advertising. An arbitrary multiplier is often applied, justified on the basis that editorial content has greater credibility and is valued more by consumers than advertising space.

Media monitoring includes “traditional” media such as print, broadcast and online as well as “new” media such as blogs, social media sites, etc. Table. 1 below, illustrates media coverage in Quarter 2 period.

Table 24: Media Coverage Overview

1. Media Coverage Overview



Note that Traditional Media encompasses print, broadcast and online sources.

In the period under review, the tracked Advertising Value Equivalent (AVE) is R31.2m. Media coverage was generated through various activities that drew media interest, although in some cases, tracking is of keywords that CIPC monitors coverage on, e.g. intellectual property. When analysing the media coverage sentiments, both traditional and social media was mostly neutral in tone. Mentions of company registrations, deregistrations, general inquiries, business rescues, the CIPC website being shut down due to a suspected cyber-attack, and the CIPC making GRAP filing mandatory via XBRL for relevant entities from 1 October 2021, dominated the social

media space. Traditional media coverage varied from South African Airways (SAA) registration status, the Mango Airlines business rescue process, the Young Women in Business Network compliance issues, reporting on 510 000 new businesses registered in 2020/2021, and cyber-attack reports.

Positively, traditional coverage included CIPC Commissioner Rory Voller talking about CIPC and its mandate, the free Virtual WIPO SA Summer School 2021, South Africa becoming the first country to award a patent to an AI-generated invention, and the CIPC’s partnership with the National Small Business Chamber.

On the Social Media front, positive coverage varied from services offered via BizPortal, the free Virtual WIPO SA Summer School 2021, the Commission's partnership with the National Small Business Chamber, the South African Institute for Business Accountants annual practice management conference (Rory Voller participated), and an IP webinar held by the Small Enterprise Development Agency (Seda) in partnership with the CIPC.

3.4 Investigations/Anticorruption cases

Table 25: Number of allegations received

01 Apr 2021 – 30 Jun 2021						
Opening balance 01/04/21	Adjustment 01/04/21	Adjusted opening balance	Calls logged Q1	Feedback Requests additional info	Resolved	Balance 30/06/21
Quarter 1						
111	(86)	25	86	(34)	(28)	49
Quarter 2						
49	-	-	74	(26)	(28)	69

Quarter 1

The Opening balance at the beginning of the quarter was adjusted downward taking into consideration factors, which influence the likelihood of resolution of a complaint. Some of the factors considered include:

- Long outstanding complaints - (more than 6 months) with no progress and or without contact from the complainant.
- Lack of information - information has been received from the complainant for more than 2 months.
- Unavailability- Complainants no longer reachable.

The adjustment ensures that the limited resources employed in the resolution of complaints are efficiently and adequately utilised.

Quarter 2

There has been improvement in the resolution of complaints during the review period. Of the twenty-eight (28) cases resolved, twenty-five (25) were investigated and completed internally with three (3) referred to an external service provider. This improvement is attributed to the allocation of a dedicated resource to administer and handle complaints. This strategy has yielded the following benefits:

- Decreased backlog;
- Decrease in the number of feedback requests;
- Increased response rate to requests for evidence from affected parties;
- Speedy implementation of recommended action(s) emanating from investigations; and
- Increased customer satisfaction.

Table 26: Status of Open Cases

	Total	Under investigation	Pending investigation
Quarter 1	49	(26)	23
Quarter 2	69	(48)	21

Quarter 1

The status of open cases is indicated by the table above. Although the balance was 49 at the end the review period, some complaints had were under different stages of the complaint resolution process. Based on internal assessment and analysis, some of the matters under investigation were referred to external service providers for investigation.

Reporting Channels

The hotline is the preferred channel of reporting, presumably because it provides an option for anonymity of whistle-blowers if they so wish. Internally, the utilisation of the hotline has been useful in that it provides adequate audit trail of all complaints. Such controls help build trust and confidence in the system.

Quarter 2

The above table shows the status of complaints, which were unresolved at the end of the review period. With 69 complaints, most were at different stages of the complaint investigation process at the time of reporting leaving a total of 21 of which no investigation had started as at 30 September 2021. Complex matters are referred to external service providers for investigation.

Table 27: Reporting Channels

Channel		Received Cases
1	Hotline	68
2	Emails	6
Total		74

The hotline is the preferred channel of reporting, presumably because it provides an option for anonymity of whistle-blowers if they so wish. Internally, the utilisation of the hotline has been useful in that it provides adequate audit trail of all complaints.

Nature of Cases

Table 28: Nature of Cases

#	Types of cases	Q1		Q2	
		No. of Cases	%	No	%
1	Fraudulent removal of directors	34	40%	30	41%
2	Misuse of Clients Accounts	1	1%	0	0%
3	Essential services certificates complaints	1	1%	0	0%
4	Implicating CIPC employees	0	0%	1	1%
5	Other:	16	18%	25	34
6	Feedback request/ additional information	34	40%	18	24%
Total		86	100%	74	100%

Quarter 2

A majority of cases related to fraudulent director changes and more that 50% were found to have substance. Judging by the number and nature of cases the unit continues to receive, this trend is expected to remain. There is a notable decrease in the number of feedback requests owing to the strategy to deliberately assign an official dedicated to managing communication with complainants. Fraudulent/unauthorised director changes are almost always lodged by 3rd parties claiming to be associated with the CIPC.

Emerging Risk- Investigations

Of the matters under investigation, two complaints were lodged by two representatives of listed entities relating to fraudulent director changes. Central to their complaints, is the query around the CIPC processes and controls to processes as well the issue of Protection of Personal Information. Preliminary investigations have revealed the possibility of involvement of CIPC employees and /or their relatives in the alleged fraud. Considering the size

and the reputation of these entities, and in the event that the alleged fraud is proven, whose impact is deemed to be detrimental to the entities and is attributed to flaws in the CIPC processes, the possibility of litigation is increased.

Due to their complexity and nature, the cases were referred to the external service provider.

3.5 Industrial/Labour relations issues

Table 29: Labour Relations Issues

	Quarter 1	Quarter 2
Misconduct cases under investigation	1	1
Misconduct cases at a disciplinary hearing stage	6	7
Warnings	3	1
Grievances finalised	3	0
Labour disputes at CCMA	4	5
Labour disputes at GPSSBC	1	1
Labour disputes at Labour Court stage pending	4	5

3.5 New challenges and risks identified in the quarter

Quarter 1

Leave accumulated from the previous financial year (2020) & Sick employees

During 2021/22 Quarter 1, high number of staff being on leave affected organizational performance (Companies & CCs, DMP, Disclosure) because of many staff took accumulated leave days from the previous financial year before these are forfeited at the end of June 2021.

Deaths, Retirements, and Employees with chronic and serious illnesses

There has been more than a handful of deaths and retirements in the organisation resulting in staff shortages. Some staff members have chronic and serious illnesses and therefore absent from work for lengthy periods. Because many staff member are facing retirement age, staff shortage problem is likely to continue if it is not addressed soon.

System problems

System problems affected performance in areas such as DMP.

Lack of data and internet connectivity

Participants unable to attend webinars due to lack of data and internet connectivity.

Equipment

The printers are too old and most of the time not working. Printer challenges have huge impact on production. ICT still waiting for the Tender process to be finalized. The current contract of the Printers is ending on 31 August 2021.

Postal services

The CIPC was unable to award the tender to the South African Post Office (SAPO) because of Tax non-compliance. We have a backlog of about 9 973 mail to be dispatched mostly "Deregistration letters". SAPO challenges not yet resolved. National Treasury advised the CIPC to get other company to assist in posting mail. We have started with the process of looking at the Courier services who can assist us with the post; the response is very negative as these companies only offer Courier services not the normal physical posting like the Post Office. Urgent Disclosure requests are emailed to the clients. We also allow clients to arrange with the staff, come, and collect their documents.

Quarter 2

No new challenges were reported.

4. Performance against the APP

4.1 Progress made against unachieved targets in the previous quarter

Programme 1: Service Delivery and Access: Indicators, Annual and Quarterly Targets						
Output	Performance Indicator	2021/22 Annual Target	1st Quarter Milestones	Actual Achievement	Reasons for variance	Corrective Action
Impact Statement 1: A world-class modern regulator						
Outcome: Organisational Competencies and Capabilities						
QRS - resolve queries within the set turnaround time - 10 working days	% of queries received through the QRS resolved within the set turnaround time - 10 working days	90%	90%	89%	Most units reached the target of tickets responded to within the required turnaround time. However, some units (ICT, Finance and Paper Based disclosure) who received very high volumes of tickets on the Query Resolution System did not meet the target.	A meeting to review the QRS strategy was held amongst relevant managers, to devise a plan to ensure proactive action is taken where there might be a backlog. As a result, Q2 performance was at 93%.

Programme 1: Service Delivery and Access: Indicators, Annual and Quarterly Targets						
Output	Performance Indicator	2021/22 Annual Target	1st Quarter Milestones	Actual Achievement	Reasons for variance	Corrective Action
Website performance	% of website performance	93%	95%	94%	<ul style="list-style-type: none"> • Related to the massive amount of traffic generated by the 2000 odd search requests a minute. • This results in system slowdown and possible non response. • Data harvesting is a constant issue plaguing this service. 	<ul style="list-style-type: none"> • Migrate the search function off the “eservices” server to the Bizportal server. • Edit the current search page name, so that it is no longer accessible externally for data harvesting. <p>There has been improvement. Performance was at 88% in Quarter 2.</p>
Programme 2: Innovation and Creativity Promotion: Indicators, Annual and Quarterly Targets						
Output	Performance Indicator	2021/22 Annual Target	1st Quarter Milestones	Actual Achievement	Reasons for variance	Corrective Action
Impact Statement 2: Ease of doing business in SA						
Outcome: Reduced administrative compliance burden for companies and IP owners						
Reduced TAT for copyright in films applications	Average turnaround time for copyright in film application	2	2	8	Ptolemy system error	<p>To engage the Service Provider on SLA.</p> <p>There were no system problems,</p>

Programme 1: Service Delivery and Access: Indicators, Annual and Quarterly Targets						
Output	Performance Indicator	2021/22 Annual Target	1st Quarter Milestones	Actual Achievement	Reasons for variance	Corrective Action
						performance improved to less than 1 day.
Impact Statement 3: Investor confidence in SA businesses and innovations						
Outcome: Strengthening the validity of granted IPR (patents designs and copyright), and in doing so reduce litigation costs for the client						
Designs registrations service delivery standards maintained as legislated – 18 months	% design registrations processed within the legislated service delivery standards – 18 months	90%	90%	60%	The processes are still largely manual and there is a lot that happens to a file from the date of application through the issuing of a certificate.	IPAS implementation is geared at resolving this. Performance improved to 81%.
Copyright in film registration service delivery standards maintained as legislated – 2 months	% copyright in film registrations processed within the legislated service delivery standards – 2 months	60%	60%	0	Team member under training	The SM will check the work of the team member There was no registration processed in Q2.

4.2 Progress made against current quarterly milestones

4.1.1 Programme 1: Service Delivery and Access

Programme 1: Service Delivery and Access: Indicators, Annual and Quarterly Targets						
Output	Performance Indicator	2021/22 Annual Target	2nd Quarter Milestones	Actual Achievement	Reasons for variance	Corrective Action
Impact Statement 1: A world-class modern regulator						
Outcome: Organisational Competencies and Capabilities						
Organisation Design (OD)	OD Process	OD Process Completed	OD Audit (Gap Analysis)	<p>Achieved.</p> <p>The OD project is on track based on the project plan.</p> <p>The following has commenced Review of existing strategies/ strategy documents.</p> <p>Review of key policies.</p> <p>Review of OESTT Report.</p> <p>Conducted strategic discussion with all staff, executive management,</p> <p>Organised labour and key stakeholder across CIPC.</p> <p>Distributed a survey to gather sentiment of the CIPC in terms of its</p>	N/A	N/A

Programme 1: Service Delivery and Access: Indicators, Annual and Quarterly Targets						
Output	Performance Indicator	2021/22 Annual Target	2nd Quarter Milestones	Actual Achievement	Reasons for variance	Corrective Action
				organisational design and areas for development.		
Skills Assessment	Skills assessment conducted	Skills assessment completed	Skills assessment commenced	Achieved. CV's of CIPC's Executives and Divisional Managers have been requested to date and that of Senior Managers and Staff will be requested next.	N/A	N/A
Processes migrated to a new platform (K2)	Number of processes migrated to (K2)	29	14(7)	11 (4) (Annual Return; Change of Address; Location of Documents; FAS)	Low K2 development Capacity and High volumes of Production Incidents	Delivery will be made in Q3
Business processes (BP) in line with future projected CIPC standards (From X hours and Y days to instant delivery)	Number of processes conceived for automation	4	2	0	Low K2 development Capacity and High volumes of Production Incidents	Delivery will be made in Q3

Programme 1: Service Delivery and Access: Indicators, Annual and Quarterly Targets

Output	Performance Indicator	2021/22 Annual Target	2nd Quarter Milestones	Actual Achievement	Reasons for variance	Corrective Action
Customer satisfaction at the call centre	% - average call centre customer satisfaction	7.5	7.5	7.8	Customer satisfaction is very important to the call centre. The importance of meeting and exceeding customers' expectations were emphasised during a call centre operational meeting. Therefore, we managed to exceed the target this quarter	N/A
E-communication satisfaction	% customer satisfaction on e-communication	60%	60%	The survey was not conducted.	The questionnaire survey for social media satisfaction is planned to be conducted only twice a year.	The second round of the survey is scheduled for the third quarter.

Programme 1: Service Delivery and Access: Indicators, Annual and Quarterly Targets						
Output	Performance Indicator	2021/22 Annual Target	2nd Quarter Milestones	Actual Achievement	Reasons for variance	Corrective Action
					There was an oversight on aligning the quarterly targeting and scheduling.	
SSCs customer satisfaction	% customer satisfaction on SSCs	Baseline +2%	Test measurement tool	Achieved. Measurement tool tested through survey to customers - score 79%	N/A	N/A
QRS - resolve queries within the set turnaround time - 10 working days	% of queries received through the QRS resolved within the set turnaround time - 10 working days	90%	90%	93%	The target was not met during Q1. A meeting was held with Senior Managers to create awareness relating importance of responding to tickets within the required timeframe and to address	N/A

Programme 1: Service Delivery and Access: Indicators, Annual and Quarterly Targets

Output	Performance Indicator	2021/22 Annual Target	2nd Quarter Milestones	Actual Achievement	Reasons for variance	Corrective Action
					challenges, which bore fruit in Q2.	
Facebook - resolve queries within the set turnaround time - 1 working day	% of queries received through Facebook resolved within the set turnaround time - 1 working day	75%	80%	97%	The team is required to respond to all the queries received before 16:00 on the same day.	N/A
Twitter - resolve queries within the set turnaround time - 1 working day	% of queries received through Twitter resolved within the set turnaround time - 1 working day	60%	65%	98%	The team is required to respond to all the queries received before 16:00 on the same day.	N/A

Programme 1: Service Delivery and Access: Indicators, Annual and Quarterly Targets

Output	Performance Indicator	2021/22 Annual Target	2nd Quarter Milestones	Actual Achievement	Reasons for variance	Corrective Action
Website performance	% of website performance	93%	95%	93%	System slowdown; Security breach - affected CIPC environment 14, 15 & 16 September	Not provided

Programme 1: Service Delivery and Access: Indicators, Annual and Quarterly Targets

Output	Performance Indicator	2021/22 Annual Target	2nd Quarter Milestones	Actual Achievement	Reasons for variance	Corrective Action
Reduced turnaround time to resolve queries received through the QRS - 10 working days	Average turnaround time to resolve queries received through the QRS - 10 working days	10	10	5	The high volume of tickets logged on QRS on a daily bases, and several dependencies within units, result in some units reaching and exceeding the required turnaround time. Other units with not enough capacity or other challenges are not able to reach the target. The meetings and awareness created ensured that the average turnaround time is exceeded.	N/A

Programme 1: Service Delivery and Access: Indicators, Annual and Quarterly Targets

Output	Performance Indicator	2021/22 Annual Target	2nd Quarter Milestones	Actual Achievement	Reasons for variance	Corrective Action
Reduced turnaround time to resolve queries received through Facebook (working days)	Average turnaround time to resolve queries received through Facebook (working days)	1	1	1 (4 hours)	N/A	N/A
Reduced turnaround time to resolve queries received through Twitter	Average turnaround time to resolve queries received through Twitter (days)	1	1	1 (4 hours)	N/A	N/A
Implement mobile/Chat bot services in line with future projected CIPC standards (X hours and Y days to	Number of processes conceived for automation on Mobile/Chat Bot platform	4	2	3 (Director Changes; Change of Address; Name Transfer)	N/A	N/A

Programme 1: Service Delivery and Access: Indicators, Annual and Quarterly Targets

Output	Performance Indicator	2021/22 Annual Target	2nd Quarter Milestones	Actual Achievement	Reasons for variance	Corrective Action
instant delivery)						
New automated service on eservices or BizPortal	No of automated services added on BizPortal	1	-	2 (Achieved in Q1)	N/A	N/A

4.1.2 Programme 2: Innovation & Creativity Promotion

Programme 2: Innovation and Creativity Promotion: Indicators, Annual and Quarterly Targets						
Output	Performance Indicator	2021/22 Annual Target	2nd Quarter Milestones	Actual Achievement	Reasons for variance	Corrective Action
Impact Statement 1: A world-class modern regulator						
Outcome: Organisational Competencies and Capabilities						
Patent examiners trained on substantive search examination (SSE)	Number of patents examiners trained on SSE	All (16 SSE trained and 29 interns)	Implementation of training for examiners with EPO - 16 SSE and 29 interns	Achieved Implementation of training for examiners with EPO - 16 SSE and 29 trained through the Swiss IP Office	N/A	N/A
Migrating patent end to end processes to an automated system – Intellectual Property Automated System (IPAS)	% patent processes migrated to IPAS	80%	30%	50%	No report on % achieved provided for Q2. However, the Q2 target was met in Q1.	N/A

Programme 2: Innovation and Creativity Promotion: Indicators, Annual and Quarterly Targets						
Output	Performance Indicator	2021/22 Annual Target	2nd Quarter Milestones	Actual Achievement	Reasons for variance	Corrective Action
Migrating designs end to end processes to an automated system - IPAS	% designs processes migrated to IPAS	80%	30%	34%	No report provided on % achieved for Q2. However, the Q2 target was met in Q1.	N/A
Impact Statement 2: Ease of doing business in SA						
Outcome: Reduced administrative compliance burden for companies and IP owners						
Reduced turnaround time (TAT) for patent applications	Average turnaround time for patent applications	2	2	2	N/A	N/A
Reduced TAT for designs applications	Average turnaround time for designs application	2	2	2	N/A	N/A
Reduced TAT for copyright in films applications	Average turnaround time for copyright in film application	2	1	1	N/A	N/A

Programme 2: Innovation and Creativity Promotion: Indicators, Annual and Quarterly Targets						
Output	Performance Indicator	2021/22 Annual Target	2nd Quarter Milestones	Actual Achievement	Reasons for variance	Corrective Action
Impact Statement 3: Investor confidence in SA businesses and innovations						
-						
Patents SEE implemented and patent registrations service delivery standards maintained as legislated	Patent SSE Proof of Concept implemented	Patent SSE Proof of Concept implemented	Acquisition and training on Patent search tool	Not achieved. Acquisition not completed, and therefore training not done. TOR and Tender Submission on route for approval.	Delay in finalisation of the Tender Process by Supply Chain	Continual follow up on Supply Chain for the finalisation of the Acquisition through Tender Process
Designs registrations service delivery standards maintained as legislated – 18 months	% design registrations processed within the legislated service delivery standards – 18 months	90%	90%	81%	The processes are still largely manual and there is a lot that happens to a file from the date of application through the issuing of a certificate.	IPAS implementation is geared at resolving this problem.

Programme 2: Innovation and Creativity Promotion: Indicators, Annual and Quarterly Targets						
Output	Performance Indicator	2021/22 Annual Target	2nd Quarter Milestones	Actual Achievement	Reasons for variance	Corrective Action
Copyright in film registration service delivery standards maintained as legislated – 2 months	% copyright in film registrations processed within the legislated service delivery standards – 2 months	60%	60%	N/A	There were published applications to measure the SDS	N/A
Outcome: Reduce IP filing costs						
Reduce filing costs for IPR owners	Number of persons assisted	7	100% applications screened.	100% of applications screened. 3 applications were recommended	N/A	N/A
Outcome: Increased awareness (including capacity building) IP protection laws, regulations, as well as services and related processes						
IP education and awareness sessions hosted by the CIPC or in collaboration with its partners for identified stakeholders	Number of webinars held hosted by the CIPC or in collaboration with its partners for identified stakeholders	16	8(4)	24 (12)	Robust campaign to bring stakeholders.	N/A

Programme 2: Innovation and Creativity Promotion: Indicators, Annual and Quarterly Targets

Output	Performance Indicator	2021/22 Annual Target	2nd Quarter Milestones	Actual Achievement	Reasons for variance	Corrective Action
CIPC Learning Academy	The establishment of the CIPC Learning Academy	WIPO needs assessment complete and MoU finalization	WIPO engagement on needs assessment	Achieved. The needs assessment template was completed and forwarded to WIPO, and engagement with WIPO included them offering a project consultant and identifying more candidates to be trained by WIPO.	N/A	N/A
IP enforcement public education and awareness sessions hosted by the CIPC or in its collaboration with its partners for identified stakeholders	Number of IP enforcement education and awareness sessions hosted by the CIPC or in collaboration with its partners for identified stakeholders	6	2(3)	10 (6)	Virtual Platforms support offering more sessions	N/A

Programme 2: Innovation and Creativity Promotion: Indicators, Annual and Quarterly Targets						
Output	Performance Indicator	2021/22 Annual Target	2nd Quarter Milestones	Actual Achievement	Reasons for variance	Corrective Action
Increase capacity in Law Enforcement Agencies on IPR	Number of officials trained	80	40(20)	231 (0) Achieved in Q1	138 officials trained (Four events)	N/A
Impact Statement 4: Third Party Decision-Making						
Outcome: IPR Enforcement						
Data/Information Integration (All stakeholders)						
Mobile App used to collect data/information on IPR enforcement	Stage of development of the Mobile App	Testing and launch of pilot	Concept developed and refined	Achieved (in Q1)	Progress Report provided	N/A

4.1.3 Programme 3: Business Regulation and Reputation

Programme 3: Business Regulation and Reputation: Indicators, Annual and Quarterly Targets						
Output	Performance Indicator	2021/22 Annual Target	2nd Quarter Milestones	Actual Achievement	Reasons for variance	Corrective Action
Impact Statement 2: Ease of doing business in SA						
Outcome: Reduced administrative compliance burden for companies and IP owners						
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	Steady continued growth towards BizPortal new company registration service, which resulted in a decrease in E-services new company registration. Although E-services new company registration is also done within a day, BizPortal is faster due to no paper work being loaded by customers and also do not require "indexing/verification" by back office team member.	N/A

Programme 3: Business Regulation and Reputation: Indicators, Annual and Quarterly Targets

Output	Performance Indicator	2021/22 Annual Target	2nd Quarter Milestones	Actual Achievement	Reasons for variance	Corrective Action
Reduction in the average number of days to register a cooperative from the date of receipt of a complete application.	The average of number of days to register a co-operative from the date of receipt of a complete application.	3	3	1	Automated system of Coops new registration has improve the turnaround time to 1 day.	N/A

Impact statement 3: Investor confidence

Outcome: Increased awareness of company laws, regulations, as well as CIPC services, processes, and channels

Programme 3: Business Regulation and Reputation: Indicators, Annual and Quarterly Targets

Output	Performance Indicator	2021/22 Annual Target	2nd Quarter Milestones	Actual Achievement	Reasons for variance	Corrective Action
Education and awareness sessions on Company Act and other related legislation (including Cooperatives Amendment Act), services, processes and channels using Ms Teams, Zoom, Facebook live, and other platforms	Number of education and awareness sessions initiated or participated in on the Companies Act and related legislation (including Cooperatives Amendment Act), services, processes and channels using Ms Teams, Zoom, Facebook live, and other platforms, services, processes and channels using Ms Teams, Zoom, Facebook live, and other platforms	18	9 (5)	25 (15)	A higher number of requests were received for hosting webinars from CIPC business units, as well as, invites from stakeholders.	N/A

Programme 3: Business Regulation and Reputation: Indicators, Annual and Quarterly Targets

Output	Performance Indicator	2021/22 Annual Target	2nd Quarter Milestones	Actual Achievement	Reasons for variance	Corrective Action
Stakeholder education seminars or provide professional support. Collaborate with IODSA	Stakeholder education seminars or provide education support / training - including collaboration with IODSA	2	1	2	The unit hosted the following to webinars: on 22 July 2021, a webinar for Home Owner Association directors and on 23 September 2021 a webinar regarding Public Offerings. Requests were received from the Corporate Governance, Surveillance and Enforcement unit and the Corporate Compliance and Regulatory Disclosure unit to host the webinars. Webinars were hosted, as it was not possible to host physical events due to covid-19 regulations.	N/A
Outcome: Reputable business and IP regulation environment						

Programme 3: Business Regulation and Reputation: Indicators, Annual and Quarterly Targets

Output	Performance Indicator	2021/22 Annual Target	2nd Quarter Milestones	Actual Achievement	Reasons for variance	Corrective Action
Automated Beneficial Ownership Register	Beneficial Ownership Register in place	Approved Beneficial Ownership Register Business case	Draft Business case	Achieved. Business Case Draft undergoing Quality Assurance	N/A	N/A

4.3 Joint Indicators Performance Table

CIPC 2021/22 Joint Indicators Performance Table												
Contribution	Area	Output	KPI	Quarter 1		Quarter 2		Quarter 3		Quarter 4		Responsible
				Target	Actual	Target	Actual	Target	Actual	Target	Actual	
Joint Indicator 1: Integrated Support to Drive Industrialisation												
<i>J-KPI Outcome: Increased industrialisation and localisation opportunities implemented</i>												
Outcome 1.1 : Driving industrialisation through the master plans in national priority sectors												
Regulation	Patents and Designs	Assist under-resourced inventors	No. of under-resourced inventors assisted through the IAP program.	100% of applications screened (None recommended)	Achieved	100% of applications screened (None recommended)	Achieved (3 applications recommended)	Eligible applicants shortlisted and referred for assistance		7 Applicants referred for assistance		Mavis
	Co-operatives	Explore how to promote and support large-scale production by co-operatives in targeted industries.	Document/presentation to management	Conduct Awareness on the provisions of Amended Co-operative Act	Part of Inter-departmental Committee (SEDA, DSBS and CIPC) in assisting co-ops concerning governance; CIPC webinar to the public	Had engagement with National Treasury on the conversion of Friendly Societies to Co-ops in line with COFI Bill. Co-operative Webinar in conjunction with Education and Awareness. Three-day workshop with	Not reported	Progress/Status Report		Progress/Status Report		Vuyani

CIPC 2021/22 Joint Indicators Performance Table

Contribution	Area	Output	KPI	Quarter 1		Quarter 2		Quarter 3		Quarter 4		Responsible
				Target	Actual	Target	Actual	Target	Actual	Target	Actual	
					regarding Amendments to the Act. Had stakeholder engagement with Prudential Authority responsible for Financial Sector Co-operatives regarding the Amended Act		SEDA Free State with SARS offices and public. Lastly assisted SARS Head Office research unit with regard to the compliance related matters.					
	Compliance	Explore how to the financials of businesses in the targeted sectors	Document/presentation to management	Progress/Status Report	Not reported	Progress/Status Report	Pharmaceutical Companies	Progress/Status Report		Progress/Status Report		Joey

CIPC 2021/22 Joint Indicators Performance Table												
Contribution	Area	Output	KPI	Quarter 1		Quarter 2		Quarter 3		Quarter 4		Responsible
				Target	Actual	Target	Actual	Target	Actual	Target	Actual	
		can be monitored										
Outcome 1.2 : Increased and diversified localisation through government and private sector procurement												
Procurement	Finance and SCM	Suppliers paid timeously	% of suppliers paid within 30 days	Progress/Status Report	Not reported	Progress/Status Report	Not reported	Progress/Status Report		Progress/Status Report		MJ
Outcome 1.3: Promotion of beneficiation												
IPR enforcement (Training)	IPR Enforcement	Training and Capacity Building for enforcement partners	No. of persons trained from enforcement agencies	20	231	40 (20)	373 (138)	60 (20)		80 (20)		Amanda
IP FOR BUSINES	IP4SMMEs	Development of an IP4SMME Stakeholder Map (IP guide for SMME)	Report - IP4SMME Stakeholder Map developed and implemented	Progress/Status Report	Overall objective agreement reached	Activity description and planning document agreement	Document completed	Progress/Status Report		Progress/Status Report		Logan
	Technology Stations	Increase the footprint for Train the trainer program through Technology Stations	No. of Technology Stations trained on IP matters	Progress/Status Report	Engagement Sessions held with the Technology Innovation Agency	Progress/Status Report	Ongoing Engagement with Technology Innovation Agency for the Implementation of the Technology Station Training	Progress/Status Report		Progress/Status Report		Nomonde
Joint Indicator 2: Contribution to the development of an AfCFTA Export Plan												

CIPC 2021/22 Joint Indicators Performance Table

Contribution	Area	Output	KPI	Quarter 1		Quarter 2		Quarter 3		Quarter 4		Responsible
				Target	Actual	Target	Actual	Target	Actual	Target	Actual	
				<i>Outcome 1: Increased export-readiness by South African firms, measured by knowledge of market opportunities and firm-level actions to utilise these opportunities</i>								
XBRL	Corporate Disclosure and Compliance	Financial transparency programme to provide technical assistance and benchmarking opportunities (in SA and Africa), including cross-border trade regulation.	List of regulators (in SA and Africa) to whom technical assistance and benchmarking opportunities, including cross-border trade regulation.	Progress/Status Report	No report	Progress/Status Report	Lesotho engagements to lead to MoU	Progress/Status Report		Progress/Status Report		Joey
Beneficial Ownership Register	Corporate Disclosure and Compliance	Ownership transparency	Beneficial Ownership Register	Progress/Status Report	See Quarter 1 Report	Progress/Status Report	Engagements with Nigeria and Latvia	Progress/Status Report		Progress/Status Report		Joey

CIPC 2021/22 Joint Indicators Performance Table												
Contribution	Area	Output	KPI	Quarter 1		Quarter 2		Quarter 3		Quarter 4		Responsible
				Target	Actual	Target	Actual	Target	Actual	Target	Actual	
IP Laws - Disclosure and transfer of knowledge	Copyright and IP Enforcement	To stimulate innovation and facilitate development through disclosure and transfer of knowledge and expertise.	No. of training initiatives for Africa	Progress/Status Report	No report	Progress/Status Report	Defined strategic objective and initiatives (Reported at the Strategy Review Session - 10-11 Oct '21) Engagements with the dtic commenced Pan African Conference scheduled for 2022 - capacity building & training.	Progress/Status Report	Investigating and Prosecuting IP Crime Event hosted for African Continent participants on 21 October 2021	Progress/Status Report		Amanda
Joint Indicator 3: Investment Facilitation and Growth												
J-KPI Outcome: Strategic investment by enterprises (private and public) to support growth of South African economy												
<i>Outcome 1: Regulating businesses and intellectual property rights (IPR) protection (promoting ease of doing business), in doing so boosts investor confidence in SA business; through education and awareness promote entrepreneurship, innovation, commercialisation and economic growth.</i>												

Reduction of turnaround time	Corporate Registrars - Companies	Reduce turnaround times for ease and speedy services	Average turnaround time; % within SDS (Name reservations and Company registrations)	Approved Company Names Weighted Average: 2 working days New Company Registrations Weighted Average: 2 working days; 90% transactions processed within the set TAT	Approved Company Names Weighted Average: 1 New Company Registrations Weighted Average: 1 Following services are fully automated and filing occurs instantaneously upon payment: * Co Automated Name Changes; * Co Automated Share Changes; * Co and CC Financial Year End Changes; * Co and	Approved Company Names Weighted Average: 2 working days New Company Registrations Weighted Average: 2 working days	Approved Company Names Weighted Average: 2 New Company Registrations Weighted Average: 1 Following services are fully automated and filing occurs instantaneously upon payment: * Co Automated Name Changes; * Co Automated Share Changes; * Co and CC Financial Year End Changes; * Co and CC Address Changes; * New company registrations (short standard private company and short standard npc without members) via BizPortal, Banks, Self Service Terminal and Mobile App. Following e-mail				Christa, Vuyani, Fleurette
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				<p>CC Address Changes; * New company registrations (short standard private company and short standard npc without members) via BizPortal, Banks, Self Service Terminal and Mobile App.</p> <p>Following e-mail services average TAT is less than 5 working days: * MOI Amendm ent - JSE; * MOI Amendm ents -</p>	<p>services average TAT is less than 5 working days: * MOI Amendment - JSE; * MOI Amendments - email; * Location of company records; * Co and CC Voluntary deregistration (not final dereg since such takes approximately 4 months); * Co and CC Liquidations; * Co and CC Re-instatements; * Co and CC Commencement of Business Rescue Proceedings</p>					
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					<p>email; * Location of company records; * Co and CC Voluntary deregistra tion (not final dereg since such takes approxim ately 4 months); * Co and CC Liquidatio ns; * Co and CC Re- instateme nts; * Co and CC Commenc ement of Business Rescue Proceedin gs</p>							
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CIPC 2021/22 Joint Indicators Performance Table

Contribution	Area	Output	KPI	Quarter 1		Quarter 2		Quarter 3		Quarter 4		Responsible
				Target	Actual	Target	Actual	Target	Actual	Target	Actual	
	Corporate Registrars - Co-operatives	Reduce turnaround times for ease and speedy services	Average turnaround time; % within SDS (Co-operatives Registrations)	Average TAT 90% of transactions processed within set SDS	1 91%	Average TAT 90% of transactions processed within set SDS	1 100%	Average TAT 90% of transactions processed within set SDS		Average TAT 90% of transactions processed within set SDS		
	Corporate Registrars - Fleurette	Reduce turnaround times for ease and speedy services	Average turnaround time; % within SDS (Trade marks applications)	Average TAT 90% of transactions processed within set SDS	2 90%	Average TAT 90% of transactions processed within set SDS	2 97%	Average TAT 90% of transactions processed within set SDS		Average TAT 90% of transactions processed within set SDS		
Collaboration partnerships for enforcement	IP Enforcement	Collaboration partnerships for enforcement fostered	Progress/Status Report	Progress/Status Report	No report	Progress/Status Report	Partnerships with International counterparts flourished during Q1 and Q2 of 2021 2022. Participation and attendance of various sessions relevant to IP enforcement. In ternational partners included; USPTO, Interpol, WIPO, and	Progress/Status Report		Progress/Status Report		Amanda

CIPC 2021/22 Joint Indicators Performance Table

Contribution	Area	Output	KPI	Quarter 1		Quarter 2		Quarter 3		Quarter 4		Responsible
				Target	Actual	Target	Actual	Target	Actual	Target	Actual	
							EUIPO. Local partners included Universities, SEDA SEFA Consumer Goods Council and various Industry bodies. Online Pharma Crime was a priority in Q2, Workshop held with the Self-care Association of SA.					
Education and awareness	Corporate Education	Advise industry sectors on how their investments can be protected and how information related to our mandate is distributed.	Number of Education and Awareness events on Companies Act and related legislation etc.	IP - 4 IP Enforcement - 1 Corporate - 0	IP - 12 IP Enforcement - 6 Corporate - 10	IP - 8 (4) IP Enforcement - 2 (1) Corporate - 10 (6)	IP - 24 (12) IP Enforcement - 12 (6) Corporate - 27 (15)	IP - 8 (4) IP Enforcement - 4 (1) Corporate - 17(7)		IP - 8 (4) IP Enforcement - 6 (2) Corporate - 20 (2)		Marumo, Kadi, Amanda

CIPC 2021/22 Joint Indicators Performance Table

Contribution	Area	Output	KPI	Quarter 1		Quarter 2		Quarter 3		Quarter 4		Responsible
				Target	Actual	Target	Actual	Target	Actual	Target	Actual	
Director e-learning programme	Corporate Education	Programme will contribute to boosting investor confidence	Progress/Status Report	Secure a service provider and sign SLA.	SLA was signed and script for modules was created.	Monitor and maintenance of the programme	The 7 modules have been developed and tested and will be launched on 18 Oct '21. There was a delay due to the system problems CIPC encountered.	Monitor and maintenance of the programme		Monitor and maintenance of the programme		Marumo
Strengthening of the IP regulation system	IP Applications	Improve efficiencies, and maintain turnabout times, as well as the implementation of Substantive Search Examination (SSE)	Quarterly report on the number of applications received. % of patent applications processed within a set SDS Quarterly report on SSE training.	- Number of applications - Average Turnaround Time - 90% or more processed within the set SDS	Patents applications Number 2363 ATAT 2 days SDS (2 working days) 98% Patents registration certificates Number 1185 ATAT 24 days SDS (44 working days) 91% Designs applications	- Number of applications - Average Turnaround Time - 90% or more processed within the set SDS	Patents applications Number 2822 ATAT 2 days SDS (2 working days) 98% Patents registration certificates Number 1022 ATAT 13 days SDS (44 working days) 100% Designs applications Number 436 ATAT 2 days SDS (2 working days) 90% Designs registration certificates Number 250	- Number of applications - Average Turnaround Time - 90% or more processed within the set SDS		- Number of applications - Average Turnaround Time - 90% or more processed within the set SDS		Mavis, Kadi, Fleurette

CIPC 2021/22 Joint Indicators Performance Table

Contribution	Area	Output	KPI	Quarter 1		Quarter 2		Quarter 3		Quarter 4		Responsible
				Target	Actual	Target	Actual	Target	Actual	Target	Actual	
					ns Number 407 ATAT 2 days SDS (2 working days) 98% Designs registrati on certificate s Number 369 ATAT 37.85 SDS (44 working days) 50% Copyright in film applicatio ns Number 1 ATAT 8 days SDS (1 working day) 0% Copyright in film registrati ons		ATAT 17 days SDS (44 working days) 100% Copyright in film applications Number 26 ATAT Less than 1 day (8 hours) SDS (1 working day) More than 100% Copyright in film registrations Number Not applicable as there were no advertised applications ATAT N/A SDS (22 working days) N/A Trade marks applications Number 10774 ATAT 2 SDS (3 working days) 97% Trade marks registrations Number 1358 ATAT 132 (66+66 days) SDS (66 + 66					

CIPC 2021/22 Joint Indicators Performance Table

Contribution	Area	Output	KPI	Quarter 1		Quarter 2		Quarter 3		Quarter 4		Responsible
				Target	Actual	Target	Actual	Target	Actual	Target	Actual	
					Number 1 ATAT 66 days SDS (22 working days) 0%		working days) 89%					
					Trade marks applicatio ns Number 10 504 ATAT 2 SDS (3 working days) 90%							
					Trade marks registrati ons Number 6 099 ATAT 132 days (66+66 days) SDS (66 + 66 working days) Not available							
Joint Indicator 4: Development Model and Spatial Equity												

CIPC 2021/22 Joint Indicators Performance Table												
Contribution	Area	Output	KPI	Quarter 1		Quarter 2		Quarter 3		Quarter 4		Responsible
				Target	Actual	Target	Actual	Target	Actual	Target	Actual	
J-KPI Outcome: Contribute to intergovernmental action in implementation of the District Development Model towards district economic development												
Outcome 1: The CIPC through its digital strategy that emphasize development and strengthening of virtual channels, and automation of key services extend access throughout South Africa to local communities; and through its partnership model, the CIPC extend its reach through Self-Service Terminals (SSTs) in partner sites such as provincial departments. Some CIPC services are also provides through Banks. In this way, access to the CIPC services extended to local communities.												
CIPC footprint – audit according to Districts and Metros	Internal Audit	Audit the reach of the CIPC services: - Banks - SSCs and Partner sites	Progress/Status Report	Progress/Status Report	No audit was performed in Q1	Progress/Status Report	Not audit was done in Q2	Progress/Status Report		Progress/Status Report		Lungile & Mpho
Data analytics (Economic positioning)	BISG	Strengthen data analytics to assess impact on Districts and Metro's	Progress/Status Report	Progress/Status Report		Progress/Status Report		Progress/Status Report		Progress/Status Report		Phineas
System configuration for data collection aligned to the DDM model	BISG	System reconfiguration to align to mapping Districts & Metros	Progress/Status Report	Progress/Status Report		Progress/Status Report		Progress/Status Report		Progress/Status Report		Phineas
Rural communities	Corporate	Extend Education and	IP Education and Awareness: Through the virtual platform, the unit continues to	Progress/Status Report		Progress/Status Report		Progress/Status Report		Progress/Status Report		Marumo, Kadi &

CIPC 2021/22 Joint Indicators Performance Table

Contribution	Area	Output	KPI	Quarter 1		Quarter 2		Quarter 3		Quarter 4		Responsible
				Target	Actual	Target	Actual	Target	Actual	Target	Actual	
	Education	Awareness Programme to emphasize entrepreneurship in rural communities	target rural communities across the country. It has become our focus area and technology has made it seamless. Our reports serves as evidence in this regard. This is done on each quarter.									Amanda
CIPC collaborate with LG - Existing local infrastructure	Client Engagement	Use existing local infrastructure such as libraries for providing integrated services	Progress/Status Report	Progress/Status Report		Progress/Status Report		Progress/Status Report		Progress/Status Report		Thapelo
Expanding the reach of our partnership model	Client Engagement	Expand partnership model through Provincial departments infrastructure	Self Service Terminals exist at Provincial Economic Development Departments and are monitored through MOU's with provincial departments such as the North West Development Corporation, and Limpopo Economic Development Agency. we are also have a self-service centre at Trade and Investment Kwazulu Natal	Progress/Status Report		Progress/Status Report		Progress/Status Report		Progress/Status Report		Thapelo

CIPC 2021/22 Joint Indicators Performance Table												
Contribution	Area	Output	KPI	Quarter 1		Quarter 2		Quarter 3		Quarter 4		Responsible
				Target	Actual	Target	Actual	Target	Actual	Target	Actual	
Joint Indicator 5: Actions to Promote Transformation												
J-KPI Outcome: Promoting a growing and inclusive economy												
Outcome 1: The CIPC will contribute through the CIPC digital strategy and partnership model, the CIPC has reach throughout the country. This contributes to more inclusivity in economic participation. Through compliance to the Preferential Procurement Framework Act and Regulations, the CIPC ensure the empowerment of designated groups.												
Procurement	Finance	Audit to establish the impact of our procurement to businesses .	Progress/Status Report	Progress/Status Report		Progress/Status Report		Progress/Status Report		Progress/Status Report		MJ
		To expand the benefit of our procurement to SMMEs and to force big companies to work with small businesses .	Progress/Status Report	Progress/Status Report		Progress/Status Report		Progress/Status Report		Progress/Status Report		MJ
Disclosure in financial	Corporate Disclos	Compliance and surveillanc	Progress/Status Report	Progress/Status Report		Progress/Status Report		Progress/Status Report		Progress/Status Report		Joey

CIPC 2021/22 Joint Indicators Performance Table

Contribution	Area	Output	KPI	Quarter 1		Quarter 2		Quarter 3		Quarter 4		Responsible
				Target	Actual	Target	Actual	Target	Actual	Target	Actual	
statements	ure and Compliance	e efforts on companies for targeted industries.										
Data mining	BISG	Improve on mining data we receive and are in our possession of to show meaningful contribution to economic inclusivity and empowering designated groups.	Progress/Status Report	Progress/Status Report		Progress/Status Report		Progress/Status Report		Progress/Status Report		Phineas
Education and awareness	Corporate Education	Target designated groups on Education and Awareness Events	Number of education and awareness events	Number of education and awareness events		Number of education and awareness events		Progress/Status Report		Progress/Status Report		Marumo, Kadi & Amanda

CIPC 2021/22 Joint Indicators Performance Table												
Contribution	Area	Output	KPI	Quarter 1		Quarter 2		Quarter 3		Quarter 4		Responsible
				Target	Actual	Target	Actual	Target	Actual	Target	Actual	
		and report on numbers of designated groups reached.										
Joint Indicator 6: The Green Economy and Greening the Economy												
J-KPI Outcome: Growing the Green Economy and greening the economy												
Outcome 1: The CIPC will contribute through the automation of business processes; the CIPC has also begun a scanning project that will ensure all files are available electronically; and electronic workflow and signing of documents. This will ensure that no paper and less electricity used in storing CIPC files.												
Automation strategy	Corporate Services	Evaluate impact of the automation on the organisational environment.	Progress/Status Report	Progress/Status Report		Progress/Status Report		Progress/Status Report		Progress/Status Report		Doctor
Recycling and waste disposal	Corporate Services	Implement recycling and waste disposal initiative.	Progress/Status Report	Progress/Status Report		Progress/Status Report		Progress/Status Report		Progress/Status Report		Hamida
Destroying confiscated goods	IP Enforcement	Confiscated goods are destroyed in an environment	Progress/Status Report	Progress/Status Report		Progress/Status Report	The project to Upcycle counterfeit goods has started in	Progress/Status Report		Progress/Status Report		Amanda

CIPC 2021/22 Joint Indicators Performance Table

Contribution	Area	Output	KPI	Quarter 1		Quarter 2		Quarter 3		Quarter 4		Responsible
				Target	Actual	Target	Actual	Target	Actual	Target	Actual	
		nt friendly way					Q2. Samples are being reworked.					
Scanning project (digitisation internally)	Security and Facilities	The digitisation (scanning) project will result in 100% paperless CIPC	Progress/Status Report	Progress/Status Report		Progress/Status Report		Progress/Status Report		Progress/Status Report		Phineas
Environment Social Governance Assessments – companies we register	Compliance	Add ESG as part of compliance by registered businesses	Progress/Status Report	Progress/Status Report		Progress/Status Report		Progress/Status Report		Progress/Status Report		Joey
Telecommuting strategy	Finance and HC	Audit the impact/savings as a result of the Telecommuting Strategy	Progress/Status Report	Progress/Status Report		Progress/Status Report		Progress/Status Report		Progress/Status Report		MJ & Doctor

CIPC 2021/22 Joint Indicators Performance Table												
Contribution	Area	Output	KPI	Quarter 1		Quarter 2		Quarter 3		Quarter 4		Responsible
				Target	Actual	Target	Actual	Target	Actual	Target	Actual	
SigniFlow	Finance and HC	Audit the impact/savings as a result of the electronic signatures	Progress/Status Report	Progress/Status Report		Progress/Status Report		Progress/Status Report		Progress/Status Report		MJ & Doctor
Joint indicator 7: Strengthening and Building a Capable State												
J-KPI Outcome: Functional, efficient and integrated services within the dtic to improve economic development and ease of doing business.												
Outcome 1: Through the CIPC digital strategy and partnership model, the CIPC increase access and ease of doing business in SA.												
Automate and migrate processes to modernized platforms	BISG	Automate and migrate 100% all processes to modernised platform	Progress/Status Report	Progress/Status Report		Progress/Status Report		Progress/Status Report		Progress/Status Report		DN
IPAS	Patents and Designs	Through Intellectual Property Automation System (IPAS), to automate all processes end to end in the	% of IP processes automated (Average patents, designs and trade marks)	10% of Processes automated	24% (Average Patents and Designs) of Processes automated	30% of Processes automated		50% of Processes automated		80% of Processes automated		Mavis and Rehelda (Trade Marks)

CIPC 2021/22 Joint Indicators Performance Table

Contribution	Area	Output	KPI	Quarter 1		Quarter 2		Quarter 3		Quarter 4		Responsible
				Target	Actual	Target	Actual	Target	Actual	Target	Actual	
		intellectual property (IP) area.										
Virtual channels	Client Engagement	Strengthen virtual channels to avail all the CIPC products and services 24/7.	Progress/Status Report	Progress/Status Report	10 processes migrated to the k2 platform, and 3 conceived for automation	Progress/Status Report		Progress/Status Report		Progress/Status Report		DN & RW & TM
Partnerships		Strengthen existing and seek new partnerships to leverage their partners' key organisational competencies and capabilities such as databases, systems, networks,	Progress/Status Report									DN & RW & TM

CIPC 2021/22 Joint Indicators Performance Table

Contribution	Area	Output	KPI	Quarter 1		Quarter 2		Quarter 3		Quarter 4		Responsible
				Target	Actual	Target	Actual	Target	Actual	Target	Actual	
		and value-add services										
	IP Enforcement	Training partners on Counterfeiting	No. of IP Enforcement Education and awareness events				6 Events hosted in Q2					Amanda
Training and Development	Human Capital	CIPC Training Plan	Progress/Status Report									DM
OD	Human Capital	Promote efficiency and effectiveness of the CIPC	Progress/Status Report on OD									DM
SSE	Human Capital	Internship – youth (under 35) – including designated group	Progress/Status Report									DM
IP for SMME	IP4SMMEs	Building capacity countrywide of SMMEs to realise their potential	No. of Technology Station MoUs for IP capacity building initiatives	discussion among IP managers	agreement on activity purpose	activity scoping	activity scoping doc finalized					Logan

CIPC 2021/22 Joint Indicators Performance Table

Contribution	Area	Output	KPI	Quarter 1		Quarter 2		Quarter 3		Quarter 4		Responsible
				Target	Actual	Target	Actual	Target	Actual	Target	Actual	
CIPC Learning Academy		Medium term intervention	Progress/Status Report	Framework Document to be submitted to EXCO	Academy Framework document approved by Exco	Assessment Questionnaire submitted to WIPO	Assessment Questionnaire was completed and submitted to WIPO					Vuyani
Collaboration with the Japan IP Office	IP Education	Giving small IP firms training by WIPO (also staff)	Report on facilitated training with IP small firms									MN
Swiss-SA Project		Open to other government agencies	Progress Report on Swiss SA Project									
IP Summer School	IP Education		IP Summer School Report									KP

5. Risk Management Report - Annexure C

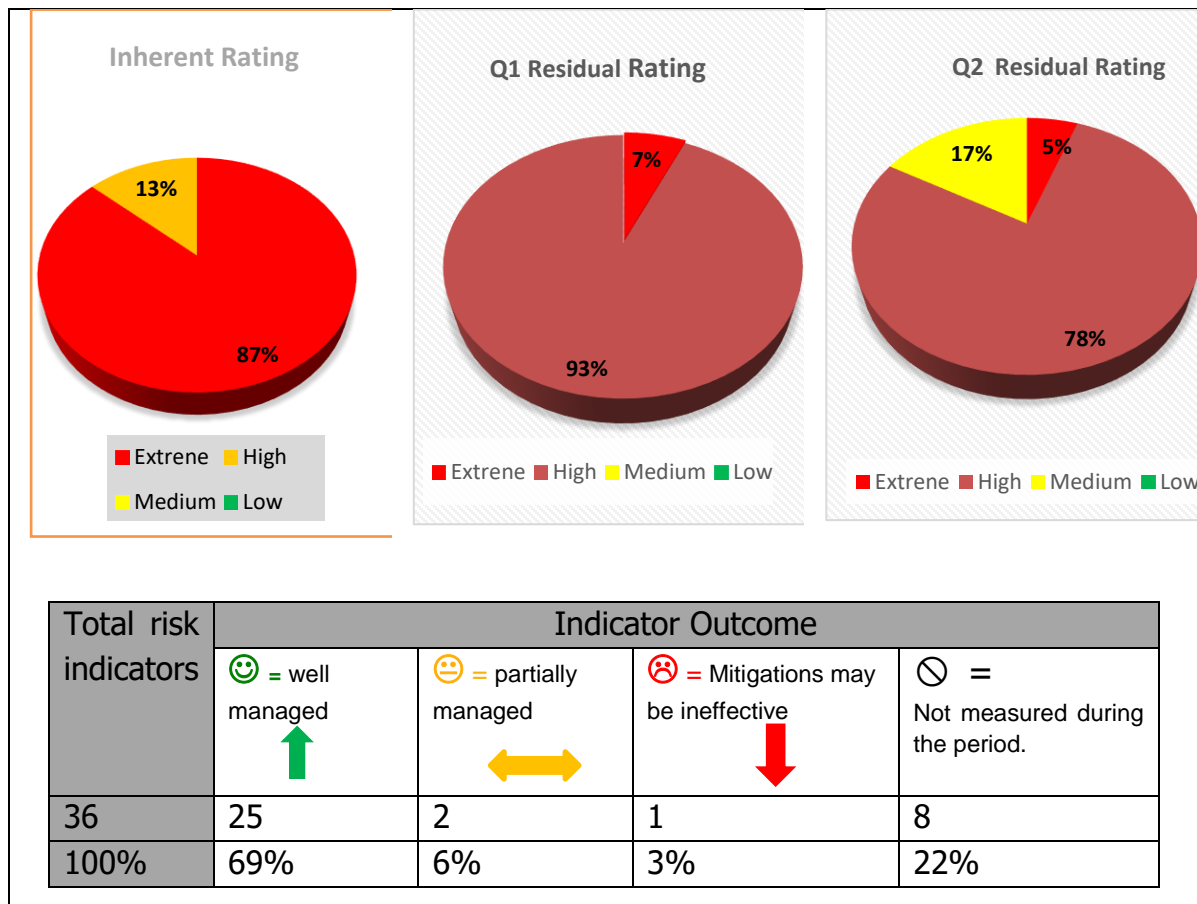
5.1 Overview

This section provides progress on the management of strategic and operational risks during the reporting period. Progress on the implementation of strategic mitigating actions planned for Q2 is summarised under 5.2 and 5.3 below.

5.2 Strategic Risk Dashboard

The strategic risk dashboard below provides a summary of the strategic risk ratings as at 30 September 2021.

Figure 5: Strategic Risk Dashboard



The current residual rating indicates an improvement from the previous quarter. However, a clear picture of the effectiveness and impact of controls implemented during the period on identified risks, alignment of the strategic risk register with the risk appetite and tolerance threshold should be considered. Using the indicator profile identified in the risk tolerance framework and using impact categories, it is

evident that the CIPC is on track in pursuing its objectives whilst managing associated risks.

Once assessed, indicators not measured could change the outcome in one or more indicator categories. This however, is unlikely to significantly alter the direction the organisation is headed in considering the percentage of both “well managed” and “partially managed” controls.

5.3 Risk Movement Dashboard

A summary of the residual risk ratings movement from the beginning to the end of the period is illustrated by the table below:

Table 30: Risk Movement Dashboard

Risk Name	Residual rating	Movement	
	01/04/21	Q1	Q2
1. Inadequate availability and accessibility of channels	High	↔	↔
2. Inadequate ICT infrastructure	High	↔	↔
3. Lack of Stability of IT systems (CIPC, Partners and 3rd party providers)	High	↔	↔
4. Inability to effectively manage stakeholder relations and expectations	High	↔	↔
5. Inadequate information & cyber-security	High	↔	↓
6. Inadequate data integrity	High	↔	↔
7. Ineffective governance and oversight over finance and supply chain management	High	↔	↑
8. Financial sustainability	High	↔	↔
9. Lack of optimal and professional organisational culture	High	↔	↔
10. Ineffective people management	High	↔	↔
11. Inadequate Accessibility of Intellectual Property (IP) services Programme	Extreme	↑	↔
12. Ineffective implementation of the substantive search and examination programme	High	↔	↔
13. Ineffective and inefficient enforcement	High	↔	↔
14. Labour relations and stability thereof	High	↔	↑
15. Occupational Health and Safety	Extreme	↔	↑

The above table indicates quarterly residual risk movement. As a result of the risk which materialised during the reporting period, a rating regression for risk 5 is noted as compared to the previous quarter. A regression requires focused management attention to ensure that risk is adequately managed. Three risks recorded an improvement with the remainder remaining unchanged.

5.4 Operational Risk Management

The review of the operational risks remains a challenge, 11 out of 19 operational registers were submitted at the time of compiling this report. No risks were reported for escalation to the strategic level.

5.5 Progress On Implementation Of Risk And Fraud Plan

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

Table 31: Progress on the Implementation of Risk and Fraud Plan

Activities	Planned	Q1	Q2	Comment
1.1 Risk plan development and approval				
1.2 Revision of risk management policy.	✓			
1.3 Risk framework & methodology review	✓			
1.4 Strategic risk register annual review				
1.5 Risk appetite statement review				
1.6 Conduct operational root cause analysis	✓			
1.7 Quarterly risk monitoring and reporting	✓			
1.8 Operational risk register review				
1.9 Develop a third party risk Framework				
1.10 Conduct risk management awareness	✓			
2.1 Fraud prevention plan review				
2.2 Fraud Risk Register review	✓			Review process started - to be completed in Q3
2.3 Ethics plan implementation	✓			
2.4 Fraud data analysis and reporting	✓			
2.5 Fraud awareness and education	✓			BCM awareness prioritised- Activity planned for Oct 2021
2.6 Facilitate declaration of interest	✓			
2.7 Maintain an effective case database	✓			
2.8 Conduct investigations	✓			

Activities	Planned	Q1	Q2	Comment
2.9 Quarterly reporting on fraud prevention	✓			

Key:

Complete	In progress	Not done	Not planned for the period
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A total of 11 activities were planned for the reporting period with an additional outstanding which was carried over from the previous period, bringing the total to 12 activities for completion in the quarter. As at the end the review period 9 had been completed with two in progress and one not done.

6. Audit Report - Annexure D

6.1 Progress against Internal Audit Finding Matrix & Progress against AG/External Audit Finding Matrix

(AUDIT FINDINGS TRACKING SUMMARY REPORT FOR THE QUARTER ENDED 30 SEPTEMBER 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 2020/21 financial year as well as findings and observations from internal audit reviews conducted in the 2016/17, 2017/2018, 2018/19, 2019/2020 AND 2020/2021 financial years. Details of progress are contained in the respective registers attached to this report.

2. Summary of all Unresolved Findings

Audits assignment Involved = **24**

Total findings at the beginning of Q2 of 2021/2022 = **119**

Total findings resolved = **30**

Total findings in progress = **41**

Total findings unresolved = **48**

2.1 Auditor General Findings 2020/21

Audit Assignment	Q2 2021/2022 opening balance	Addressed and risk accepted	In progress	Not Addressed
AG: Management report findings	34	16	14	4
% Total	100%	47%	41%	12%

2.2 Internal Audit Findings

2.2.1 2017/2018

Audit Assignment	Total outstanding Findings Q2 of 2021/2022	Addressed and risk accepted - Total	Partially Addressed	Not Addressed - Total
Free State Self Service Terminal	1	0	1	0
Registry audit	5	0	2	3
Annual returns compliance	1	0	1	0
TOTAL	7	0	4	3
		0%	57%	43%

2.2.2 2018/2019

Audit Assignment	Total outstanding Findings Q2 of 2021/2022	Addressed and risk accepted - Total	Partially Addressed	Not Addressed - Total
Application control review on the Ptolemy system	1	0	0	1
Education and awareness audit	4	0	0	4
Surveillance and enforcement audit	1	0	0	1
Security management review	7	2	3	2
Service Delivery Standards review	11	0	0	11
TOTAL	24	2	3	19
		8%	13%	79%

2.2.3 2019/2020

Audit Assignment	Total outstanding Findings Q2 of 2021/2022	Addressed and risk accepted - Total	Partially Addressed	Not Addressed - Total
Business Plan 2019/2020	1	0	1	0
General IT Control Audit	1	0	1	0
Disclosure	1	0	0	1
Trade Marks	1	0	0	1
Penetration test	11	0	1	10
TOTAL	15	0	3	12
	30	0%	20%	80%

2.2.4 2020/2021

Audit Assignment	Total outstanding Findings at beginning of Q2 of 2021/2022	Addressed and risk accepted - Total	Partially Addressed	Not Addressed - Total
Communications	8	0	8	0
Supply Chain and Contract Management	2	0	2	0
Training	4	0	2	2
Cyber security	1	0	1	0
ICT Business Continuity Management	2	0	0	2
Financial Statement Reporting	7	2	4	1
Q2 Performance Information	1	0	0	1
Website & QRS	3	0	0	3
Budget and expenditure	6	6	0	0
Revenue	5	4	0	1
TOTAL	39	12	17	10
		35%	50%	29%

6.3 Progress made regarding Combined Assurance Plan

The progress report on the Combined Assurance Plan is provided bi-annually.

7. Financial Report - Annexure E

8. PFMA and TR compliance checklist - Annexure F

SECOND QUARTER COMPLIANCE CALENDAR				
JULY 2021			Status	Responsible
23 July 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	This is done quarterly.	Finance
30 July 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 2021/22 first quarter report signed by the Accounting Authorities. The report should be aligned to the 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.	Done	Strategy and Planning
30 July 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	Not Applicable	Finance

SECOND QUARTER COMPLIANCE CALENDAR

30 July 2021	<ul style="list-style-type: none"> Shareholder's requirement 	Submit a copy of the audited annual financial statements including the audit committee report	Done. Submitted:	Finance
AUGUST 2021				
To be confirmed	<ul style="list-style-type: none"> PFMA 65 (1) 	Submit 80 copies and one (1) copy of the CD of the final Annual Reports to the Parliamentary Officer, 120 Plein Street, 6th floor, Cape Town, 10 copies to the Public Entity Oversight (PEO) and 10 copies to the National Treasury	Not done anymore. The dtic submit virtually.	Strategy & Planning
30 August 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	This is done quarterly.	Finance
27 August 2021	<ul style="list-style-type: none"> Shareholder's requirement 	Submit copies of management letter received from the AGSA or independent auditors as well as the audit report for the last financial year	Done. Submitted:	Finance

SECOND QUARTER COMPLIANCE CALENDAR

27 August 2021	<ul style="list-style-type: none"> Framework for Strategic Plans and Annual Performance Plans 	3A public entities submit first draft of the Annual Performance Plans to the National Treasury, Department of Performance Monitoring and Evaluation (DPME) and the Minister via the PEO	Due on 31 October	Strategy & Planning
SEPTEMBER 2021				
24 September 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	To be submitted.	Finance
30 September 2021	<ul style="list-style-type: none"> Shareholder's requirement 	Executive Authority submit first draft shareholder's compact for Accounting Authorities consideration		OCOM
30 September 2021	<ul style="list-style-type: none"> PFMA 53.(1) 	Submit a budget of estimated revenue and expenditure for the 2021/2022 financial year	To be submitted	Finance