



Companies and Intellectual
Property Commission

a member of the dti group

Companies and Intellectual Property Commission

Annual Performance Plan for 2021/22 – 2023/24

31 January 2021

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Abbreviations and Acronyms

AfCFTA	African Continental Free Trade Area
AFS	Annual Financial Statements
AR	Annual Returns
BBBEE	Broad Based Black Economic Empowerment
BISG	Business Information Systems Group
BR	Business Rescue
BRR	Business Regulation and Reputation
CA	Chartered Accountants
CC	Close Corporation
CEO	Chief Executive Officer
CFO	Chief Financial Officer
CIPC	Companies and Intellectual Property Commission
CLC	Client Liaison Committee
CO	Company
COVID-19	Corona Virus Disease 2019
CS	Corporate Services
DB	Doing Business
DBSA	Development Bank of South Africa
DDM	District Development Model
DM	Divisional Manager
DST	Department of Science and Technology
Dtic	Department of Trade, Industry and Competition
EM	Executive Manager
EU	European Union
FSCA	Financial Sector Conduct Authority
GCI	Global Competitiveness Index
I&C	Innovation and Creativity
ICT	Information, Communication and Technology
IDC	Industrial Development Corporation,
IFRS	International Financial Reporting Standard
IP	Intellectual Property
IPAP	Industrial Policy Action Plan
IT	Information Technology
JSE	Johannesburg Stock Exchange
K2	Code for a digital platform

MOI	Memorandum of Incorporation
MP	Member of Parliament
NEF	National Empowerment Fund
NIS	National Innovation System
NLC	National Lotteries Commission
PPE	Personal Protective Equipment
QRS	Query Resolution System
RI	Reportable Irregularities
SACCL	Standing Advisory Committee in Company Law
SARS	South African Revenue Services
SCM	Supply Chain Management
SEDA	Small Enterprise Development Agency
SEZ	Special Economic Zones
SM	Senior Manager
SOE	State Owned Enterprises
SSC	Self-service centres
SST	Self-service terminals
the dtic	The Department of Trade, Industry and Competition
UIF	Unemployment Insurance Fund
USSD	Unstructured Supplementary Service Data
WIPO	World Intellectual Property Organisation
iXBRL	Inline eXtensible Business Reporting
Language	

Executive Authority Statement

This Annual Performance Plan (APP) of the Companies and Intellectual Property Commission (CIPC) has been prepared by the management for consideration by the Executive Authority and tabling in Parliament. The Annual Performance Plans (APP) of public entities identify the outputs, output indicators and targets that an entity aims to achieve in the new financial year. The Executive Authority is responsible to ensure the APP is aligned with the Strategic Plan, the institution's mandate and government's priorities and to provide direction on the development and implementation of strategic priorities and policies.

The Covid-19 pandemic changed the landscape within which DTIC-entities operate and they are therefore expected to adjust their operations to address the new environment and new priorities. There is an urgent need to boost levels of economic growth and economic recovery, support transformation and build a capable state.

In particular, the APP for the 2021/22 financial year will need to reflect the policy priorities set out in Budget Vote statements tabled in Parliament during this Administration and those that arise from:

- The Economic Recovery and Reconstruction Plan tabled in Parliament in October 2020 by President Ramaphosa.
- The priorities set out in the 2021 State of the Nation Address
- The new performance compacts between members of the Executive and the Presidency signed in November 2020; and the
- New District Development Model as an integration of development efforts at local level.

This APP is tabled and updates to the Plan – when these are effected – will be tabled in Parliament in due course, taking account of the above.

As the practical means to ensure alignment between APPs and policy priorities, the Annual Performance Plan for the DTIC itself has sets out the requirement to ensure integration between the work of the department and all public entities that report to it. Seven new Joint-Indicators (J-KPIs) have been developed for the DTIC that contain the major policy priorities and these are expected to be included in the work of the CIPC, with progress against these to be reported to the Ministry on a quarterly basis.

The CIPC will be expected to show how, within its legal mandate, it has contributed to the achievement of the outcomes for the following seven Joint Indicators (details of which are contained in more detail in the APP of the department itself):

- Joint Indicator 1: Integrated Support to Drive Industrialisation
- Joint Indicator 2: Contribution to the development of an AfCFTA Export Plan
- Joint Indicator 3: Investment Facilitation and Growth
- Joint Indicator 4: Development Model and Spatial Equity
- Joint Indicator 5: Actions to Promote Transformation
- Joint Indicator 6: The Green Economy and Greening the Economy
- Joint Indicator 7: Strengthening and Building a Capable State

In this way, the combined efforts of all public entities will begin to be aligned to the national priorities in a more explicit manner. The Joint-Indicators cover, among others, the work of sector masterplans, initiatives to boost levels of investment and localisation in the economy, expanding trade within the continent, enabling better local economic development, supporting the growth of new industries (in the green economy and through beneficiation) and building a capable state. In respect of Joint-Indicator 7 for example, all public entities will be required to review their procedures, timeframes for delivery, forms to be filled in and public communication of services to

simplify these, make processes expeditious where possible, remove unnecessary red-tape where these exist and make it easier for users to access services.

This APP is therefore not about many new objectives but rather on a new way of implementation, with the focus on integration, to enhance the development impact of the work. I therefore endorse the work to align the APP of the CIPC with the national priorities and accordingly table the APP for the CIPC in accordance with the request by the Speaker.

A handwritten signature in black ink, appearing to read 'Ebrahim Patel', with a long horizontal stroke extending to the right.

EBRAHIM PATEL
MINISTER OF TRADE, INDUSTRY AND COMPETITION

Date: 31 March 2021

Accounting Officer Statement

I present the revised 2021/22 – 2023/24 CIPC Annual Performance Plan that outlines how the CIPC as a regulator will continue to give effect to its mandate as derived from the shareholders compact with **the dtic** and the Companies Act, 2008 (as amended), by which it was established.

The Companies and Intellectual Property Commission (CIPC) has made great stride towards its vision to establish itself as a reputable, modern, world-class regulator of business and intellectual property. By leveraging digital technologies and partnerships, emphasising collaboration and innovation, we established key competencies to respond and adapt to customer requirements and environmental changes such as those presented by the COVID19 pandemic.

The CIPC has won several innovation awards for innovative ways to make it easy to do business in South Africa (SA), and therefore reduce the administrative regulatory burden for businesses and innovators. This has set CIPC in the international arena as a reputable regulator.

Through collaboration and partnerships, the CIPC has focused on the development and expansion of multiple channels to increase access to the CIPC products and services and improve ease of transacting. These channels include the e-services website, self-service centres (SSCs) and partner sites (self-service terminals (SSTs)), the *BizPortal*, which includes the Banks (FNB, Nedbank, Standard Bank, ABSA, Capitec, and SASFIN), the Mobile App, the Call Centre, the Query Resolution System (QRS), Unstructured Supplementary Service Data (USSD), as well as social media (Facebook, Twitter, You Tube and WhatsApp). The uptake of these channels is increasing by the day.

The CIPC modernisation programme entails migrating processes from the legacy systems to modern platforms, as well as automation of all its processes. A bulk of the core services have been migrated onto the K2 platform (*a platform used for Business Process Management to automate business processes or workflows.*) and released to new e-services. 29% of CIPC customer focused processes have been automated. As a result automation, company registration have been reduced to less than two days. Annual returns (AR) filing takes less than five (5) minutes. Another major achievement is the automation of annual financial statements filing through the Inline Extensible Business Reporting Language (iXBRL).

The CIPC education and awareness programme has focused on IP awareness for SMMEs, institutes of higher learning, and school kids; improving compliance with the Company and IP Laws such as the annual returns filing, the submission of the audited financial statements; as well as IP enforcement. To clamp down on counterfeit trading, and to change consumer behaviour viz. counterfeit purchases, the CIPC has used strategic engagements and operations with multiple domestic and international law enforcement agencies. Corporate enforcement has been realised through compliance surveillance and proactive investigations. The CIPC is strengthening its capacity for IP protection through building a capability of substantive search examination for patents.

The futuristic and forward-looking CIPC Vision 2030 strategy envisions the CIPC making a strategic contribution towards improving South Africa's competitiveness and growth. In line with **the dtic's** six (6) point programme, the CIPC Vision 2030 strategy focus on four (4) areas:

1. We want to continue building the required competencies and capabilities to become a **world-class modern regulator** that is fit-for-purpose, agile, adaptive, high-performing organisation that is ahead of the curve, making a strategic contribution towards SA's improved competitiveness and growth. This is in line with the national government's priority to improve the capacity of the state. We are also committed " ...to find new ways to protect public resources so as to reassure the public that corruption will not get in the way of effective delivery." Organisation design to ensure that the organisation is capacitated appropriately is underway.

2. We will continue focusing our efforts on reducing the regulatory administrative burden by creating ease, simplicity, and flexibility in the formation, maintenance and compliance by companies, as well as protection of intellectual property. This will make it **easy to do business in SA**, contributing to enterprise efficiency, growth and sustainability. This will entail our continued efforts to build and strengthen multiple access channels to the CIPC services, as well as modernization and digitizing all CIPC processes, and systems.
3. The CIPC will ensure implementation and compliance with Company and IP Laws to create a reputable Business Regulation and IP Protection environment in South Africa, contribution to **investor confidence in SA businesses and innovations** translating to investments in business and innovations, and contributing to business growth and sustainability. We will strengthen compliance monitoring and enforcement efforts, while providing business support to SMMEs through our outreach programme together with our partners, such as Small Enterprise Development Agency (SEDA).
4. We want to **support third party decision making**, including our own, by leveraging knowledge assets and networks, extracting maximum value for us and our customers. We will accelerate our efforts to improve data quality and integrity. We will also analyse, and package our data to be value adding to third parties who use it.

I believe that the commitment and dedication shown by the CIPC executives, senior management, and staff in performing their jobs admirably in the recent years, thereby contributing to the realisation of our plans, and the delivery of services to CIPC clients, will continue, and therefore taking the CIPC to new heights. Organised labour contribution has been instrumental to the organisation's effectiveness, and we trust it will continue in the same fashion.

We will rely on Audit, and Risk & IT Committees for their value-add and commitment to governance within the organisation, as it has been done previously. Contribution of Committees like the Client Liaison Committee (CLC), IP Lawyers fraternity, Standing Advisory Committee in Company Law (SACCL), and all collaboration partners is our winning formula, and we will therefore continue to work with these stakeholders.

Finally, and most importantly, we will rely the support of the Minister of Trade, Industry and Competition, Ebrahim Patel; the Deputy Minister of Trade, Industry and Economic Development, Nomalungelo Gina; the Deputy Minister of Trade and Industry, Mr Fikile Majola and the Director General of **the dtic**, Mr Lionel October, together with **the dtic** staff to guide and provide oversight on our work as they have done in the past.



Adv. Rory Voller

CIPC Commissioner

Date: 24/03/2021

Official Sign-Off

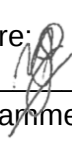
It is hereby certified that this Annual Performance Plan:

- ☐ Was developed by the management of the Companies and Intellectual Property Commission (CIPC) under the guidance of the Commissioner, Adv. Rory Voller.
- ☐ Takes into account all the relevant policies, legislation and other mandates for which The CIPC is responsible.
- ☐ Accurately reflects the Impact, Outcomes and Outputs which the CIPC will endeavour to achieve over the period 2021/2022 – 2023/24.

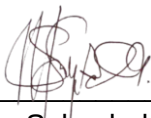
Programme 1: Service Delivery Access

Signature: 

Ms
Hamida Fakira, Executive Manager:
Corporate Services
Date: 24/03/2021

Signature: 

Mr Muhammed Jasat, Chief Financial
Officer
Date: 24/03/2021

Signature: 

Mr Samson Sekgobela, Acting Executive
Manager: Business Information Systems
Date: 24/03/2021

Signature: 

Mr Lungile Dukuwaba, Chief Strategy
Executive
Date:

Programme 2: Innovation and Creativity

Signature: 

Ms Nomonde Maimela, Executive
Manager: Innovation and Creativity
Date: 24/03/2021

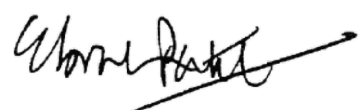
Signature: 

Adv. Rory Voller, Commissioner: CIPC
(Accounting Officer)
Date: 24 March 2021

Programme 3: Business Regulation and Reputation

Signature: 

Adv. Rory Voller, Acting Executive
Manager: Business Regulation and
Reputation
Date: 24 March 2021

Approved by: 
Signature: _____
Mr Ebrahim Patel, Minister of Trade,
Industry and Competition
Date: 31 March 2021

Part A: Our Mandate

1. Constitutional Mandate

The CIPC must abide by the Constitution of the Republic of South Africa Act, 1996 (Act No. 108 of 1996) as amended. **Table 1: CIPC Constitutional Mandate** highlight sections with more relevance for the CIPC.

Table A. 1: Constitutional Mandate

Chapter and Section	Provision
Chapter 2: Bill of Rights	
Rights: Section 7.	The state must respect, protect, promote and fulfil the rights in the Bill of Rights.
Equality: Section 9:	The state may not unfairly discriminate directly or indirectly against anyone on one or more grounds, including race, gender, sex, pregnancy, marital status, ethnic or social origin, colour, sexual orientation, age, disability, religion, conscience, belief, culture, language and birth.
Access to information: Section 32.	(1) Everyone has the right of access to— (a) any information held by the state; and (b) any information that is held by another person and that is required for the exercise or protection of any rights. (2) National legislation must be enacted to give effect to this right, and may provide for reasonable measures to alleviate the administrative and financial burden on the state.
Just administrative action: Section 33.	(1) Everyone has the right to administrative action that is lawful, reasonable and procedurally fair. (2) Everyone whose rights have been adversely affected by administrative action has the right to be given written reasons. (3) National legislation must be enacted to give effect to these rights, and must— Chapter 2: Bill of Rights 14 (a) provide for the review of administrative action by a court or, where appropriate, an independent and impartial tribunal; (b) impose a duty on the state to give effect to the rights in subsections (1) and (2); and (c) promote an efficient administration.

2. Legislative and policy mandates

2.1 Legislative mandates

The CIPC is listed as a Schedule 3A entity in the Public Finance Management Act, 2001 (Act No. 1 of 2001) as amended (herein referred to as the PFMA).

As shown in **Table A.2: PFMA Provisions for Public Entities**, Chapter 1, 6, and Schedule 3A of the PFMA has provisions for public entities such as the CIPC.

Table A. 2: PFMA Provisions for Public Entities

Chapter and Section	Provision
Chapter 1	A national public entity is a board, commission, company, corporation, fund or other entity (other than a national government business enterprise) which is— (i) established in terms of national legislation; (ii) fully or substantially funded either from the National Revenue Fund, or by way of a tax, levy or other money imposed in terms of national legislation; and (iii) accountable to Parliament;
Chapter 6	Provides for classification; assignment of powers and responsibilities, corporate plans, annual budgets and performance ,revenue and expenditure management, information access, annual reports, and financial statements of public entities
Schedule 3A	List the CIPC as a Schedule 3A entity

As a national public entity, the CIPC is established by a national legislation, the Companies 10 February 2021 Act, 2008 (Act No. 71 of 2008). As shown in **Table A.3: Legislative Mandate**, the CIPC is legislated by a number of Acts of Parliament.

Table A. 3: CIPC Legislative Mandate

Legislation	Summary
Companies Act, No 71 of 2008	Register companies, business rescue practitioners and corporate names; maintain data; regulate governance of and disclosure by companies; accredit dispute resolution agents; educate and inform about all laws; give non-binding opinions and circulars, policy and legislative advice Enforce the Companies Act, 2008 to promote voluntary resolution of disputes arising this Act between companies and directors or shareholders as contemplated in Part C of Chapter 7, monitor proper compliance with the Act, receiving or initiating complaints concerning alleged contravention of this Act, evaluating such complaints, and initiating investigations into complaints. Maintenance of accurate, up-to-date and relevant information concerning companies, foreign companies and other juristic persons contemplated in subsection (1) (a) (ii), and concerning intellectual property rights, and the provision of that information to the public and to other organs of state.
Close Corporations Act, No 69 of 1984	Maintain data, regulate governance of and disclosure by close corporations
Co-operatives Act, No 14 of 2005	Register co-operatives, maintain data, regulate governance of and disclosure by co-operatives
Co-operatives Amendment Act, No 6 of 2013	Annual submission of information by co-operatives, audit and independent review of co-operatives, voluntary winding-up of cooperatives by special resolution, liquidation process of co-operatives
Share Block Control Act, No 59 of 1980	Regulate conduct and disclosure by share block schemes
Consumer Protection Act, No 68 of 2008	Register business names
Trade Marks Act, No 194 of 1993	Register trade marks, maintain data, resolve disputes
Merchandise Marks Act, No 17 of 1941 (Unauthorized Use of State Emblems Act, No 37 of 1961)	Prevent and enforce the unauthorized use of state emblems
Patents Act, No 57 of 1978	Register patents, maintain data, publish patent journal, administer Court of Commissioner of Patents

Legislation	Summary
Designs Act, No 195 of 1993	Register designs, maintain data, resolve disputes
Copyright Act, No 98 of 1978	Provide non-binding advice to the public
Registration of Cinematography Films Act, No 62 of 1977	Register films, maintain data
Performers Protection Act, No 11 of 1967	Accredit Collecting Societies; regulate their governance, conduct and disclosure
Counterfeit Goods Act, No 37 of 1997	Conduct and co-ordinate search and seizure operations, oversee depots

2.2 Policy mandates

Apart from the pieces of legislation that the CIPC is responsible for, the CIPC also derives its policy mandate from the policies of its principal department, **the dtic**, and SA government in general. The key policies and strategies of **the dtic** relevant to the CIPC are as follows:

Table A. 4: National policies and strategies

Policies/Strategies	Summary	CIPC Contribution
National Development Plan 2030	The NDP 2030 is a long term vision for the country which provides a broad strategic framework to guide key government choices and actions, and focuses on the critical capabilities needed to transform the economy and society. The plan highlights that accelerated development in South Africa requires the active support of all citizens, leadership in all sectors that puts the country's collective interests ahead of narrow, short-term goals, and radically improved government performance. The NDP 2030 has two overarching goals: – Firstly, a reduction in the number of people who live in households with a monthly income below R419 per person from 39% to zero. – Secondly, a reduction in inequality as measured by the Gini coefficient, from 0.69 to 0.6.	The CIPC's vision is to make a strategic contribution towards improving SA's competitiveness and growth. This is done through making it easy to do business in SA; regulate business and IP environment contributing to SA becoming an investment destination, and enabling the protection and commercialisation of innovation; and leverage knowledge assets and networks to support third party decision making. In doing so, the CIPC contributes towards elimination of poverty, and reduction of inequality.
National Development Plan Five Year Implementation Plan 2019-2024	The NDP Five-Year Implementation Plan provides a medium term roadmap which will form the basis for developing five-year institutional plans that will guide the realization of the NDP priorities. The purpose of the NDP Five Year implementation plan is to advance and guide medium and short term planning that is responsive to the attainment of the NDP priorities. Intergovernmental and interdepartmental planning is crucial to the realisation of government priorities and ultimately the vision for South Africa. The NDP Five Year Implementation Plan will allow for the coordination and alignment of priorities across the spheres of government and non-government stakeholders, and assist in integrating all the components of national development into mainstream planning processes.	The NDP Implementation Plan forms the basis of the CIPC Strategic Plan and APP as follows: • These plans outline how the CIPC will make a strategic contribution towards the improvement SA's competitiveness by improving ease of doing business; regulating business and IP environment contributing to a reputable environment for SA becoming an investment destination, and enabling the protection and commercialisation of innovation; as we as leverage knowledge assets and networks to support third party decision making. In

Policies/Strategies	Summary	CIPC Contribution
		doing so, the CIPC contribute to the realisation of NDP priorities. - The CIPC's digital strategy emphasize development and strengthening of virtual channels, and automation of key services to extend access throughout South Africa. The risk associated with this strategy is high costs of network data in South Africa. Some of the CIPC customers might not be privileged to afford data costs. This limits access to this group of customers. - To supplement the digital strategy, the CIPC's collaboration strategy emphasize collaboration and partnerships not only with government (national and provincial departments), but also with the private sector. The CIPC has used its partnership model to expand its footprint by installing and operating Self-Service Terminals (SSTs) in partner sites such as provincial departments Through Banks the CIPC also avail its services. In this way, access to the CIPC services is extended to local communities.
Medium Term Strategic Framework 2019/20 – 2023/24	The Medium Term Strategic Framework (MTSF) 2019 - 2024 is the government's monitoring framework for the NDP Five Year Implementation Plan during the electoral cycle. It reflects how government will measure its progress against the commitments made in the election manifesto of the governing party and the NDP Five Year Implementation Plan. It is a basis for measurement of government performance and must be aligned with measurement of performance at the national, provincial and local government spheres.	See Table A.5 for a detailed description of how the CIPC is contributing to the MTSF 2019-2024 Priorities

Policies/Strategies	Summary	CIPC Contribution
	MTSF 2019-2024 has seven (7) priorities, of which specific interventions and targets have been set: • Priority 1: A capable, ethical and developmental state • Priority 2: Economic Transformation and Job Creation • Priority 3: Education, skills and health • Priority 4: Consolidating the social wage through reliable and quality basic services • Priority 5: Spatial integration, human settlements and local government • Priority 6: Social cohesion and safe communities • Priority 7: A better Africa and world	
District Development Model	The District Development Model (DDM) is a New Integrated Planning Model for Cooperative Governance at a District/Metro Scale. It provides both an Institutional Approach and Territorial Approach (<i>geographic space</i>). The focus is on 44 Districts plus 8 Metros as developmental spaces (IGR Impact Zones) as the strategic alignment platforms for all three spheres of government where One Plan for each space guides and directs all strategic investments and projects for transparent accountability. The Plan will harmonize IDPs and create interrelated, interdependent as well as 'independent' development hubs supported by comprehensive detailed plans. The plan is an inter and intra governmental and leads to creating society wide Social Compact; and the One Plan will be strategic and long-term in nature, with medium term strategic plans and short term operational plans all expressing the commonly agreed diagnostics, strategies and actions.	The CIPC digital strategy emphasize development and strengthening of virtual channels, and automation of key services to extend access throughout South Africa. As indicated in the previous section, the risk associated with this strategy is high costs of network data in South Africa. Some of the CIPC customers might not be privileged to afford network data. The CIPC has used its partnership model to expand its footprint by installing and operating Self-Service Terminals (SSTs) in partner sites such as provincial departments. Some CIPC services are also provided through Banks. In this way, access to the CIPC services extended to local communities.

Policies/Strategies	Summary	CIPC Contribution
the dtic Strategic Plan	Vision: A dynamic industrial, globally competitive South African economy, characterised by meaningful economic transformation, inclusive growth and development, decent employment and equity, built on the full potential of all citizens. Mission: • promote structural transformation, towards a dynamic industrial and globally competitive economy; • provide a predictable, competitive, equitable and socially responsible environment, conducive to investment, trade and enterprise development; • broaden participation in the economy to strengthen economic development; • continually improve the skills and capabilities of the dtic to effectively deliver on its mandate and respond to the needs of South Africa's economic citizens; • coordinate the contributions of government departments, state entities and civil society to effect economic development; and improve alignment between economic policies, plans of the state, its agencies, government's political and economic objectives and mandate	The CIPC's vision is to make a strategic contribution towards improving SA's competitiveness and growth. The CIPC contribute into providing a predictable business and IP protection environment conducive for investment, and enterprise development. The CIPC digital and collaboration strategies contribute to the broadening economic participation by extending the CIPC services to communities who would otherwise not be reached if not for the digitization and SSTs in provincial partner sites. The CIPC programmes such as education and awareness programme, the Inventor Assistance Programme, and others develop knowledge and provide support on business formalization and IP protection. In doing so, broaden economic participation.
The dtic Minister's commitments (Post-COVID-19) and 6 point programme	Minister of Trade and Industry commitments (Post-COVID19): • Every directorate of the dtic and every agency will prioritise saving firms and jobs, and report on a monthly basis on their impact. (reallocate resources, support DDM, common back office for finance, ICT, and HR) • Re-calibrate 6-point programme to save lives and protect livelihoods The Minister of Trade, Industry and Competition 6-point programme: • To strengthen economic dynamism, • To help pivot the economy from its reliance on imports, to greater levels of local manufacture,	As indicated above, the CIPC programmes develop knowledge and provide support on business formalization and IP protection. In doing so, broaden economic participation. The CIPC digital strategy emphasize development and strengthening of virtual channels, and automation of key services to extend access throughout South Africa, and reduce turnaround time for CIPC services. This indirectly contributes to enterprise efficiencies, sustainability and growth. In line with improving the capacity of the state, the CIPC aims to develop and strengthen organisational and employee competencies and capabilities towards being a modern world-class

Policies/Strategies	Summary	CIPC Contribution
	• In the area of trade, to provide trade support to local firms, both in the domestic market and for exports, • On investment, we will focus on consolidating the presence of firms who have existing operations and help those who made investment pledges, to bring projects to fruition. • On transformation, our efforts will go to providing nonfinancial support to black industrialists to complement the funding; • On special economic zones (SEZs), national government will play a stronger role in improved governance, advocacy and mobilising investment. To improve the capacity of the state, we will review the performance of the 17 public entities falling under the dtic, identify opportunities to consolidate and merge some entities, address underperformance and in the case of the National Lotteries Commission (NLC) promote greater transparency and improved governance.	regulator that is agile, relevant, fit for purpose, high performing and ahead of the curve at all times.
Industrial Policy Action Plan (IPAP) 2018/19 – 2020/21	To facilitate diversification by promoting increase value-addition per capita and intensification of South Africa's industrialization process. IPAP has five (5) transversal focus areas: • Public procurement – with elimination of corruption • Industrial financing and incentives • Development trade policy including unlocking of the potential of SMMEs and Cooperatives, and supporting the Continental Free Trade Area • Innovation and technology, and • Special economic zones	The CIPC collaborate with other entities such as SEDA to support small businesses, and also participate in the Africa Continental Free Trade Area project.
Strategy on the Promotion of Entrepreneurship and Small Enterprise	To increase supply for financial and non-financial support services and creating demand for small enterprise products and services through the reduction of small enterprise regulatory constraints.	Through its education and awareness programme, the CIPC works with entities such as SEDA to provide non-financial support to SMMEs.

Policies/Strategies	Summary	CIPC Contribution
Corporate Law Reform Policy	To promote growth, employment, innovation, stability, good governance, confidence in the South African business environment, as well as increase international competitiveness.	The mandate of the CIPC is to regulate the business and IP environment such that there is confidence in the business environment and the country's competitiveness is promoted.
Co-operatives Development Policy for South Africa	Create an enabling environment for co-operative enterprises which reduces the disparities between urban and rural businesses, and is conducive to entrepreneurship and to promote the development of economically sustainable cooperatives	Through the Co-operatives Unit and the education and awareness programmes, the CIPC supports the co-operatives sector.
Integrated Strategy for the Development and Promotion of Co-operatives	To grow all forms and types of co-operatives and the cooperatives movement, as well as increase its contribution to the country's GDP growth rate, economic transformation and social impact.	As explained above.
<i>Cross-cutting policies: Women, Children, Youth and People with Disabilities</i>		
South Africa's National Policy Framework for Women's Empowerment and Gender Equality (2001)	This framework establishes a clear vision and framework for gender mainstreaming across laws, policies, procedures and practices which serves to ensure equal rights and opportunities for women and men in all spheres and structures of government, as well as in the workplace, the community and the family.	The CIPC complies with Employment Equity Framework and reports as required.
Women's Financial Inclusion Framework	Women's financial inclusion includes the collective efforts made to ensure that all kinds of women have effective access to appropriate financial products. However it does not end with access to financial products only, the concept extends further to include non-financial aspects that are required by women to be entrepreneurial and capacitated with the right skills and knowledge to compete in the economic environment.	The CIPC do not have programmes directed at women.

Policies/Strategies	Summary	CIPC Contribution
Framework on Gender-Responsive Planning, Budgeting, Monitoring, Evaluation and Auditing, 2018	This framework aims to ensure a more sustainable, comprehensive and multi-sectoral approach to gender mainstreaming within the country's planning, monitoring and evaluation and public financing systems. It therefore focuses on closing the gap between plans and budgets through an overall approach of mainstreaming gender through the planning, budgeting, monitoring, evaluation and audit cycle.	As above.
National Youth Policy, 2030	The National Youth Policy for 2020-2030 (NYP 2030) is a cross sectoral policy aimed at effecting positive youth development outcomes amongst young people at local, provincial and national levels in South Africa. This youth policy for 2020-2030 builds on South Africa's first and second NYPs, which covered the period 2009–2014 and 2015-2020, respectively, by highlighting the current and new challenges that South Africa's youth face. It takes into cognisance the historical realities that the country face, mainly sluggish economic growth and the challenges of Africa and the rest of the developing world. The 2020-2030 NYP also identifies the potential human capital inherent in young people as an untapped potential that should be harnessed for the benefit of the whole society.	The CIPC collaborate with schools and institutes of higher learning through its education and awareness programme to extend its reach to school going children and youth.
White Paper on the Rights of People with Disabilities, 2016	The White Paper is a call to action for government, civil society and the private sector to work together to ensure the socioeconomic inclusion of persons with disabilities. Through this White Paper, government seek to create a caring and inclusive society that protects and develops the human potential of its children, a society for all where persons with disabilities enjoy the same rights as their fellow citizens, and where all citizens and institutions share equal responsibility for building such a society. This White Paper is intended to accelerate transformation and redress with regard to full inclusion, integration and equality for persons with disabilities. The Implementation Matrix offer both the public, private and civil society sectors a tangible platform to do things differently to expedite the process of improving the quality of life of persons with disabilities and their families.	The CIPC complies with the requirements to meet the needs of people with disabilities.

The table below show the alignment and contribution of the CIPC outcomes towards the achievement of the MTSF 2019-2024.

Table A. 5: Alignment to the Medium Term Strategic Framework 2019-2024

MTSF Priority	MTSF Interventions	CIPC Outcome	CIPC Contribution to MTSF Priority and Outputs/activities
Priority 1: A capable, ethical and developmental state	Integrated Monitoring System for public sector accountability	Agile, adaptive, and fit-for-purpose organisation design (OD)	Adhere to compliance, governance, and reporting guidelines.
	Modernize service processes in the public sector.	Reduced administrative compliance burden for companies and IP owners	An service delivery model responsive to customer (public) needs CIPC will continue to invest in ICT assets • To ensure multiple access channels to CIPC and other services promoting ease of doing business. • To automate processes to improve speed at which CIPC and other services are delivered. • To partner with government entities and private entities such as banks to innovate ways to provide easy access to CIPC and other integrated services.
	100% reduction of wasteful and fruitless expenditure in the public sector institutions.	Agile, adaptive, and fit-for-purpose organisation design (OD)	Monitor expenditure and ensure that adherence to correct procedures.
	Improve financial management capability by implementing the Integrated Financial Management System in the public sector.	Agile, adaptive, and fit-for-purpose organisation design (OD)	Implement Integrated Financial Management System when guidelines are received.
	Implement job competency framework for public sector by 2023 to build a professional public administration.	Agile, adaptive, and fit-for-purpose organisation design (OD)	Implement job competency framework when guidelines are received

MTSF Priority	MTSF Interventions	CIPC Outcome	CIPC Contribution to MTSF Priority and Outputs/activities
Priority 2: Economic Transformation and Job Creation	Improve ease of doing business	Reduced administrative compliance burden for companies and IP owners	CIPC will continue to invest in ICT assets • To ensure multiple access channels to CIPC and other services promoting ease of doing business. • To automate processes to improve speed at which CIPC and other services are delivered • To partner with government entities and private entities such as banks to innovate ways to provide easy access to CIPC and other integrated services.
	Facilitate and support 200 000 functional small businesses and cooperatives by 2024.	Reduced administrative compliance burden for companies and IP owners	Automation of co-operatives registration and maintenance processes. Conduct education and awareness webinar events for small business and cooperatives on opportunities and compliance with relevant legislation. Conduct virtual media campaigns of CIPC services.
	Create 275 000 jobs per year through Job Summit Commitments, Operation Phakisa and other public sector employment programmes.	Reduced administrative compliance burden for companies and IP owners A reputable Business Regulation and IP Protection environment in South Africa	Through reduction of an administrative burden and building a reputable business regulation and IP protection environment in SA, CIPC will indirectly contribute enterprise efficiencies and credibility resulting in sustainable and profitable business contributing job creation.
	Implement Presidential comprehensive youth employment interventions that absorb 1 million youth in NEET in employment by 2024.	Reduced administrative compliance burden for companies and IP owners A reputable Business Regulation and IP Protection environment in South Africa	Through reduction of an administrative burden and building a reputable business regulation and IP protection environment in SA, CIPC will indirectly contribute enterprise efficiencies and credibility resulting in sustainable and profitable business contributing job creation.

MTSF Priority	MTSF Interventions	CIPC Outcome	CIPC Contribution to MTSF Priority and Outputs/activities
	Expand government spend on women, youth and persons with disabilities through preferential procurement	Agile, adaptive, and fit-for-purpose organisation design (OD)	CIPC to continue implementing preferential procurement from women, youth and persons with disabilities
Priority 3: Education, skills and health	N/A	N/A	N/A
Priority 4: Consolidating the social wage through reliable and quality basic services	N/A	N/A	N/A
Priority 5: Spatial integration, human settlements and local government	Profile and support enterprise development in townships through financial incentives and other non-financial forms of support.	Reduced administrative compliance burden for companies and IP owners A reputable Business Regulation and IP Protection environment in South Africa	To provide non-financial forms of support for enterprise development through easy and quick access to the CIPC services, as well as conducting education and awareness webinar events and media campaigns on Company and IP laws and related opportunities.
Priority 6: Social cohesion and safe communities	N/A	N/A	N/A
Priority 7: A better Africa and world	80% of international standards domesticated, to improve the conditions for all South Africans.	Reduced administrative compliance burden for companies and IP owners A reputable Business Regulation and IP Protection environment in South Africa	CIPC to continue to participate in international bodies such as WIPO, BRICS and Corporate Registrars Forum. The CIPC will be implementing a business ownership register as part of a recommendation by Transparency International

The **dtic** Joint Indicators set out areas of focus that the **Companies and Intellectual Property Commission (CIPC)** will report to on a quarterly basis to the Executive Authority. These areas of focus represent key priorities of government that are set out in more detail in the Annual Performance Plan for 2021/22 for the **dtic** (See **Annexure B** for details).

The **CIPC** quarterly reports to the Executive Authority will set out the actions taken by the CIPC highlighting the contributions to the achievement of the **dtic** outcomes.

Joint Indicator No.	CIPC Contribution
1	The CIPC contribute by regulating businesses and intellectual property rights (IPR) protection, in doing so boost investor confidence in SA business and innovations The CIPC contribution towards <u>increased and diversified localisation through government and private sector procurement through complying to South African Preferential Procurement Framework Act, 2000 and Regulations and compliance to paying supplier invoices within 30 days (CIPC Annual Operational Plan).</u> The CIPC has no direct role <u>in promotion of beneficiation,</u> however indirectly contributes through IPR protection, enforcement and IP education and awareness. In doing so, promote innovation, commercialisation and economic growth.
2	Through the XBRL programme, the CIPC will provide technical assistance and benchmarking opportunities to other SA regulators, including those in the Africa Trade Region. Strengthening regulators increase investor confidence in businesses, leading to growth and sustainability of these businesses, including these businesses being able to leverage export opportunities.
3	The CIPC contribute by regulating businesses and intellectual property rights (IPR) protection, in doing so boosts investor confidence in SA business; through education and awareness promote entrepreneurship, innovation, commercialisation and economic growth.
4	The CIPC digital strategy emphasizes the development and strengthening of virtual channels, and automation of key services extend access throughout South Africa to local communities. 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
5	The CIPC 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.
6	In addition to the automation of business processes, the CIPC has begun a scanning project that will ensure all files are available electronically. This will ensure that no paper and less electricity used in storing CIPC files.
7	Through the CIPC digital strategy and partnership model, the CIPC increase access and ease of doing business in SA. In the next five years, the CIPC will: 1. Automate and migrate 100% all processes to K2 platform. 2. Through Intellectual Property Automation System (IPAS), to automate all processes end to end in the intellectual property (IP) area. 3. Strengthen virtual channels to avail all the CIPC products and services 24/7. a. Revise all current Mobile Services to function the same as modernised web services. b. Pilot implementation of the Chatbot as a new Customer Electronic Channel.

Joint Indicator No.	CIPC Contribution
	<i>c. Develop an AI based ChatBot for client enquiries.</i> <i>Strengthen existing and seek new partnerships to leverage their partners' key organisational competencies and capabilities such as databases, systems, networks, and value-add services.</i>

South Africa's national government is a member of international community such as the UN, G20, BRICS, African Union, and SADC, and in particular for CIPC, a member of WIPO, Corporate Registers Forum, and FAFT. The CIPC must implement policies and strategies adopted by these bodies, including various international treaties and agreements.

Table A. 6: International Policies, Strategies, Treaties and Agreements

Policies, Strategies, Treaties and Agreements	Summary
United Nations Sustainable Development Goals (SDGs)	The SDGs seek to end poverty and hunger in the world; to combat inequalities within and among countries; to build peaceful, just and inclusive societies; to protect human rights and promote gender equality and the empowerment of women and girls; and to ensure the lasting protection of the planet and its natural resources. Countries committed to the SDGs aim to create conditions for sustainable, inclusive and sustained economic growth, shared prosperity and decent work for all, taking into account different levels of national development and capacities. The SDGs are integrated and indivisible and balance the three dimensions of sustainable development, namely, the economic, social and environmental. There are 17 Sustainable Development Goals and 169 targets which demonstrate the scale and ambition of the new universal Agenda.
African Union Agenda 2063	Agenda 2063 is a strategic framework for the socio-economic transformation of Africa over the next 50 years. It builds on, and seeks to accelerate the implementation of past and existing continental initiatives for growth and sustainable development. Agenda 2063 has the following aspirations: an integrated continent, politically united and based on the ideals of Pan-Africanism and the vision of Africa's Renaissance; an Africa of good governance, democracy, respect for human rights, justice and the rule of law; a peaceful and secure Africa; an Africa with a strong cultural identity, common heritage, shared values and ethics; an Africa whose development is people-driven, relying on the potential of African people, especially its women and youth, and caring for children; and Africa as a strong, united and influential global player and partner. These aspirations have priority areas, which are aligned to the Sustainable Development Goals.
Recommendations On Beneficial Ownership For Open Government Partnership (OGP) Action Plans	South Africa is a member of the G20, therefore a member of the Financial Action Task Force (FATF). FATF advocates for economies to be transparent about ultimate beneficial owners of legal entities. The CIPC is expected to develop a registration and filing capability to collect UBO information on incorporation of legal entities; on amendments and during annual returns. We are also expected to verify the information and adopt a risk based approach in investigations and enforcement by using triangulated data from both local and international authorities.

Policies, Strategies, Treaties and Agreements	Summary
Paris Convention for the Protection of Industrial Property	The Paris Convention, adopted in 1883, applies to industrial property in the widest sense, including: patents, trade marks, industrial designs, utility models, service marks, trade names, geographical indications and the repression of unfair competition. This international agreement was the first major step taken to help creators ensure that their intellectual works were protected in other countries. South Africa's accession to the Paris Convention was in October 1947.
Patent Co-operation Treaty	The Patent Co-operation treaty makes it possible to seek patent protection for an invention simultaneously in each of a large number of countries by filing an "international" patent application. Such an application may be filed by anyone who is a national or resident of a PCT Contracting State. It may generally be filed with the national patent office of the Contracting State of which the applicant is a national or resident or, at the applicant's option, with the International Bureau of WIPO in Geneva. South Africa's accession to the treaty was in December 1998.
Berne Convention for the Protection of Literary and Artistic Works	Adopted in 1886, deals with the protection of works and the rights of their authors. It provides creators such as authors, musicians, poets, painters etc. with the means to control how their works are used, by whom, and on what terms. It is based on three basic principles and contains a series of provisions determining the minimum protection to be granted, as well as special provisions available to developing countries that want to make use of them. South Africa's accession to the treaty was in October 1928.
Budapest Treaty on the International Recognition of the Deposit of Microorganisms for the Purposes of Patent Procedure	Adopted in 1977, the Budapest Treaty concerns a specific topic in the international patent process: microorganisms. All states party to the Treaty are obliged to recognize microorganisms deposited as a part of the patent procedure, irrespective of where the depository authority is located. In practice, this means that the requirement to submit microorganisms to each and every national authority in which patent protection is sought no longer exists.
TRIPs Agreement	The TRIPs Agreement is an international legal agreement between all the member nations of the World Trade Organization (WTO). It sets down minimum standards for the regulation by national governments of many forms of intellectual property (IP) as applied to nationals of other WTO member nations. It stems from the desire to reduce distortions and impediments to international trade, and taking into account the need to promote effective and adequate protection of intellectual property rights, and to ensure that measures and procedures to enforce intellectual property rights do not themselves become barriers to legitimate trade. South Africa deposited its instrument of acceptance for the 2005 protocol amending the WTO's Agreement on Trade-Related Aspects of Intellectual Property Rights (TRIPS) on 23 February 2016.

3. Institutional Policies and Strategies over the five year planning period

The CIPC Vision 2030 Strategy

The 2021/22 -2025/26 Strategic Plan is an expression of the CIPC Vision 2030 Strategy. The CIPC Vision 2030 Strategy has four (4) key focus areas:

- i. Building competencies and capabilities required for **a world-class modern regulator**,
- ii. Reducing administrative regulatory burden to make it is **easy to do business in SA**,
- iii. Creating a reputable Business Regulation and IP Protection environment in South Africa, contribution to boosting **investor confidence in SA** businesses and innovations
- iv. **Support third party (and CIPC'S) decision making** by leveraging knowledge assets and networks, extracting maximum value for the CIPC and its customers.

The CIPC Vision 2030 strategy is informed the reality of a D-VUCA-D (Disruption, Volatility, Uncertainty, Complexity, Ambiguity – and Diversity) world. Disruption whether in the form of technology, social change, industry reconfiguration influences and will influence the CIPC in the future. The environment within which the CIPC exist is volatile, uncertain, complex, ambiguous and diverse. The advent of the social media and its impact and related #metoo and #blacklivesmatter has highlighted how gender, cross-cultural and inter-generational diversity influences influence organisational effectiveness.

At the centre of the CIPC Vision 2030 strategy is also the effect of the fourth industrial revolution (4IR) or Industry 4.0 is an ongoing automation of traditional processing practices using modern smart technology such as artificial intelligence, block chain technologies, robotics, cloud computing, *bio* and *nano* technologies, data analytics, 3D printing and drone technologies. 4IR present threats as well as opportunities in organisations. On one hand, 4IR could have a negative impact on traditional business models, jobs (job displacement), and therefore increase inequality, joblessness, and poverty. On the other hand, it can present opportunities for organisations to be agile, more productive and innovative. The use of technologies also assists countries which face limited human resources to meet customer demand, as well as reducing administrative costs.

The D-VICAD environment and 4IR calls for the CIPC that is **agile, adept, relevant, innovative, disruptive, and ahead of the curve**. The CIPC Vision 2030 Strategy is directed at building such an organisation. At the centre of this strategy is a digital business (modernisation), innovation and collaboration (multi-channel and partnerships), and operational excellence strategies.

3.1 Modernisation Strategy (Digital business strategy)

The modernisation strategy entails migration of the CIPC processes into a new modern platforms, as well as automation of all processes. Migration of processes into a new platforms provides a foundation for full and ease of automation of the CIPC internal and external processes. Most of the processes have been migrated into the K2 platform. 29% of processes have been automated (as at 31 December 2020). To mention a few, the company registrations, co-operatives registrations, annual returns filings have been automated. Annual Financial Statements (AFS) filings have been automated through the Inline Extensible Business Reporting Tool (iXBRL) tool. The automation that has been done so far has led to

the CIPCs registration systems being faster, and more cost effective. It has enhanced data integrity, information security, registration system transparency and verification of business compliance.

The modernisation strategy is one of the strategies directed to build a world-class modern regulator, as well as create ease in doing business in SA.

See **Annexure A: List of the CIPC Core Processes (Automated Processes)**, for automated processes as at 31 December 2020. In the next five years, the CIPC will:

1. Automate and migrate 100% all processes to K2 platform.
2. Through Intellectual Property Automation System (IPAS), to automate all processes end to end in the intellectual property (IP) area.

3.2 Multi-Channel Strategy (Innovation and Collaboration)

The multi-channel strategy is about expanding the CIPC footprint and therefore increasing access to the CIPC and its partners' products and services, and also increase ease of transacting. The multiple channels strategy is highly reliant on the modernisation strategy (digitisation). A digitised registration system is crucial for both the virtual multi-channel, one stop-shops, and partnership models. The CIPC channels deliver services faster and more efficiently by digitisation of the back-office workflows. Digitisation also play an essential role in developing integrated systems in the CIPC partnerships network.

The partnerships model is also critical to the success of the multi-channel strategy. The CIPC extend its footprint by collaborating with strategically selected partners, in doing so leveraging the capabilities and competencies of these partners. The CIPC will have access to its partner's infrastructure, customer base, and value-add services for its customers. These partnerships are not only limited to the public sector, it also extends to the private sector. The partnerships model has also been critical in creating a **'one stop' shop** for businesses. Channels such as the *BizPortal*, SSTs, and Banks are built upon this model. *BizPortal* is a **one-stop shop** that enables entrepreneurs to go to one website, register their company, register for tax, get her Broad Based Black Economic Empowerment (BBBEE) certificate, register for the Unemployment Insurance Fund (UIF), get their company's domain name, and even open a bank account. Through SSCs and Partner Sites, businesses not only register companies, but also get their BBBEE certificates. In its efforts to continue providing **value-added services**, the CIPC also partnered with SARS to offer a tax number when an enterprise is registered. The Banks offer a wide range of CIPC products and services including company registration, name reservation, payment integration and B-BBEE certificate application, when opening a business bank account.

Figure A.1: Indicative CIPC Partnerships shows partnerships that are key to the multichannel strategy. The Banks are specifically selected its extensive branch network and online functionality which is internationally accessible; as well as its reliable identification verification. In an attempt to differentiate its services for different target markets, the CIPC launched an office in partnership with the JSE. This office provides specific services for listed companies and its subsidiaries, i.e. director and company amendments, advisory services and real-time company registration services. The South African Revenue Services (SARS) partnerships allows for tax registration while registering a company. This is a value add service for the CIPC customers. The partnership between CIPC and the National Treasury (NT) provides a real-time link which enables the NT to check the status of enterprises and directors prior to them registering the business on the Central Supplier Database. Department

of Home Affairs (DHA) provides the CIPC with live identification verification improving the speed at which company registrations are processed.

Figure A. 1: Indicative CIPC Partnerships

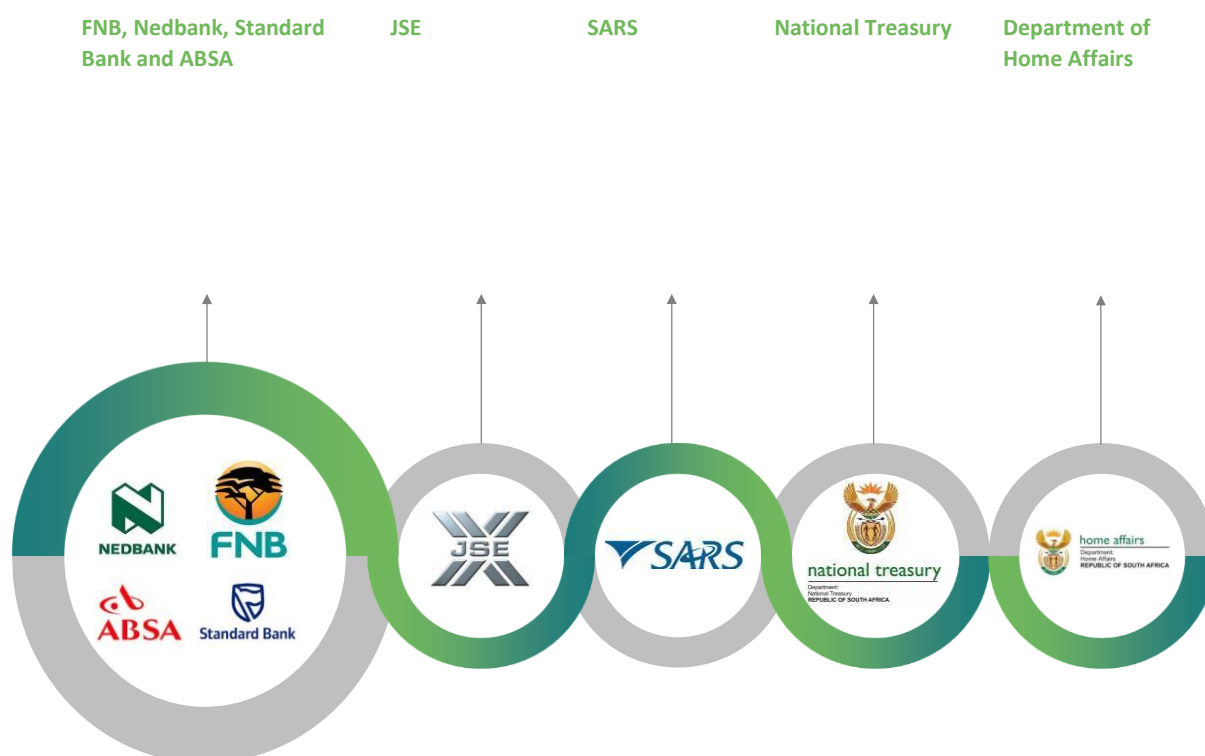


Table A.7: Partner Sites show the CIPC partner sites where self-service terminals (SSTs) are hosted:

Table A. 7: 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 (NDEDT)
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).

As of 31 December 2020, the CIPC has the following channels operational: the e-services website, self-service centres (SSCs) and partner sites (self-service terminals (SSTs), listed in **Table A.8: CIPC Channels and services offered**, the *BizPortal* which includes the Banks

(FNB, Nedbank, Standard Bank, ABSA, Capitec, and SASFIN), , the Mobile App, the Call Centre, the Query Resolution System (QRS), USSD, as well as social media (Facebook, Twitter, You Tube, and WhatsApp). *The table also shows the CIPC services offered in each channel.*

Table A. 8: CIPC Channels and services offered

Services/Channels	Service Website	SSCs and Partner Sites (SSTs)	BIZPORTAL including Banks (FNB, Nedbank, ABSA)	Mobile App	Call Centre	QRS	Social Media (Facebook, Twitter)	Email (Manual)	Drop at CIPC Boxes (Manual)
Integrated services (SARS, UIF, Compensation Fund, Banks Acc, BEE Cert)/One-Stop Shop	No	Yes – BBBE certificate Not Compensation Fund, UIF or Bank Account Opening	Yes	No	No	No	No	N/A	N/A
Patents applications	Yes	No	No	No	No	No	No	No	Yes
Patents registration	Yes	No	No	No	Yes	Yes	Yes	Yes	Yes
Designs applications	Yes	No	No	No	No	No	No	No	Yes
Designs registration	Yes	No	No	No	Yes	Yes	Yes	Yes	Yes
Copyright in film applications	Yes	No	No	No	No	No	No	No	Yes
Copyright in film registration	Yes	No	No	No	No	Yes	Yes	Yes	Yes
Trade mark applications	Yes	No	No	No	No	No	No	No	Yes
Trade mark registration	Yes	No	No	No	No	Yes	Yes	Yes	Yes
Name reservations	Yes	Yes	Yes	Yes	No	No	No	No	Yes
Companies registration	Yes	Yes	Yes	Yes	No	No	No	Yes	Yes
Co-operatives Registrations	No	No	No	No	No	No	No	Yes	Yes
Domain Name Registrations	Yes	No	No	No	No	No	No	Yes	Yes
Director Amendments	Yes	Yes	No	No	No	No	No	Yes	Yes
Member Amendments	Yes	Yes	No	No	No	No	No	Yes	Yes
Auditor Changes	Yes	Yes	No	No	No	No	No	Yes	Yes
Name changes	Yes	Yes	No	No	No	No	No	Yes	Yes
Address changes	Yes	Yes	No	No	No	No	No	Yes	Yes
Financial Year End Changes	Yes	Yes	No	No	No	No	No	Yes	Yes
Enterprise enquiry	Yes	Yes	No	No	Yes	Yes	Yes	Yes	Yes
Disclosures	Yes	Yes	No	No	No	No	No	Yes	Yes

Services/Channels	Eservice Website	SSCs and Partner Sites (SSTs)	BIZPORTAL including Banks (FNB, Nedbank, ABSA)	Mobile App	Call Centre	QR S	Social Media (Facebook, Twitter)	Email (Manual)	Drop at CIPC Boxes (Manual)
BBBEE Certificates	Yes	Yes	Yes	No	No	No	No	Yes	Yes
Disclosures-MOI Documents	Yes	Yes	No	No	No	No	No	Yes	Yes
Disclosures Approved names	Yes	Yes	No	No	No	No	No	Yes	Yes
Queries	No	No	No	No	Yes	Yes	Yes	Yes	Yes
Information access	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes
Annual Returns filing	Yes	Yes	No	No	No	No	No	Yes	Yes
AFS filing	Yes – XBRL portal	No	No	No	No	No	No	Yes	Yes

Except for company registration, the capability to report on the **Uptake of these channels** showing the number of transactions in each respective channel and service is yet to be developed. **Table A.9: Channel uptake – Company Registration** shows the volumes and percentage of transactions through the listed channels in the period 1 July - 30 September 2020.

Table A. 9: Channel uptake – Company Registration

Channel	Volume	%
ABSA	0	0.00%
First National Bank	4 047	2.55%
Nedbank	1 141	0.72%
Standard Bank	0	0.00%
Intermediary	178	0.11%
SST CIPC	3 571	2.25%
E-Services	110 610	69.68%
Manual	1 367	0.86%
BizPortal	36 102	22.74%
Conversion	749	0.47%
CIPC Mobile	981	0.62%
Total	158 746	100.00%

Table A.9 shows that over 99% transactions are concluded through digital platforms. Most company registrations are done through the e-service website (69.68%), followed by *BizPortal* (22.74%), FNB, SSTs, Manual, Nedbank, and CIPC Mobile.

The multi-channels strategy is geared towards availing the CIPC products and services 24/7. **Table A.10: Channels and Services Available 24/7** shows the CIPC channels and service available 24/7 as at 30 December 2020.

Table A. 10: 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
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

In the next five years, the CIPC will:

1. Strengthen virtual channels to avail all the CIPC products and services 24/7.
 - a. Revise all current Mobile Services to function the same as modernised web services.
 - b. Pilot implementation of the Chatbot as a new Customer Electronic Channel.
 - c. Develop an AI based ChatBot for client enquiries.
2. Develop the capability to measure uptake of each channel.
3. Increase the uptake of virtual channels a. Digital marketing and branding.
4. Strengthen existing and seek new partnerships to leverage their partners' key organisational competencies and capabilities such as databases, systems, networks, and value-add services.

3.2 Data and Information Management Strategy

The data and information management strategy is the basis through which the CIPC will leverage its knowledge assets and networks, to support third party decision making creating shared value for the CIPC and its customers.

In the next five years, the CIPC will:

1. Strengthen internal data reporting by establishing a business intelligence (BI) platform, and a data warehouse.
2. Relocate the data centre and Server Room from **the dtic** Shared Services Centre to an external hosting service provider.
3. Strike a Good Balance between Strong ICT Security and Increased Access to Data
 - a. Further enhance the existing Data Security measures through a fully implemented effective Identity Management (IDM) Solution for CIPC
 - b. Strengthen information security by implementing Security Incident Event Management Solution (SIEM) to complement using the McAfee Solution as a key component of the ISMS.
4. Revise 100% of the current partner integration to be compatible with current CIPC service/data demands, while leveraging the capabilities of modern technologies.

3.3 Operational Excellence and Quality

The operational excellence and quality management strategies are tactical in that these ensure that the CIPC main strategies are executed in a consistent, continuous and sustained way. At the centre of these tactical strategies is meeting customer requirements, and organisation's regulatory requirements. To this end, the CIPC monitors operational and process performance. Service delivery standards are regularly monitored and reviewed with the aim to continuously improve these. Process audits ensures that processes are simple, value adding and optimal.

3.4 Substantive Search Examination

In 2018/19 reporting period, Cabinet approved the first phase of the draft IP Policy of the Republic of South Africa, which seeks to provide a national IP system that is cognisant of other government priorities and to provide a co-ordinated approach on IP matters by government departments and other organs of state. The IP Policy additionally aims to provide a balanced approach between preserving the rights of creators of IP on the one hand, and providing access to knowledge, technology transfer and safe affordable medicines for the benefit of all South Africans.

One of the key policy instruments emanating from the IP Policy is the envisaged introduction of Substantive Search and Examination (SSE) of patent applications in South Africa. The IP Policy provides for a phased approach to the introduction of SSE, where the Inter-Ministerial Committee on Intellectual Property (IMCIP) established under the IP Policy, will determine the priority sectors in which patent applications will be examined. In terms of the CIPC SSE strategy roll-out) patent searchers are being recruited and trained.

4. Relevant Court Rulings

Not applicable.

Part B: Our Strategic Focus

5. Situational Analysis

5.1 External Environment Analysis

This section outline the current external environment within which CIPC will operate, risks presented by this context, and implications for the CIPC strategies and policies. The trends for the last five years are presented as a basis for likely trends in the next five years.

5.1.1 Contextual Analysis for the CIPC 2030 Visioning

The PESTEL (political, economic, social, technological, and legal) analysis was used to conduct a contextual analysis for the CIPC 2030 visioning.

Political analysis

Key trends of the political environment, as shown in **Figure B.1: Political trends**, are as follows:

- Leaders from the East will prosper while taking a pragmatic approach. Shift of power in the world will bring a change in trade relationships and regulations.
- Water and its management could become the new reason for wars e.g. eco-wars polarising the world.
- Enabling and business-friendly environment will be favoured. Regulatory developments will have to keep pace with increased complexity on the one hand but at the same time reduce compliance burden for smaller and medium sized entities.

Figure B. 1: Political trends

Political



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Reducing the regulatory burden

In the Companies Act, 2008 aims to make company registration easy therefore creating an enabling and business-friendly environment.

Standard incorporation

The CIPC use standard incorporation documents enable a number of key benefits, including:

- Enabling entrepreneurs to ensure legality without having to resort to notaries and lawyers;
- Decreasing the cost burden for the applicant cost for a lawyer is eliminated;
- Decreases the cost burden for the commission as the processing of applications is more efficient;
- Easing the workload at the commissions or registries; and
- Assisting in preventing errors and expediting the registration time.

The move towards a single standardized incorporation document is one which the mature economies subscribe to, and a principle which the CIPC has implemented.

Reducing turnaround times

To reduce business regulatory burden, the CIPC has increased the number of service access channels and modernised (automation) its systems, processes etc. The impact of these efforts are the reduction in turnaround times, as shown in **Table B.2: CIPC Key Services – Transacting Times** hereunder shows processing times in the last five (5) years. In the next five years, the CIPC will continue in this trajectory.

Table B. 1: CIPC Key Services – Transacting Times

CIPC Services	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
Patent applications	3 days	3 days	3 days	3 days	3 days
Designs applications	3 days	3 days	3 days	3 days	3 days
Copyright in film applications	3 days	3 days	3 days	3 days	3 days
Trade mark applications	3 days	3 days	3 days	3 days	3 days
Companies Registrations	4 days	3 days	2 days	1 day	2 days
Co-operatives Registrations	2 days	2 days	2 days	2 days	2 days
Annual Returns Filings	-	-	-	5 minutes	5 minutes
AFS Filings	-	-	-	5 minutes	5 minutes

Doing business in SA

The Global Competitive Index 4.0 and the Doing Business Report is a benchmark of how South Africa fairs on the international front on the impact of business and intellectual property regulation. This shows how effective are the policies and strategies of the CIPC and other government agencies in enabling the SA economy and its competitiveness.

Although improved from 67th in 2018 to the 60th place in the 2019 Global Competitiveness Index (GCI) 4.0, South Africa remained at 82nd in both years in the 2019 Doing Business (DB) report. South Africa's ranking had improved from 69th in 2018 to the 55th place in 2019 in the institutions pillar, dropped from 56th to 60th in terms of business dynamism, and remained 46th in terms of innovation capability. Except for reducing regulation burden, which has drastically gone from bad (84th) to worse (101st), the indicators showed that South Africa improved its competitiveness.

Table B. 2: Global Competitiveness Index

Global Competitiveness Index 4.0 South Africa Ranking				
Pillar/Component	2018	Ranking	--/140	2019 Ranking --/141
	(Progress score)			(Progress score)
Overall	67 th	(60.8)		60 th (62.4)
Institution	69 th	(54)		55 th (57.1)
□ Public sector performance	(Median	score	45)	39 th (59.3)
	Country	ranking	not	
	available			
- Burden of government regulation	84 th	(37.4)		101 st (36.6)
- Efficiency of legal framework in settling disputes	40 th	(42.3)		31 st (59.3)
- E-Participation	38 th	(84.8)		38 th (84.8)
□ Future orientation of government	102 nd ,	(36.5)		51 st (59.0)
- Government ensuring policy stability	-			108 th (38.6)
- Government's responsiveness to change	-			110 th (33.2)
- Legal framework's adaptability to digital business models	-			73 rd (42.4)
- Government long term vision	-			78 th (44.3)
□ Property rights	-			67 th (54.2)
- Property rights	97 th	(49.2)		89 th (51.5)
- Intellectual property protection	60 th	(56.0)		46 th (61.1)
□ Corporate governance	-			26 th (75.3)
- Strength of reporting and auditing standard	55 th	(64.6)		49 th (67.5)
- Shareholder governance	56 th	(60.0)		37 th (67.0)
Business dynamism	56 th	(61)		60 th (69.1)
□ Administrative requirements	-			82 nd (67.3)
- Cost of starting a business	2 nd	(99.9)		4 th (99.9)
- Time to start a business	128 th	(55.3)		129 th (60.3)

Global Competitiveness Index 4.0 South Africa Ranking			
Pillar/Component	2018 Ranking (Progress score)	--/140	2019 Ranking (Progress score)
- Insolvency regulatory framework	24 th (78.1)		38 th (71.9)
- Insolvency recovery rate	77 th (37.0)		78 th (37.1)
Innovation capability	46 th (43.3)		46 th (45.2)
□ Interaction and diversity	-		44 th (46.0)
- International co-inventions	58 th (9.9)		65 th (8.4)
- Multi-stakeholder collaboration	-		39 th (52.6)
□ Research and development	-		44 th (38.4)
- Patent applications	50 th (26.6)		51 st (25.6)
□ Commercialisation	-		64 th (57.1)
- Trade mark applications	58 th (67.6)		73 rd (67.0)

Table B. 3: Doing Business Report

Doing Business Ranking		
Area/Indicator	2018 Ranking --/190 (Score 0 - 100)	2019 Ranking --/190 (Score 0 - 100)
Overall	82 nd (64.89)	82 nd (66.03)
Starting a business	136 th (79.97)	134 th (81.2)
Protecting minority investors	24 th (70.0)	23 rd (73.23)
Resolving insolvency	55 th (57.9)	66 th (54.49)

Economic analysis

Key economic trends, as shown **Figure B.2: Macro-economic trends and impacts**, are as follows:

- National debt will constrain opportunities for growth, therefore public/private partnerships are essential.
- Collaboration between government and the private sector is essential to overcome the challenges that lie ahead.

Figure B. 2: Macro-economic trends and impacts

Macro-economic trends and impacts



Demand for the CIPC Services

The SA Gross domestic product (GDP) is expected to contract by 51% and 500 000 or more job losses are expected in 2020. Past experience show that as the economy worsened, more survivalist companies are registered. The CIPC might see a spike in company registration because of the grim outlook of the South Africa's economy. Within its mandate, the CIPC must contribute to government's aims is to provide financial relief to businesses affected by the 'national lockdown, as well as drive the country's economic recovery post the COVID-19 effect.

Under the conditions of contracting economic growth and financial limitations, the demand for the CIPC services was as shown in **Table B.3: CIPC Key Services – Volumes** hereunder reflecting the volumes processed over the past five (5) years, with the trends expected to remain for the next five years.

Table B. 4: CIPC Key Services – Volume

CIPC Services	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
Patents applications	9 357	9027	8 545	8587	8 455
Designs applications	1866	2085	2018	2002	1 867
Copyright in film applications	77	57	61	99	55
Trade mark applications	37 129	38 169	38 283	39 136	38 148
Companies Registrations	317 498	378 435	386 373	395 320	385 181
Co-operatives Registrations	13 856	12 424	12 748	12 270	12 478
Business Rescue Proceedings Commenced (Active cases)	481	375	362	349	369
Annual Returns Filings	558 954 (50%)	626 721 (48%)	663 442 (47%)	669 170 (44%)	680 120 (42%)

The trends of some of the CIPC key services are discussed in the subsequent sections in detail.

Patent applications

The number of patents filed at the CIPC has remained steady over the last three years with an average of 8500 patent applications filed year on year as shown in **Table B.5: Patents** hereunder. The reporting template for patent filings has been amended to differentiate between provisional, complete, convention and Patent Cooperation Treaty (PCT) patent applications. This was done so that we can differentiate between local and foreign filings. Provisional patent applications and complete patent applications constitute local filings.

Table B. 5: Patents

Patent Applications Lodged	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
Provisional patent applications	1 880	1 902	1803	1930	1793
Complete patent applications	519	529	503	463	412
Convention patent applications	610	695	615	666	648
Patent Cooperation Treaty (PCT) patent applications	6 367	5903	5624	5528	5602
Total	9 357	9027	8 545	8587	8455

We have noted a worrying trend in the decreasing number of local complete patent applications (provisional and complete patent applications) filed in the last three years. More outreach and awareness campaigns are needed to inform the general public on the importance and benefits of the patent system, and to encourage local innovators to protect their inventions. Furthermore, interventions such as the Inventor Assistance Program (IAP) need to be prioritised to ensure that the patent system is accessible to under-financed inventors and Small Medium and Micro Enterprises (SMMEs).

Design applications

The total number of design applications filed with the CIPC has declined compared to the last three years, and local applications increased compared to the last two years as shown in **Table B.6: Designs** hereunder.

Table B. 6: Designs

Designs Applications	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
Local application	818	1040	974	914	982
International applications	1048	1045	1044	1088	885
Total	1866	2085	2018	2002	1867

The CIPC outreach and awareness campaigns on the importance of industrial designs, as an easy registerable right, particularly for aesthetic designs should contribute to the increase applications to register designs.

Trade mark

As shown in **Table B.7** hereunder, there was a less than 1% decline in the lodging of new applications year on year in 2019 as compared to 2018.

Table B. 7: Trade mark Applications

Trade mark Applications (Calendar year)	2015	2016	2017	2018	2019	2020 (Jan-March)
Residents	20 816	21 289	22 740	22 948	22 003	4 535
Non-residents	16 313	16 880	15 543	16 188	16 145	3 351
Total	37 129	38 169	38 283	39 136	38 148	7 886

As shown in **Table B.8** hereunder there was a decrease of less than 1% of Trade mark registrations certificates issued in 2019 compared to 2018.

Table B. 8: Trade mark Registration certificates

	2015	2016	2017	2018	2019
Trade mark Registrations (Calendar year)	26 121	10 802	19 256	32 174	32 029

Business Rescue

There is stability in the business rescue in the relationship amongst stakeholders. There is still however, a need to establish the Specialist Committee, which will evaluate the content of courses, which will be considered for Continuous Professional Development.

Table B.9: Business Rescue hereunder show business rescue statistics over the past five (5) years.

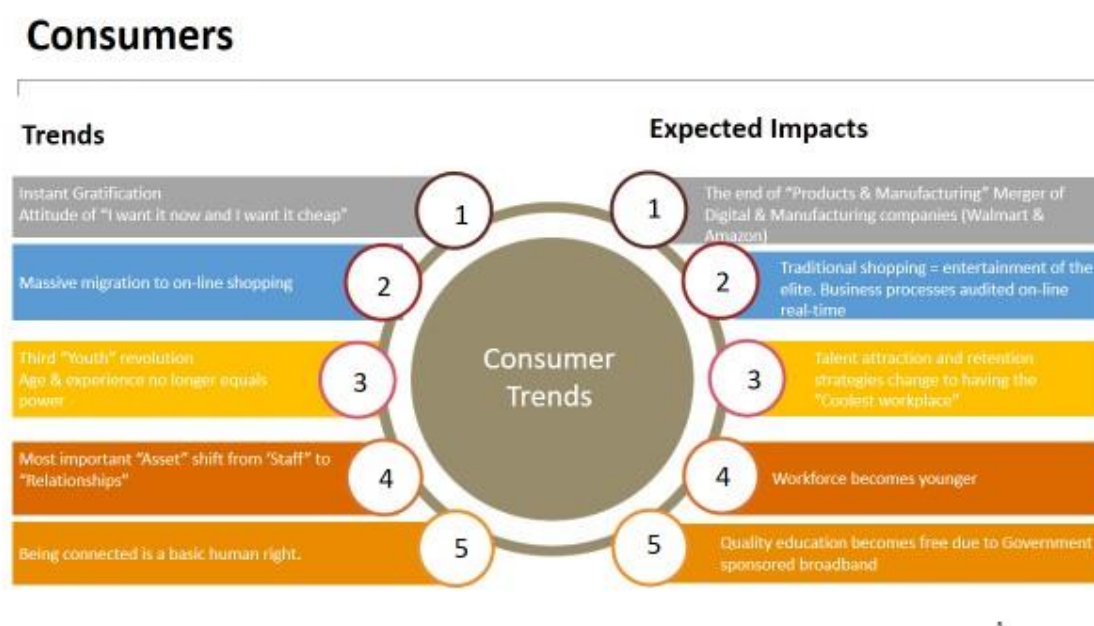
Table B. 9: Business Rescue

Status of BR Proceedings	2015-2016	2016-2017	2017-2018	2018-2019	2019-2020
Active	158	134	172	197	295
Liquidation	70	47	28	7	3
Nullity	24	17	22	32	15
Set aside	0	2	2	5	1
Substantial	79	67	45	35	14
Termination	150	108	93	73	41
Grand Total	481	375	362	349	369

More business rescue cases commenced in the year under review, compared to the last two years. 2015/16 had the highest number of business rescue cases that commenced, followed by 2016/17. Out of 369 business rescue cases that commenced during the year under review, 295 were active. Three (3) cases were liquidations, fifteen (15) nullified, one (1) set aside, fourteen (14) substantial cases, and 41 terminated.

Consumer Trends

Figure B. 3: Consumer Trends



Customer responsiveness

The CIPC use the call centre, a query resolution system, social media (Facebook and Twitter) to stay engaged with its customers.

Table B.10 Call centre hereunder shows performance of call centre in the past five (5) years.

Table B. 10: Call centre

	2015/16	2016/17	2017/18	2018/19	2019/20
Calls received	237 750	197 845	184 062	315 503	356 803
Calls answered (%)	91 505 (38%)	90 974 (45%)	130 991 (71%)	187 276 (87%)	199 932 (56%)

For the period under review, only 56% of calls were answered, compared to 87% in 2017/18. The number of calls received per day increased drastically compared to the previous year. The call centre staff compliment was not enough to meet the high call volume. The loss of two staff members in the last quarter of the 2019/2020 and the fact that vacant positions could not be filled due to a recruitment moratorium further contributed to the problem.

Top ten reasons why customers called were e-services company registration, name reservations, e-services director amendments, customer code and password reset, allocation of funds, requests for copies, company and close corporations (CC) de-registrations, changes in company and CC names, electronic disclosure, and lastly CC member changes.

Table B.11: Query Resolution System hereunder show the performance of the query resolution system (QRS) in the past five years.

Table B. 11: Query Resolution System

	2015/16	2016/17	2017/18	2018/19	2019/20
Queries received	44 047	106 326	85 362	86 179	95 105
Queries resolved (%)	100%	100%	100%	100%	99,8%

The use of the QRS commenced on 16 Sep 2015 therefore, 2015/16 volumes are not so high. The reason for a high resolution rate is that after a certain time, the year's outstanding tickets are closed. The CIPC is developing a proper measurement for the QRS performance, such as the turnaround time for resolving tickets.

The statistics do not include other tickets such as the Disclosure tickets where customers request copies of documents.

The top ten reasons why customers used the query resolution system (QRS) are e-service company registration, allocation of funds, name reservations, e-service director amendment, company and CC de-registration, annual returns, other changes to memorandum of incorporation, CC member changes, manual company registration and refunds.

The CIPC social media followership continues to grow. The recorded growth for the year under review is 51% across all social media platforms. A noticeable trend is that the CIPC Twitter account followership growth has always been higher than that of the CIPC Facebook page, notwithstanding the high number of actual followers of Facebook page compared to Twitter account.

Table B.12: Social Media Queries (Facebook and Twitter) hereunder shows social media performance in resolving queries.

Table B. 12: Social Media Queries (Facebook and Twitter)

		2015/16	2016/17	2017/18	2018/19	2019/20
Facebook	Queries received	-	-	-	670	7090
	Queries resolved (%)	-	-	-	658 (98%)	1932 (27%)
Twitter	Queries received	-	-	1303	1939	7300
	Queries resolved (%)	-	-	571 (43%)	982(48%)	1249(17%)

System downtime has been the topical issue for social media customer queries in the 2018/19 financial year. The majority of queries were about clarity on company registration and annual return processes, status of customers' application for company registration and name reservation while a fraction of queries were complaints about delayed response to queries lodged through the query resolution system. There were also queries regarding lack of clarity in the reasons for rejection of customers' applications and non-response on applications for registration of cooperatives.

Website traffic

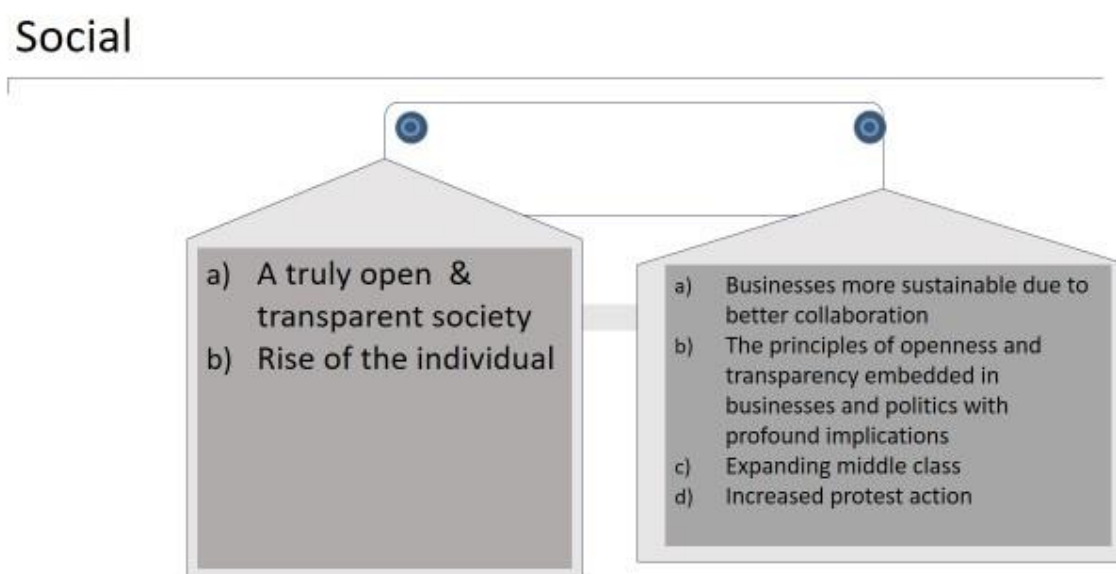
The CIPC website has recorded an increase in user activity which is marked by 101% increase of website visitors for the period under review, majority (98%) of which are new visitors. Most notable is that the average session time has increased by 6% compared to the previous financial year. The increase in the session time can be attributed to the number of new visitors who may not necessarily be familiar with the website. It is worth noting that the new website

under development makes provision for different visitor profiles in which both new and frequent visitors were considered in the overall planning and development of the website.

Social Issues

- Shift of power in the world will bring a change in trade relationships and regulations.
- Rising middle class requires careful resource planning and management.

Figure B. 4: Social Issues



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Education and awareness

To increase awareness of the CIPC and its partners' services, channels and compliance requirements, as well as improve compliance with corporate and IP laws, the CIPC conducts education and awareness. The CIPC education and awareness programme is targeted at SMMEs, institutes of higher learning, including **Technical and Vocational Education and Training (TVET) colleges**, and schools. In collaboration with its partners, the CIPC conducts not less than forty (40) education and awareness events per year. Annual events such as World IP Day and IP Summer School also contribute to the IP education and awareness programme. The public responds positively to these efforts.

Over the years, the CIPC has seen a huge need to support and therefore increase the protection of local innovation and creativity by providing more information on IP rights and by raising awareness of the opportunities that could arise from formalising IP rights through registrations. Hence, CIPC in collaboration with local and international partners, in this case WIPO, has introduced innovative programmes such as the IP for SMMEs in South Africa and the Inventor Assistance Programme.

The IP for SMME Capacity Development Programme is a national flagship programme spearheaded by the CIPC in partnership WIPO and the National Task Force Team comprised of **the dtic**, Department of Small Business Development (DSBD), Small Enterprise

Development Agency (SEDA), NIPMO, and several research institutions. The programme aims to increase IP awareness, build capacity and make the patent system more accessible to financially under resourced inventors and small businesses, respectively, thus ensuring that there's more inclusivity in the use of the IP system. The project has two main objectives;-

- To enhance SMME competitiveness through effective use & management of intellectual property (IP) assets, and
- To strengthen the institutional capacity of SMME support institutions (also known as SMME Intermediaries) in delivering IP related services to their stakeholders.

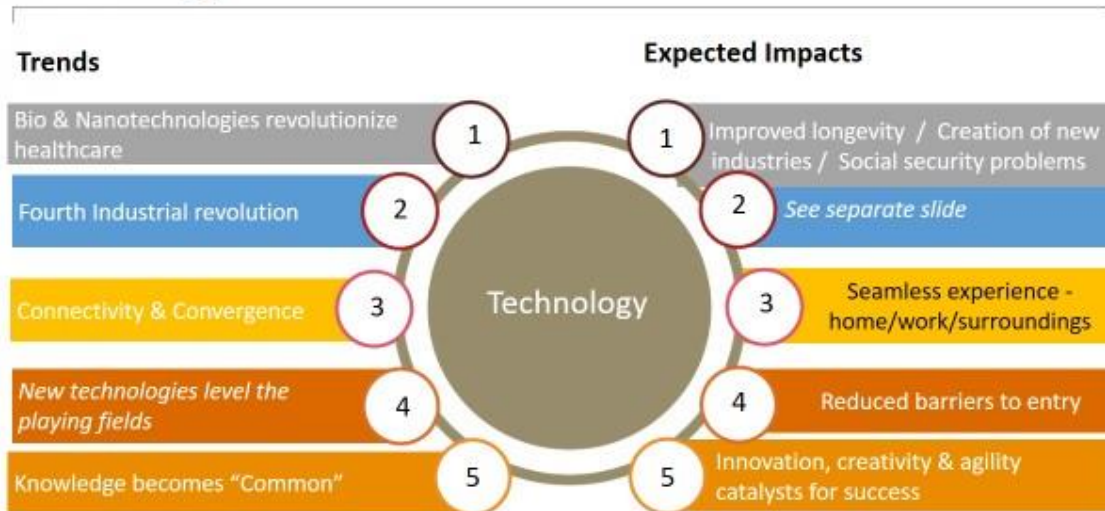
All state institutions have been advised to apply stringent cost containment measures due to government budget constraints. Government coffers have been hit hard by the grim economic outlook, and public enterprises needing to be bailed out financially. Although the CIPC investments to improve service delivery have not affected due to it being able to sustain itself financially from fees collected, the education and awareness programme was negatively affected. The CIPC was not able to meet demand more communities for education and awareness events because of resource constraints as a result of cost containment measures. The CIPC is exploring the use of on-line platforms to conduct education and awareness. Means by which to reach those communities who do not have access to on-line platforms, due to poor access to channels and internet, will be explored.

Technological analysis

- Technology a major change agent reducing barriers to entry on the one hand but also contributing to the divide between rich and poor.
- Technological advancements contribute to increased longevity and redefining what it means to be human but could also result in increased unemployment, job displacement and worsening social unrest.
- Technological advancements will decentralise power, increase the speed of transactions, eliminate intermediaries and increase trust between contracting parties across national borders.
- Regulators will use technological advancements to meet its mandated obligations in the future. (Block chain for example)

Figure B. 5: Technological Trends

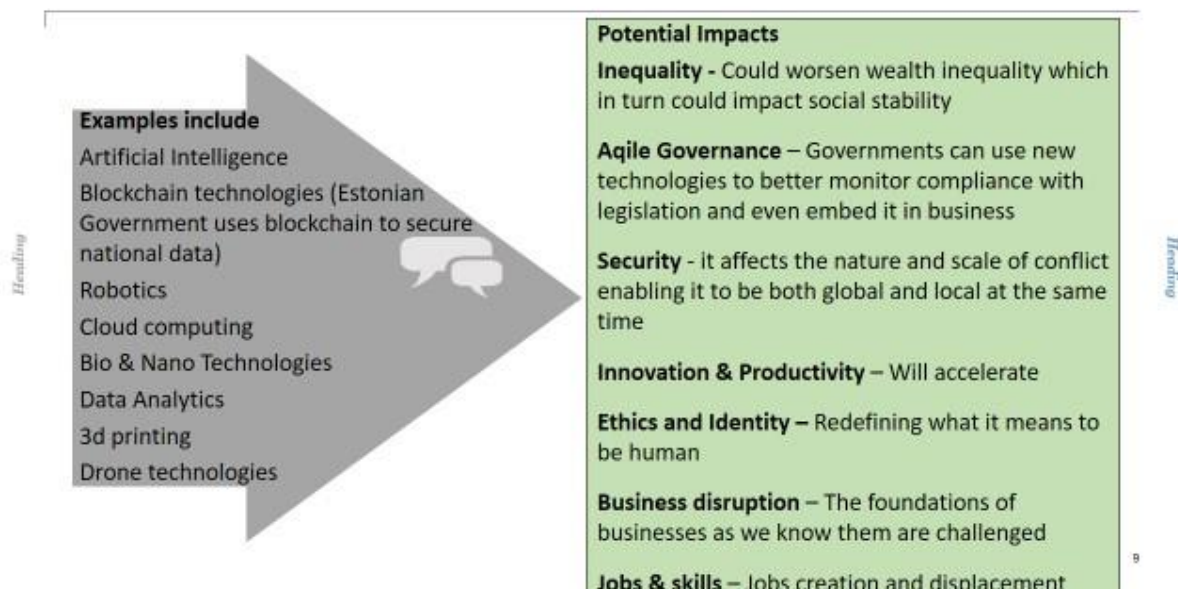
Technology



7

Figure B. 6: Fourth Industrial Revolutions

Fourth Industrial Revolution



Offering services through multiple-channels

Technological advances over the past few years under the banner of the fourth industrial revolution (4IR) have had a major influence over the CIPC service innovations. In South Africa, the pervasive use of and access to technological devices, and more specifically mobile and portable devices, and increased internet, broadband, and Wi-Fi access has enabled ease of access allowing organisations such as the CIPC to improve customer experience by availing its services and information through multiple on-line channels, as shown in Section 3.1.

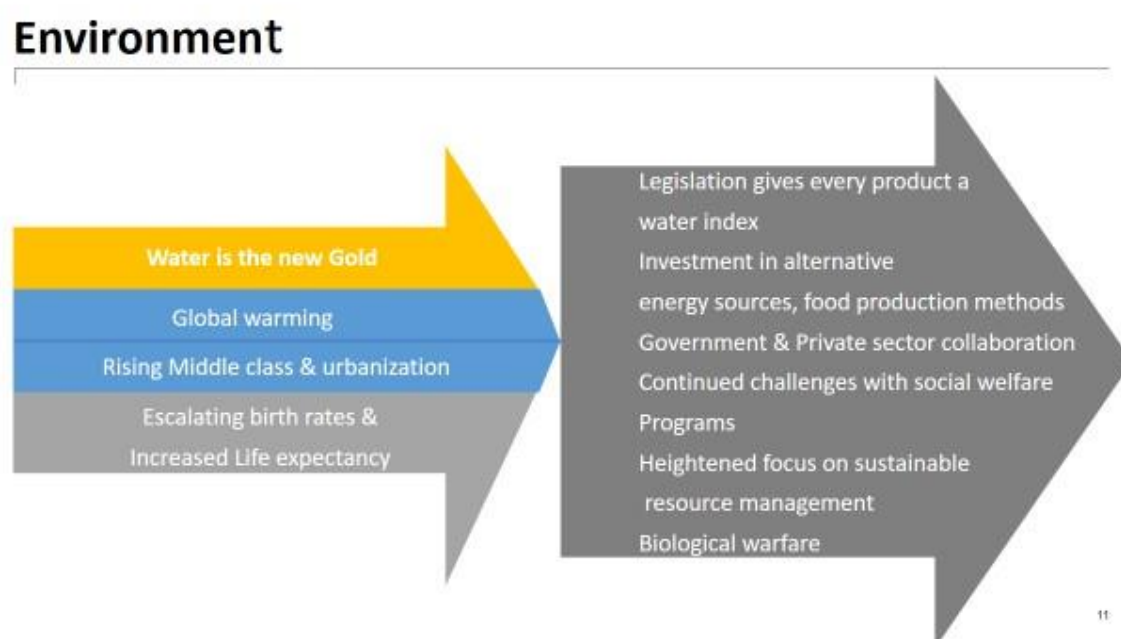
Automation

Transacting times have been reduced drastically because of automation of processes. Company registration takes an average of two (2) business days. IP applications (Patent, Design, Copyright in film, Trade mark) takes no more than three (3) business days. Compliance in respect to Annual Returns and Annual Financial Statements filings have also been simplified. The introduction of In line eXtensible Business Reporting Language (iXBRL) in July 2018 has simplified AFS filing to take not more than five (5) minutes. iXBRL is a digital reporting mechanism used for the generation and presentation of Company AFS to be submitted by qualifying entities to the CIPC. The business intelligence system of XBRL has been used to identify companies for targeted enforcement, by proactively taking action against public companies that filed Financial Accounting Supplements (FAS) instead of AFS as well as those companies that declared turnover of more than R350 million but did not file AFS.

Environmental (Green) analysis

- Water and its management could become the new reason for wars.

Figure B. 7: Environment – Water, Climate Change, Urbanisation, Population

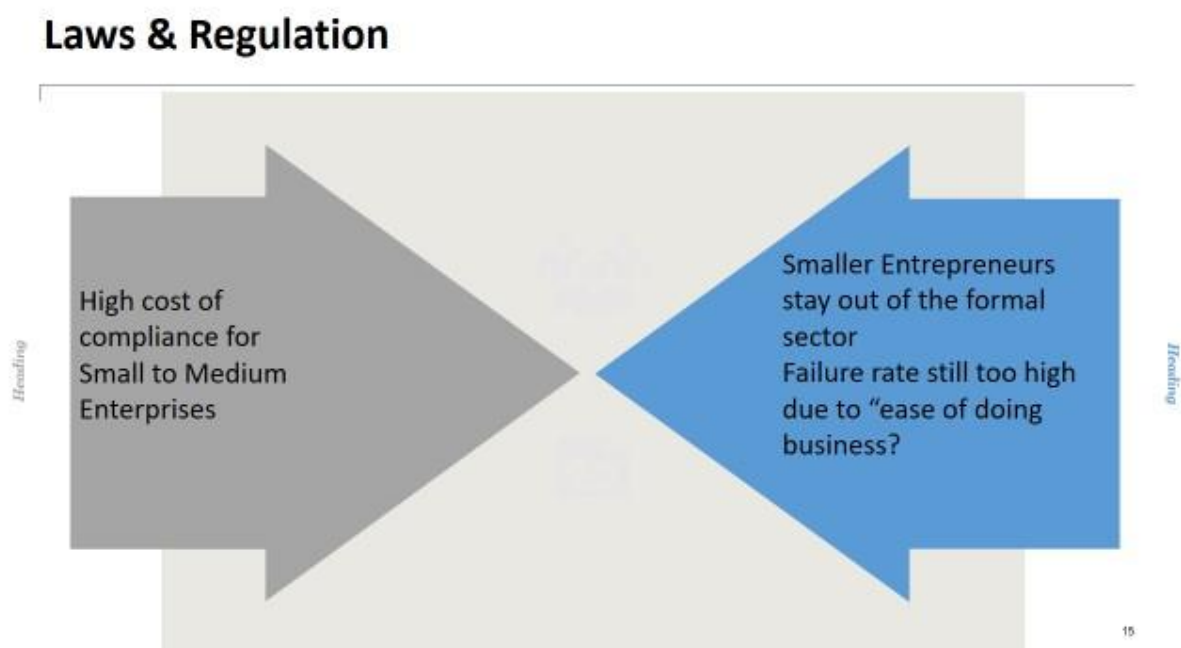


Increased usage of the CIPC's online platforms have also led to a reduction in paper, contributing to a more sustainable, green environment.

Legal analysis

- Regulatory developments will have to keep pace with increased complexity on the one hand but at the same time reduce compliance burden for smaller and medium sized entities.

Figure B. 8: Laws and regulations



IP Enforcement

Selling counterfeit goods online, specifically fast moving consumer goods and pharmaceuticals is a huge threat to consumers and IP rights owners. Combating counterfeit trade is a global priority as it is to the CIPC. One of the strategies is to change consumer behaviour not to purchase counterfeit goods. This strategy requires new skills that the CIPC do not have currently. Further, because the IP rights owners are experiencing financial distress because of the economic decline, their resources to enforce IPR are limited.

Corporate Compliance Surveillance and Enforcement

The CIPC is responsible to ensure compliance with the Companies Act, 2008. Automation and iXBRL has made AFS filing and Annual Returns filing compliance easy. The CIPC conducts proactive investigations, as well as in response to complaints as compliance related activities. The CIPC proactively ascertained compliance with Social and Ethics Committee (SEC) requirements in respect to Companies Tribunal Decisions refusing applications for exemption to certain companies establish SECs.

Corporate Compliance Disclosure Regulation

This section outline key compliance surveillance activities. **Table B.13: Reportable Regularities** hereunder shows the statuses of cases of reported irregularities in the past (5) years.

Table B. 13: Reportable Irregularities

	2015/16	2016/17	2017/18	2018/19	2019/20
Opening Balance	185	189	180	123	229
Cases Received	364	293	258	394	274
Closed Cases	360	302	315	281	144
Closing Balance	189	180	123	229	409

Majority of the cases in 2019/20 involves failure to comply with Section 30 of the Companies Act, 2008 where entities are required to prepare annual financial statements within six (6) months of the end of the financial year. The process was also used as an opportunity to educate the target entities from becoming repeat offenders. A compliance notice only gets issued if entities fail to demonstrate change in their governance practices or fails to commit to changing behaviour to avoid future non-compliance. Reportable Irregularities are reported to the CIPC by the Independent Regulatory Board for Auditors (IRBA) for investigation, where applicable. Auditors are mandated in terms of Section 45 of the Auditors Profession Act, 2005 (Act No. 26 of 2005) to report persistent non-compliance to the board, alerted them of continuing non-compliance.

Table B.14: Independent Reviews – Regulations 29 hereunder show the types and statuses of cases received from of independent reviewers (IR) in relation to regulation 29 (Company Act, 2008 Regulations).

Table B. 14: Independent Reviews - Regulation 29

	2015/16	2016/17	2017/18	2018/19	2019/20
<i>Opening Balance</i>	33	77	215	499	351
<i>Allocated</i>	39	88	108	171	198
<i>Liability Exceeds Assets</i>	12	25	37	87	40
<i>Financial Assistance</i>	3	25	9	42	36
<i>VAT Tax Return Not Declared To SARS</i>	4	4	4	27	5
<i>Other</i>	6	9	8	15	20
<i>Total Closed</i>	25	63	58	171	101
<i>Closing Balance</i>	8	14	157	328	250

The reason of entities reporting reportable irregularities RI's concerning technical insolvency is usually related to start-up capital provision by owners/shareholders, tough economic

conditions (taking time for companies to break-even) and accounting principles applied upon valuation of assets. One of the challenges with the administration of the independent review reports includes difficulty in obtaining contact details for entity being complained of.

Table B.15: Report on Cold Cases hereunder show the statuses of cold case matters, which have been referred to State Attorney by the CIPC for imposition of an administrative fine in terms of Section 175 of the Companies Act, 2008.

Table B. 15: Report on Cold Cases

Description	2015/16	2016/17	2017/18	2018/19	2019/20
Opening Balance	0	15	21	20	16
Order Granted	0	0	0	3	0
Settlement Order/Offer	0	0	0	3	2
Opposed	0	0	0	4	4
Removed From The List	0	0	1	0	0
Currently In Court/Set Down	0	0	0	10	10
Closing Balance	0	15	20	16	16

During the period under review, 21 matters were referred to the State Attorney. Out of the 21, three (3) orders were granted in favour of the CIPC, and with three (3) matters there are pending settlement offers, four (4) matters are being opposed in court and other two (2) currently in court. Outstanding matters are six (6). 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.

Table B.16: Prospectus Registered hereunder show the number of types of prospectuses registered in the past five (5) years.

Table B. 16: Prospectuses Registered

	2015/16	2016/17	2017/18	2018/19	2019/20
Prospectus registered	11	13	33	42	41

The majority of the prospectuses registered in 2019/20 related to Section 12J of the Income Tax Act, 1952 (Act No. 58 of 1962). The Section 12J is an incentive that was introduced to enable small businesses to diminish the capital procurement deficiency they face.

The CIPC has a responsibility to ensure that companies apply acceptable the financial reporting standards. **Table B. 18: Annual Financial Statements** show AFS received, reviewed, and proactive investigations conducted.

Table B. 17: Annual Financial Statements

Description	2015/16	2016/17	2017/18	2018/19 (iXBRL only)	2019/20 (iXBRL only)
Annual Financial statements received	-	27022	29 899	7118	13 940
Annual financial statements reviewed	259	349	359	308	430
Proactive investigations	-	-	-	-	60

COVID-19 Regulations

The CIPC must abide to the COVID-19 regulations. Employers are required measures are in place to ensure that COVID-19 infections are minimised. In general, CIPC strategy and service delivery model has been leaning on automated and on-line service, therefore it has been relatively easy to abide to COVID-19 conditions of minimal physical contact. Below are example of the impact of COVID-19 on services rendered by the CIPC.

Annual Financial Statements, including Financial Accountability Supplements filing as prescribed in terms of Section 30 and 33 of the Companies Act, 2008 (Act No. 71 of 2008) are currently done virtually, online. COVID 19 will therefore not affect the filing capability and the quality of the content filed, however it can affect the volume of filings. The volume will be affected because of the inability by companies to hold annual general meetings, as well as delays in auditors to finalise auditing processes within prescribed timeframes due to lockdown regulations and in other instances due to the “going concern” status of entities not able to be confirmed.

Education and awareness events conducted by the CIPC and with partners, which usually take the form of physical gatherings, will be replaced by various virtual, online interventions, tailored to the specific audience. Some of the CIPC partners, stakeholders and customers are technologically savvy and therefore will transition to the on-line platforms easily. However, other groups are not technologically savvy. The CIPC will have to explore ways to reach these groups without breaking lockdown regulations and risking COVID-19 infections.

International bodies

Participation in international bodies provides an opportunity for South Africa to make relevant input into the discussion, policies, and conventions.

South Africa as a member of G20 is bound by the Financial Action Task Force (FATF) requirements. G20 is an international forum for the governments and central bank governors from 19 countries and the European Union (EU). The FATF is the global money laundering and terrorist financing watchdog, which sets international standards that aim to prevent these illegal activities and the harm they cause to society. FATF requires the establishment of a **register of beneficial ownership** in order to mitigate the risk of “Terror Financing and Money Laundering” by legal entities. The Companies Act, 2008 (Act No. 71 of 2008) is therefore undergoing amendment to ensure alignment with these requirement, thereby implying CIPC would have to develop processes, procedures and systems in order to be able to administer the register.

The CIPC serves on the executive of the Global Corporate Registers Forum. The CIPC also serves in BRICS Heads of IP, of which meetings are held regularly. It also serves on the International Trade Marks Association (INTA). As member of WIPO, the CIPC is actively

pursuing automating the IP regime using systems that are made available to WIPO members in line with international best practice. The CIPC is also building capabilities for substantive examination of patents, and training for substantive examination of patents is ongoing.

5.2 Internal Environment Analysis

Organisational strengths

The CIPC successes has been the result of automation, and related systems system improvements, as well as the introduction of new service delivery platforms. Business units manage to keep to service delivery standards because of automation. The automated processes enable managers to monitor workflows, and therefore ensuring that service delivery standards are met. In particular, the IPAS allows for end-to-end automation of the IP registration processes. The K2 tool also allows for automation of corporate regulation processes, and internal processes. The iXBRL platform Hard-stop of Annual Returns in e-Services, enable the CIPC to identify companies that have not filed annual returns.

Digitisation

Digitisation remains key for CIPC and in preparation for the Fourth (4th) Industrial Revolution. A mobile application was launched with basic services as the first phase. Similarly, work is continuing to ensure appropriate IT technology is procured as the organisation is embracing the opportunities of a digital society. The CIPC continued with the stabilisation of its IT systems through investment in improved IT infrastructure and this led to improved functionality and enhanced security. The organisation will continue to invest in modernising its infrastructure in the five-year strategic period.

Financial sustainability

For the period 01 April 2018 to 31 March 2019, a total revenue of ZAR 508.4 million was generated from business activities related to submission of Annual Returns and registrations of companies, patents, designs and trade marks. Revenue generated from other income amounted to ZAR 7.8 million. This is comprised mainly of recognition as revenue of customer deposit balances older than three years, amounting to ZAR 6 million, and other sundry income. Interest of ZAR 50.7 million was earned on the Corporation for Public Deposits (CPD) investment at the South Africa Reserve Bank (SARB) and other related accounts.

It is expected that the CIPC will generate sufficient revenue over the short- to medium-term to sustain its operational activities and to improve its efficiencies in rendering and maintaining quality services, as set out in the Companies Act, 2008 (No. 71 of 2008). If the CIPC is to remain financially sustainable, and to cover the annual cost increase in service delivery, an annual adjustment of fees will be required. In this regard, National Treasury (NT) approved a fee increase for the CIPC. These increases will be implemented after due legal processes are completed. NT approved a five-year financial sustainability analysis and funds will be available to achieve the future organisational objectives.

In May 2019, the entity transferred ZAR 240 million accumulated surplus to NT, resulting in a substantial decrease in interest revenue. This will have an impact on revenue going forward and it is therefore necessary for the entity to implement fee increases to remain financially sustainable. The entity envisages implementing these increases within the next financial year.

The 2018/2019 - 2023/2024 Medium Term Revenue and Expenditure Framework (MTREF) for the CIPC was submitted to **the dtic** and NT, in accordance with the Public Finance Management Act (PFMA), 1999 (No. 1 of 1999). The main cost drivers for CIPC as a service organisation relate to employee remuneration, Information Technology (IT) services, office accommodation and service delivery enhancement projects. The remuneration of staff remains the most substantial expense, amounting to ZAR 325 million (67%) of total operating expenditure in the 2018/2019 financial year.

As National Treasury has approved CIPC fee structure, this will make a significant contribution towards the long-term sustainability of the organisation. We are in the process of implementing the structure in the organisation. The digitisation of the organisation will assist in improving efficiencies, while addressing equitable allocation of human resources. Improvement in compliance with prescriptions for Annual Returns will be an added advantage for the organisation.

Organisational weaknesses

The organisational weaknesses among others relate to the capacity constraints, system challenges, as well as operational challenges. Some key positions are not filled. This sometimes has an effect on service delivery. It is hoped that the organisation design project will address these problems.

System challenges negatively affect meeting of service delivery standards or release of new processes. It also contributes to high call and query volumes, as well as production delays. Because of this customers become irate, and staff demotivated. The CIPC is working tirelessly to address these problems through moving CIPC ICT infrastructure to the cloud instead of relying on **the dtic** servers.

The CIPC has limited capability to monitor the effects of modernisation. A number of ICT interventions are put in place to address this. The ripple effect of modernisation is staff uncertainty in that their roles have changed and are continually changing as the organisation is preparing for a Fourth Industrial Revolution Organisation. The organisation is addressing these issues through a detailed organisational design process which commenced with extensive staff engagement sessions with all staff, organised labour and the Executive. Internal policies will be updated and where outstanding, drafted, once the organisational design process is completed.

The CIPC invests significantly in the patent examiners and runs the risk of these highly qualified individuals being absorbed in the broader patent market.

The processes in trade mark, patent and design registration sections remains largely manual. There is an urgent need to automate all workflow processes to ensure an efficient and seamless operational system that supports implementation of substantial examination in patent applications. There is also a need to ensure examiners are provided with a conducive environment in which to work. The open plan office environment is not favourable for the type of work examiners will undertake, as they require a quiet environment where they can concentrate and focus on their work.

There has been low uptake of the use of Independent Review as a form of assurance, and the low levels of reporting by recognised Independent Review professionals/ practitioners. All

Accounting and Auditing Professional Bodies throughout the country were visited to explore ways to address these challenges. Webinar events will be organised to meet targeted audiences and address this challenge.

Threats and opportunities

When South Africa opened to Level 4 of the national lockdown, a risk analysis in relation to COVID-19 was conducted in preparation to open the CIPC to support government interventions (opening of industries on various levels), as well as service provision to the public, bearing in mind the staff and public safety. A high number of staff are at a high risk of contracting COVID-19 as they have comorbidities and over the age of 60.

The CIPC has put in place mechanisms for most staff to work remotely, provision of facemasks, screening equipment etc. The CIPC approved and implementing a virtual work policy.

COVID-19 conditions have impacted activities that require physical contact as the number of staff who can be at the office at a time is limited to 50%. At the expense of other activities, COVID-19 related activities are prioritised.

The changed dynamics of an office environment because of COVID-19 and the standing accommodation requirements for a new building are being addressed by the Department of Public Works. The CIPC is using digital platforms such as Zoom, Microsoft Teams for internal interactions.

Organisation Design

In terms of aligning its workforce behind its strategy to become a relevant regulator in the future, the organisation is embarking on an organisational design (OD) process. The OD process should take into consideration the conditions imposed by the Covid 19 pandemic such as virtual offices and channels.

Part C: Measuring Our Performance

6. Institutional Programme Performance

6.1 Programme 1: Service Delivery and Access

Purpose:

The purpose of the Programme 1: Service Delivery and Access is to promote better access to and service delivery by CIPC by ensuring that our access channels are secure and easily accessible to all, that the institution has sufficient and appropriate organisational resources to deliver the best possible service and that operational excellence is established in all areas of the organisation.

In order to ensure quality service delivery, the CIPC must place focus on its internal performance. The CIPC must act as an intelligent, innovative high-performance organisation in which employee morale and development is emphasised.

The emphasis of the CIPC business model is equally on the quality of the services it provides, the acceptable speed with which it delivers them and the value that its products, services and solutions generate for Customers. The CIPC's business model focuses on the manner in which it will deliver services, the quality of those services, the fees it will charge to be sustainable and the potential for value addition.

The following is a list of sub-programmes

1. Broader Office of the Commissioner
 - a) Advisor to the Commissioner
 - b) Innovation and Collaboration
 - c) Strategy
 - (i) Strategy, Planning and Monitoring
 - (ii) Operational Excellence
 - (iii) Strategic Communications
 - d) Compliance, Governance and Risk
 - (i) Compliance and Governance
 - (ii) Risk
 - (iii) Ombuds
 - e) Internal Audit
2. Corporate Services
 - a) Human capital
 - (i) Human capital
 - (ii) Knowledge Centre
 - (iii) Labour Relations and Employee Engagement
 - b) Facilities and Security
 - (i) Facilities
 - (ii) Security
 - (iii) Disclosure
 - c) Service Centres
 - d) Client Engagement and E-communications

- 3. Finance
 - a) Financial Management
 - b) Treasury
 - c) Supply Chain Management
- 4. Business Information and Systems
 - a) Chief Technology Officer
 - b) Enterprise Information Management
 - (i) Enterprise information management
 - (ii) Information assurance
 - c) Enterprise Programme Management Office
 - d) ICT Service Delivery
 - (i) Application management
 - (ii) Infrastructure management
- (iii) Process Engineering

Table C. 1: Programme 1: Service Delivery and Access - Outcomes, Outputs, Performance indicators, and Targets

Outcome	Output	Performance Indicator/ Measure	Audited Actual Performance			Estimate	Medium Term Targets		
			2017/18	2018/19	2019/20	Performance/Baseline	2020/21	2021/22	2022/23
Impact statement #1: A world-class modern regulator									
Organisational competencies and capabilities	Organisation Design	Organisation design completed	New indicator	New indicator	New indicator	Re-advertise the tender and appoint a service provider	OD process completed	Implemented OD outcomes	Implemented OD outcomes
	New Organisational Structure	Organisational Structure implemented	New indicator	New indicator	New indicator	Old structure in place	0 (To commence in 2022/23 after the OD process is finalized)	Organisational structure implemented	Organisational structure implemented
	Skills Assessment	Skills assessment conducted	New indicator	New indicator	New indicator	Not commenced	Skills assessment completed	Skills audit assessment implemented	Skills assessment implemented
	Skills Audit	Skills audit conducted	New indicator	New indicator	New indicator	Not commenced	0 (To commence in 2022/23 after the OD process is finalized)	Skills audit completed	Training and development
	Processes migrated to a new platform (K2)	Number of processes migrated to K2	New indicator	New indicator	New indicator	20	29	25	25
	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	New indicator	New indicator	New indicator	4	4 (49 old processes + 10% newly conceived automations per annum)	4	4

Outcome	Output	Performance Indicator/ Measure	Audited Actual Performance			Estimate Performance/Baseline		Medium Term Targets	
			2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24
Organisational effectiveness	Increase the score of the customer stakeholder value index	A score between 1 – 10 of the customer and stakeholder value index, a higher score indicating satisfaction with the CIPC	6.3	6.95 (Not audited)	Not measured	7.4	Not measured	8	8
	Customer satisfaction at the call centre	Average call centre customer satisfaction score	New indicator	New indicator	New indicator	7.6	7.5	8	8
	E-communication satisfaction	% customer satisfaction on e-communication	New indicator	New indicator	New indicator	To be determined	60%	65%	67%
	SSCs customer satisfaction	% customer satisfaction on SSCs	New indicator	New indicator	New indicator	To be determined	Baeseline+2%	+4%	+5%
	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	New indicator	New indicator	New indicator	94%	90%	90%	90%

Outcome	Output	Performance Indicator/ Measure	Audited Actual Performance			Estimate Performance/Baseline		Medium Term Targets	
			2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24
	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	New indicator	New indicator	New indicator	To be determined	75%	80%	90%
	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	New indicator	New indicator	New indicator	To be determined	65%	80%	90%
Impact Statement #2: Ease of doing business									
Reduced administrative compliance burden for companies and IP owners	Website performance	% website performance	93%	93%	95%	93%	93%	93%	93%
	Reduced turnaround time to resolve queries received through the QRS	Average turnaround time to resolve queries received through the QRS (working days)	New indicator	New indicator	New indicator	10	10	8	6
	Reduced turnaround time to resolve queries received through Facebook	Average turnaround time to resolve queries received through Facebook (working days)	New indicator	New indicator	New indicator	1	1	1	1

Outcome	Output	Performance Indicator/ Measure	Audited Actual Performance			Estimate Performance/Baseline		Medium Term Targets	
			2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24
	Reduced turnaround time to resolve queries received through Twitter	Average turnaround time to resolve queries received through Twitter (working days)	New indicator	New indicator	New indicator	1	1	1	1
	Implement mobile/Chat bot services in line with future projected CIPC standards (X hours and Y days to INSTANT delivery)	Number of processes conceived for automation on Mobile/Chat Bot platform	New indicator	New indicator	New indicator	4	4	4	4
	New automated service on eservices or BizPortal	No of automated services added on BizPortal	New indicator	New indicator	New indicator	To be determined	1	1	1

Table C. 2: Programme 1: Service Delivery and Access - Indicators, Annual and Quarterly Targets

Output	Performance Indicator/Measure	Baseline	2021/22 Annual Target	Quarterly Milestones			
				1 st Quarter	2 nd Quarter	3 rd Quarter	4 th Quarter
Organisation Design (OD)	OD process	Re-advertise the tender and appoint a service provider	OD process completed	Finalise review of service provider contract (due to COVID-19 disruptions)	OD audit (gap analysis)	Draft Report on OD audit/gap analysis results to all stakeholders	Final report of the OD outcomes
New organisational structure in line with the OD outcomes	Organisational structure	Old organisational structure	0 (To commence in 2022/23 after the OD process is finalized)	Commence in 2022	Commence in 2022	Commence in 2022	Commence in 2022-
Skills Assessment	Skills assessment conducted	Not commenced yet	Skills assessment completed	Background preparation for skills assessment	Skills assessment commenced	Skills assessment continued	Skills assessment concluded
Skills Audit	Skills audit conducted	Not commenced yet	0 (To commence in 2022/23 after the OD process is finalized)	Commence in 2022-	Commence in 2022	Commence in 2022	Commence in 2022-
Processes migrated to a new platform (K2)	Number of process migrated to K2	20	29	7	14 (7)	21 (7)	29 (8)
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	4	0	2	3 (1)	4 (1)
Increase the score of the customer stakeholder value index	A score between 1 – 10 of the customer and stakeholder value index, a higher score indicating satisfaction with the CIPC	7.4	Not measured (Measured every second year)	-	-	-	Not measured (Measured every second year)

Output	Performance Indicator/Measure	Baseline	2021/22 Annual Target	Quarterly Milestones			
				1 st Quarter	2 nd Quarter	3 rd Quarter	4 th Quarter
Customer satisfaction at the call centre	% - average call centre customer satisfaction	7.6	7.5	7.5	7.5	7.5	7.5
E-communication satisfaction	% customer satisfaction on e-communication	To be determined	60%	60%	60%	-	-
SSCs customer satisfaction	% customer satisfaction on SSCs	To be determined	Baseline +2%	Customer satisfaction measurement tool developed	Test measurement tool	Establish baseline	Baseline +2%
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	96%	90%	90%	90%	90%	90%
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%	75%	75%	80%	80%	60%
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%	60%	60%	65%	65%	60%
Website performance	% website performance	95%	93%	95%	95%	93%	93%

Output	Performance Indicator/Measure	Baseline	2021/22 Annual Target	Quarterly Milestones			
				1 st Quarter	2 nd Quarter	3 rd Quarter	4 th Quarter
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	10	10	10	10
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	1	1	1
Reduced turnaround time to resolve queries received through Twitter	Average turnaround time to resolve queries received through Twitter (days)	1	1	1	1	1	1
Implement mobile/Chat bot services in line with future projected CIPC standards (X hours and Y days to instant delivery)	Number of processes conceived for automation on Mobile/Chat Bot platform	4	4	0	2	3 (1)	4 (1)
New automated service on eservices or BizPortal	Number of automated services added on BizPortal	8 transactional services and one information service	1	-	-	-	1

Table C. 3: Recourse Considerations for Programme 1: Service Delivery and Access

Programme Name: Administration (Service Delivery and Access)					
Economic classification	Expenditure Outcome	Approved Budget	Medium-Term Expenditure Estimate		
	2019/20	2020/21	2021/22	2022/23	2023/24
	R '000	R '000	R '000	R '000	R '000
Current payment Compensation of employees and Goods & services, etc.	393 018	456 309	484 869	503 961	503 961
Payments of capital assets Building and other fixed structure Machinery & equipment	54 70	35 720	143 498	20 400	20 400
Other classifications	398 488	492 029	628 367	524 361	524 361

6.2 Programme 2: Innovation and Creativity Promotion

Purpose:

The purpose of Programme 2: Innovation and Creativity Promotion is to support and promote local innovation and creativity by maintaining accurate and secure registries of patents, designs, film productions and creative works. This includes maintenance of accurate, up-to date and relevant information concerning companies, foreign companies and other juristic persons contemplated in subsection (1) (a) (ii) of the Companies Act, No 71 of 2008, and concerning intellectual property rights, and the provision of that information to the public and to other organs of state. IP enforcement includes referring offense to law enforcement agencies such as the National Prosecution Authority.

Under this programme, the CIPC also supervises and regulates the distribution of collected royalty by accredited collecting agencies. In addition, the programme is responsible for providing policy inputs and legal advisory opinion on the coordination, implementation and impact of the respective IP laws. Furthermore, the group ensures that the implementation of the national IP regime is in alignment with the international IP system.

The primary function of the Innovation and Creativity Promotion Programme is to promote and support the registration of i) patents, ii) designs and iii) film productions. The group also registers patent attorneys that have passed the Patent Board Examination. Other functions of the Programme include, the coordination of appropriate enforcement actions; education and creating awareness of the requirements and benefits of registration of IP rights, the remedies available and the opportunities for commercialisation and industrial development through efficient management of IP assets.

Through this programme the CIPC also provides policy and legal insights on the implementation and impact of the relevant IP legislation. Thus, additional functions in this programme include in-depth research to identify gaps and to analyse the impact of IP rights registration forming a basis for further IP policy inputs. The programme is also responsible for monitoring the unauthorised use of private and public IP rights, with a particular focus on the protection of IP rights holders in the creative industries.

In line with the COVID-19 conditions, professional webinar environment will be created. This will include various virtual platforms, content development, packaging and delivery accessible anytime. The CIPC will use of free platforms for the disadvantaged communities. Staff will be trained for the new way of working.

List of sub-programmes

1. Innovation support and creativity
 - a) Patents and Designs Register
 - b) Innovation Policy and Outreach
2. Creative Industries
 - c) Copyright and IP Enforcement
 - d) Indigenous Cultural Expressions and Knowledge

Table C. 4: Programme 2: Innovation & Creativity - Outcomes, Outputs, Indicators, and Performance Targets

Outcomes	Output	Performance Indicator/ Measure	Audited Actual Performance			Estimate Performance/Baseline	Medium Term Targets		
			2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24
Impact Statement #1: A world-class modern regulator									
Organisational competencies and capabilities	Patent examiners trained on substantive search examination (SSE)	Number of patent examiners trained on SSE	New indicator	New Indicator	New Indicator	16 SSE examiners trained 28 interns training patent and under	All (16 SSE patent examiners and 29 interns trained)	All (16 SSE patent examiners trained)	All (16 SSE patent examiners trained)
	Migrating patent end to end processes to an automated system – Intellectual Property Automated System (IPAS)	% patent processes migrated to IPAS	New indicator	New Indicator	New Indicator	0	80%	100%	100%
	Migrating designs end to end processes to an automated system - IPAS	% designs processes migrated to IPAS	New indicator	New Indicator	New Indicator	0	80%	100%	100%
Impact Statement #2: Ease of doing business in SA									
Reduced administrative compliance burden for companies and IP owners	Reduced turnaround time (TAT) for patent applications	Average turnaround time for patent applications	New indicator	New Indicator	New Indicator	3	2	1	1
	Reduced TAT for designs applications	Average turnaround time for designs application	New indicator	New Indicator	New Indicator	3	2	1	1

Outcomes	Output	Performance Indicator/ Measure	Audited Actual Performance				Estimate Performance/Baseline	Medium Term Targets		
			2017/18	2018/19	2019/20	2020/21		2021/22	2022/23	2023/24
	Reduced TAT for copyright in films applications	Average turnaround time for copyright in film application	New indicator	New Indicator	New Indicator	3		2	1	1
		Impact Statement #3: Investor confidence in SA businesses and innovations								
Strengthening the validity of granted IPR (patents designs and copyright), and in doing so reduce litigation costs for the client	Patents SEE implemented and patent registrations service delivery standards maintained as legislated	Patent SSE Proof of Concept implemented	New indicator	New Indicator	New Indicator	Proof of Concept		Proof of Concept implementation completed	Maintain service standards	Maintain service standards
	Designs registrations service delivery standards maintained as legislated – 18 months	% design registrations processed within the legislated service delivery standards – 18 months	New indicator	New Indicator	New Indicator	To be determined		90%	90%	90%
	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	New indicator	New Indicator	New Indicator	To be determined		60%	90%	90%

Outcomes	Output	Performance Indicator/ Measure	Audited Actual Performance				Estimate Performance/Baseline	Medium Term Targets		
			2017/18	2018/19	2019/20	2020/21		2021/22	2022/23	2023/24
Reduce IP filing costs	Inventor Assistance Programme implemented	Number of persons assisted	New indicator	New indicator	New indicator	5		7	10	15
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	New indicator	New indicator	New indicator	16		16	16	16
	CIPC Learning Academy	The establishment of the CIPC Learning Academy	New indicator	New indicator	New indicator	Steering Committee in place and operational (TORs in place)		WIPO needs assessment complete and MoU finalization	Concept and business case prepared	Concept and business case approved
	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 (included virtual sessions) hosted by the CIPC or in collaboration with its partners for identified stakeholders	-	-	4	13		6	8	10
	Increase capacity in Law Enforcement Agencies on IPR	Number of Law Enforcement	New indicator	New indicator	New indicator	Sessions held through on-line platforms and		80	200	250

Outcomes	Output	Performance Indicator/ Measure	Audited Actual Performance				Estimate Performance/Baseline	Medium Term Targets		
			2017/18	2018/19	2019/20	2020/21		2021/22	2022/23	2023/24
		Agency officials trained on IPR				information shared through social media				
Impact Statement #4: Third Party Decision-Making										
IPR Enforcement Data/Information Integration (All stakeholders)	Mobile App used to collect data/information on IPR enforcement	Stage of development of the Mobile App	New indicator	New indicator	New indicator	Project initiated		Testing and launch of pilot	Training, and expansion to Africa	Expansion to the rest of the world

Table C. 5: Programme 2- Innovation and Creativity - Indicators, Annual, and Quarterly Targets

Output	Performance Indicator/Measure	Baseline	2021/22 Annual Target	1 st Quarter	Quarterly Milestones 2 nd Quarter	3 rd Quarter	4 th Quarter
Patent examiners trained on substantive search examination (SSE)	Number of patents examiners trained on SSE	16 SSE trained and 28 interns under training	All (16 SSE trained and 29 interns)	Implementation of training for examiners with EPO - 16 SSE and 29 interns	Implementation of training for examiners with EPO - 16 SSE and 29 interns	Implementation of training for examiners with EPO - 16 SSE and 29 interns	Implementation of training for examiners with EPO -16 SSE and 29 interns
Migrating patent end to end processes to an automated system – Intellectual Property Automated System (IPAS)	% of patent processes migrated to IPAS	0	80%	10%	30%	50%	80%
Migrating designs end to end processes to an automated system – IPAS	% of designs processes migrated to IPAS	0	80%	10%	30%	50%	80%
Reduced TAT for patent applications	Average turnaround time for patent applications	3	2	2	2	2	2
Reduced TAT for designs applications	Average turnaround time for designs application	3	2	2	2	2	2
Reduced TAT for copyright in films applications	Average turnaround time for copyright in film application	2	2	2	2	2	2

Output	Performance Indicator/Measure	Baseline	2021/22 Annual Target	1 st Quarter	Quarterly Milestones		4 th Quarter
					2 nd Quarter	3 rd Quarter	
Patents SEE implemented and patent registrations service delivery standards maintained as legislated	Patent SSE Proof of Concept	Proof of Concept	Patent SSE Proof of Concept implemented	Patent Search Tool procurement	Acquisition and training on Patent search tool	50% of SSE cases handled in the selected fields	80% SSE cases handled in selected fields
Designs registrations service delivery standards maintained as legislated – 18 months	% design registrations processed within the legislated service delivery standards – 18 months	To be determined	90%	90%	90%	90%	90%
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	To be determined	60%	60%	60%	60%	60%
Reduce filing costs for IPR owners	Number of persons assisted	5	7	100 % of applications received screened.	100% Applications screened.	Eligible applicants shortlisted and referred for assistance	7 Applicants referred for assistance
IP education and awareness sessions hosted by the CIPC or with its collaboration partners for identified stakeholders	Number of webinars held hosted by the CIPC or with its collaboration partners for identified stakeholders	16	16	4	8 (4)	12 (4)	16 (4)

Output	Performance Indicator/Measure	Baseline	2021/22 Annual Target	Quarterly Milestones			
				1 st Quarter	2 nd Quarter	3 rd Quarter	4 th Quarter
CIPC Learning Academy	Progress report on the establishment (Concept and Business Case; Design; Positions filled; Policies, processes, and SOPs in place; Operations)	Steering Committee in place and operational (TORs in place)	WIPO needs assessment complete and MoU finalization	WIPO needs assessment complete and submitted	WIPO engagement on needs assessment	WIPO engagement on needs assessment	Final outcome of needs assessment and possible MoU preparation
IP enforcement public education and awareness sessions organized by the CIPC and its collaboration partners for different stakeholders	Number of IP enforcement education and awareness sessions conducted by the CIPC and its collaboration partners	6	6	1	2 (3)	4 (1)	6 (2)
Increase capacity in Law Enforcement Agencies on IPR	Number of officials trained	Sessions held through virtual platforms and Information shared through social media	80	200	40 (20)	60 (20)	80 (20)
Mobile App used to collect data/information on IPR enforcement	Stage of development of the Mobile App	Project initiated	Testing and launch of pilot	-	Concept developed and refined	-	Testing and launch of pilot

Table C. 6: Recourse Considerations for Programme 2: Innovation and Creativity

Programme Name: Innovation and creativity promotion					
Economic classification	Expenditure outcome	Approved Budget	Medium-Term Expenditure Estimate		
	2019/20	2020/21	2021/22	2022/23	2023/24
	R '000	R '000	R '000	R '000	
Current payment Compensation of employees and Goods & services, etc.	52 402	60 841	64 649	67 195	67 195
Payments of capital assets Building and other fixed structure Machinery & equipment	-	-	-	-	
Other classifications	52 402	60 841	64 649	67 195	67 195

6.3 Programme 3: Business Regulation and Reputation

Purpose:

The purpose of the Programme 3: Business Regulation and Reputation is to enhance the reputation of South African businesses and the South African business environment by ensuring that the registers of corporate entities, their managers and their identity have integrity and that a culture of corporate compliance and high standards of governance, disclosure and corporate reputation is established. The programme also aims to provide policy and legal insight and advice on the co-ordination, implementation and impact of the respective laws.

The following functions, amongst others, fall within this programme:

- maintaining registers of companies and close corporations, co-operatives, directors and delinquent persons, and trade marks as well as company names and business names,
- accreditation of practitioners and intermediaries,
- educating business owners and practitioners on compliance of the legislation as well as,
- promote and enforce compliance with the legislation.

The CIPC is required to monitor compliance with certain requirements of the legislation, such as the submission of annual returns, the rotation of auditors and disclosures in terms of the financial reporting standards and the requirements for prospectuses. Furthermore, the CIPC investigates complaints and enforces the provision of the Companies Act, the Close Corporations Act, the Share Block Companies Act and the Co-operatives Act relating to governance and disclosure.

The Business Regulation and Reputation Programme also incorporate a focus on corporate policy and legal matters. This includes support for the prosecution of offences, the interpretation of laws, as well as the proposal of amendments to legislation and regulations. The function also entails continuously tracking international developments in the areas of corporate governance, disclosure, corporate registration and enforcement and trade marks.

Complaints relating to Companies may be filed in writing with the CIPC upon receiving a complaint, the CIPC may resolve:

- (i) not to investigate,
- (ii) to refer it to the Companies Tribunal or Accredited Agency or other appropriate regulatory authority or
- (iii) to direct an investigator or inspector to investigate.

After receiving an investigation report the Commission may

- (i) excuse a respondent
- (ii) refer the complaint to the Companies Tribunal;
- (iii) issue a notice of non-referral to complainant, advising the complainant of any rights to seek a remedy in court;
- (iv) propose that the complainant and any affected person meet with the Commission or with the Tribunal, to resolve matter by consent order;

- (v) commence proceedings in a court in the name of the complainant, if the complainant—
- has a right to apply to a court; and
 - has consented to the Commission to do so;
- (vi) refer the matter to the NPA, or other regulatory authority, if Commission alleges that a person has committed an offence in terms of this Act or any other legislation; or
- (vii) issue a compliance notice in terms of section 171.

List of sub-programmes

1. Corporate Compliance and Enforcement
 - a) Corporate Disclosure and Compliance
 - b) Corporate Governance, Surveillance and Enforcement
2. Corporate Registers
 - a) Companies and Close Corporations (CCs)
 - b) Co-operatives
 - c) Directors, Members and Practitioners
 - d) Trade mark
3. Legal Policy and Outreach
 - a) Corporate Education and Voluntary Compliance
 - b) Corporate Legal and Policy Support

Outcomes	Output	Performance Indicator/Measure	Audited Actual Performance			Estimate Performance	Medium Term Targets		
			2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24
Impact statement #2: Ease of doing business									
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.	6	3	2	2	2	2	1
	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.	15	3	3	2	3	2	1
Impact statement #3: Investor confidence									

Outcomes	Output	Performance Indicator/Measure	Audited Actual Performance			Estimate Performance	Medium Term Targets		
			2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24
Increased awareness of company laws, regulations, as well as CIPC services, processes, and channels	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	New indicator	New indicator	11	11	18	16	16
Reputable business and IP regulation environment	Business ownership Register	Beneficial Ownership Register in place	New indicator	New indicator	New indicator	Approved Concept Paper	Approved Business Case	Beneficial Ownership System in Place	-

Table C. 8: Programme 3 – Business Regulation and Reputation - Indicators, Annual and Quarterly Targets

Output	Performance Indicator/Measure	Baseline	2021/22 Annual Target	Quarterly Milestones			
				1 st Quarter	2 nd Quarter	3 rd Quarter	4 th Quarter
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	2	2	2	2
Reduction in the average number of days to register a co-operative from the date of receipt of a complete application.	The average number of days to register a co-operative from the date of receipt of a complete application.	2	3	3	3	3	3
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	11	18	4	10 (6)	16 (6)	18 (2)
Stakeholder education seminars or provide professional support. Collaborate with IODSA	Stakeholder education seminars or provide education support / training - including collaboration with IODSA	0	2	0	1	1(1)	2 (0)
Automated Beneficial Ownership Register	Beneficial Ownership Register in place	Internal engagement on Beneficial Ownership Register Business case	Approved Beneficial Ownership Register Business case	Consultations	Draft Business case	Cost Business Case	Approved Beneficial Ownership Business case

Table C. 9: Recourse Considerations for Programme 3: Business Regulation and Reputation

Programme Name: Business Regulations and Reputation					
Economic classification	Expenditure Outcome	Approved Budget	Medium-Term Expenditure Estimate		
	2019/20	2020/21	2021/22	2022/23	
	R '000	R '000	R '000	R '000	
Current payment Compensation of employees and Goods & services, etc.	78 604	91 262	96 974	100 792	100 792
Payments of capital assets Building and other fixed structure Machinery & equipment	-	-	-	-	
Other classifications	78 604	91 262	96 974	100 792	100 792

7. Explanation of planned performance over the medium term period

(i) Organisation Design, Skills Audit and Capacity Building

OD process will review and design of an organisational structure (including the design of business areas, and business units), business processes, workflows, roles and responsibilities, volumes of work, activities and resources to ensure alignment with the organisation's mandate, strategic framework, and ultimately meet its business objectives and service delivery. The skills assessment and skills audit will identify skills gaps, which will be used as a basis for employee training and development, in doing so improving their competencies and capabilities. The OD process and a skills audit lay a foundation to build competencies and capabilities to build a world-class modern regulator.

(ii) Policies, processes, and systems

Policies, processes and systems are critical organisational capabilities. Policies provide guidance and instructions of how employees should conduct their work, in particular decision-making. Policies are internal control measures to mitigate organisational risks. Processes outline how organisational activities are conducted, breaking it down to logical, sometimes repeatable steps to achieve distinct business tasks. Processes streamline organisational activities to ensure that optimal use of resources, quality, consistency, and reliability, as well as accountability. Business process management (improvement, simplification etc.) is a capability that will allow the CIPC to be agile, efficient, effective, and regulatory compliant, as well as make it easy transfer of business knowledge and practice continuous improvement. Systems, for purposes of this document, refers to ICT technologies to transmit, store, and manipulate data and information. It includes hardware, software and data. Modernised ICT systems will contribute to an efficient work environment, easy data tracking, greater collaboration and access to data, data safety and cyber security, and ultimately improved customer access increasing customer satisfaction. It is therefore critical to ensure that all the CIPC policies, processes, and systems are aligned to its vision and strategies.

(iii) Customer satisfaction

Reducing turnaround times for resolving queries contributed to improved organisational effectiveness. Customer satisfaction measures indicate whether these improvements translates to customer satisfaction.

(iv) Turnaround times and 24/7 accessibility

Reduction of turnaround times and 24/7 access reduce the administrative regulatory burden for companies and IP owners and therefore making it easy to do business in SA, which in turn improves SA competitiveness.

(v) Compliance, enforcement and other programmes

Building compliance surveillance and enforcement capabilities through developing strategies, partnerships, training etc.; strengthening the validity of granted IPR (patents designs and copyright), and in doing so reduce litigation costs for the client through substantive search examination; supporting businesses and innovators through directed programmes such as Investor Assistance Programme; and increased awareness of business and IP protection laws, regulations, services,

processes will contribute to building a reputable business and IP protection environment thus boosting investor confidence in SA businesses and innovations.

(vi) Data

Data and system integrity is critical to a data sharing strategy as this will assure users that data and information shared is reliable. The CIPC data sharing strategy is also underpinned by digitisation and collaboration. Digital platforms will be used to gather as well as to share data. The CIPC will also rely on its partners and stakeholders to share their data.

8. Key risks

Outcome/Strategic Objective	Key risks	Risk Mitigation
CIPC 1: 24/7 access to all CIPC products and services to provide ease, simplicity and flexibility in dealing with CIPC. • Reduced Regulatory administrative burden. • Competencies and capabilities support a world class and modern organization.	Service delivery: Inadequate availability and accessibility of service channels Technology: Inadequate ICT infrastructure	- Automated business tools (email, website, query resolution system, mobile) - Call centre - Website - Education and awareness initiatives (e.g. campaigns and workshops) - Marketing collateral (e.g. brochures) - Social media - Partnerships with other role players (e.g. Seda, the dtic, WIPO) - Ongoing quality management initiatives - Customer communication, education and awareness initiatives (including media campaign) - Customer surveys - Crisis communications - Media monitoring and management - Service delivery channels (physical and digital). - ICT strategic plan included in organisational business plan - BISG high-level processes - Project prioritisation forum - Change control procedures

Outcome/Strategic Objective	Key risks	Risk Mitigation
CIPC 2: Competencies and capabilities to support a world class and modern organization. Linked to CIPC 1.	Technology: Lack of stability of IT systems : CIPC, Partners and 3 rd party providers	-SLA management - Skills transfer (into CIPC) - Integration of various business systems through e-channels (digital) - Prioritised application systems rollout strategy and plan implementation - Planned proactive systems maintenance - Skills procurement as required - Skills development (needs-based) - Resource planning and procurement aligned with business needs - Consequence management (performance) - Trouble-shooting - Customer communication, education and awareness initiatives (including media campaign) - Legal support - Human resource management and staff engagement - Service delivery channels (physical and digital) - Integration of various business systems through e-channels (digital) - Prioritised application systems rollout strategy and plan implementation
CIPC 3: Competencies and capabilities to support a world class and modern organization. Linked to CIPC 1.	Technology: Lack of stability of IT systems : CIPC, Partners and 3 rd party providers	
CIPC 4: Organizational Effectiveness: Timely delivery of all CIPC products and services by continuously reducing time spent dealing with CIPC.	Stakeholders: Inability to effectively manage stakeholder relations and expectations	-Education, awareness, branding and media campaign initiatives - Proactive communication of expected process interruptions via website - Current automation initiatives (reduce human error rate) and optimise efficiencies. - Adhoc research conducted in the process of developing strategic planning documents - Signed MOU's and SLAs with various stake holders - Each business unit manages its own stakeholders on an adhoc basis - Crisis communications - Financial monitoring and reporting - Crisis communications - Media monitoring and management

Outcome/Strategic Objective	Key risks	Risk Mitigation
CIPC 5: Competencies and capabilities to support a world class and modern organization.	Technology: Inadequate information & cyber security	- Security, network and infrastructure policies and procedures - Information security management system (policies and procedures) - Data disclosure strategy - ICT continuity strategy -Review and continuous improvement of physical and logical access protocols - Vulnerability assessments -Data back-ups -Periodic penetration testing -Conduct social engineering test/ audit - Security, network and infrastructure policies and procedures -Information security management system (policies and procedures) -Data disclosure strategy - Crisis communications -Media monitoring and management -Troubleshooting (ICT) - Legal support
CIPC 5: Competencies and capabilities to support a world class and modern organization.	Technology: Inadequate information & cyber security	
CIPC 6: Data and networks shared with 3rd parties. Linked with CIPC 4: Timely delivery of all CIPC products and services by continuously reducing time spent dealing with CIPC.	Information Management: Inadequate data integrity	- Data policies, processes, procedures and conventions -Data validation techniques -Third party verification system -Automated integrity checks -Access to the source code of our systems -Security, network and infrastructure policies and procedures -Information security management system (policies and procedures) - Improvement of data accuracy and integrity through implementation of business rules in applications -Digitisation of records -Automation of dematerialised data and records - Consequence management (performance) -Crisis communications -Media monitoring and management -Troubleshooting (ICT) - Legal support

Outcome/Strategic Objective	Key risks	Risk Mitigation
CIPC 7: Organizational effectiveness. Linked with CIPC 1 and 4. □ An intelligent, innovative, high performance organizational environment	Financial Governance: Ineffective governance and oversight over finance and supply chain management	- Stakeholder management - SCM policy -Delegation of authority -Central supplier database -Supply chain governance committees - Integration of planning and budgeting processes - Signed-off divisional procurement plans as part of the annual budget process - Contract management process -SCM reporting requirements (supplier performance) -Quarterly SCM & Financial reporting to EXCO and Risk and Audit Committees - SCM policy -Irregular expenditure monitoring -Fruitless, wasteful expenditure monitoring -Anti-fraud and corruption plan -Preference to legislative compliance requirements where there is process conflict -Consequence management (performance) -Finance policies- Anti-fraud policy -Investigations and recovery process
CIPC 7: Organizational effectiveness. Linked with CIPC 1 and 4. • An intelligent, innovative, high performance organizational environment	Financial Governance: Ineffective governance and oversight over finance and supply chain management	
CIPC 8: Organizational effectiveness. Linked with CIPC 1 and 4.	Financial Governance: Financial Sustainability	-Cost-containment measures -Approved fee structure -Budget process -Budget monitoring -Quarterly SCM & Financial reporting to EXCO and Risk and Audit Committees -CIPC Vision 2030
CIPC 9: Organizational effectiveness: □ An intelligent, innovative, high performance organizational environment	Culture and People: Lack of optimal and professional organizational culture	-Performance management system -Policies and procedures -Strategic plan -Values defined - Consequence management (performance)

Outcome/Strategic Objective	Key risks	Risk Mitigation
CIPC 10: Organizational effectiveness: • An intelligent, innovative, high performance organizational environment	Culture and People :Ineffective people management	-Moratorium in place -Recruitment policy -HR Policies -Bursary programme -Short courses -Internal training -Personal development plans -Health and safety policy -Compliance certificate -Health and safety inspections - - Security provided by landlord -Crisis communications -Media monitoring and management -Liability insurance
CIPC 10: Organizational effectiveness: • An intelligent, innovative, high performance organizational environment	Culture and People :Ineffective people management	
CIPC 11: A reputable business and IP protection environment □ Increased knowledge and awareness on Company and IP Laws	Service delivery: Inadequate accessibility of Intellectual Property (IP) services	-Partnerships with other role players (e.g. Seda, the dtic, EPO, WIPO) -Training and awareness (to build internal skills) -Inventors assistance programme -WIPO partnership -Website -Education and awareness initiatives (e.g. campaigns and workshops) - - Marketing collateral (e.g. brochures) -Social media -Partnerships with other role players (e.g. Seda, the dtic, WIPO) -International engagements to shape and direct the IP space

Outcome/Strategic Objective	Key risks	Risk Mitigation
		-Train the trainer programme with WIPO and Department of Small Business Development -Inventors Assistance programme (IAP) -Customer surveys -Crisis communications -Media monitoring and management -Consequence management (performance) -Customer communication, education and awareness initiatives (including media campaign)
CIPC 12: A reputable business and IP protection environment CIPC 12: A reputable business and IP protection environment	Financial governance: Ineffective implementation of the substantive search and examination programme Financial governance: Ineffective implementation of the substantive search and examination programme	-SSE training and competency testing programme - European Patent Office oversight on the quality of work produced by examiners -MOU between CIPC and European Patents Office -IPAS (intellectual property administration system) approved for implementation -EpoqueNet system for patent searches -Signed MOU between CIPC and WIPO -Consequence management (performance) -Customer survey -Crisis communications -Media monitoring and management -Customer communication, education and awareness initiatives (including media campaign) -Legal support
CIPC 13 : A reputable business and IP protection environment □ Improve compliance with the Companies Act and other relevant legislation through compliance monitoring and enforcement activities	Service delivery: Ineffective and inefficient regulatory oversight/enforcement	-Integration with law enforcement agencies -Education and awareness on enforcement to various stakeholders (IP) -Legal opinion/ support -Capacitated internal staff with regards to enforcement -Training of law enforcement agencies in the CIPC enforcement mandate and law -Capacitated internal staff with regards to enforcement -Education and awareness on enforcement to various stakeholders (IP) -Customer survey -Crisis communications -Media monitoring and management -Consequence management (performance) -Legal support

Outcome/Strategic Objective	Key risks	Risk Mitigation
CIPC 14: Organizational effectiveness □ An intelligent, innovative, high performance organizational environment	Culture and People : Labour relations and stability thereof	- Bargaining forums - Employee engagement - Consequence management (performance)
CIPC 15: Organizational effectiveness • An intelligent, innovative, high performance organizational environment	Culture and People: Occupational health, safety & business continuity threats	- Alignment with national Covid 19 regulations -Committee for Covid 19 management and response -Dedicated resource to ensure the implementation of Covid 19 regulations and other related matters -Organizational health and safety policy -Telecommuting policy -Wellness initiatives -No more than 50% staff permitted in the office and by default staff should work from home -Staff screening upon arrival on the premises -Separation of working areas to prevent the spread of infection (if any) between teams - Business continuity plan -Ongoing teams communications -Monitoring and evaluation (including corrective actions thereof).
CIPC 15: Organizational effectiveness • An intelligent, innovative, high performance organizational environment	Culture and People: Occupational health, safety & business continuity threats	

9. Risk Management and Fraud Prevention Plan

EXECUTIVE SUMMARY

The Companies and Intellectual Property Commission (CIPC) acknowledges the need to implement a holistic and structured process of corporately managing its exposure to risk, to this end, a risk management policy and framework have been developed and approved.

This plan provides a road map on how the risk management and fraud prevention policies and strategies will be translated into practical steps for improving the risk management maturity of the CIPC.

PURPOSE AND SCOPE OF THE DOCUMENT

This document sets out the risk management and prevention business units' rolling plan for the period 2021/22 – 2025/26 financial year, as well as the annual implementation plan detailing activities to be conducted in the 2021/22 financial year. It should be noted that in compiling the plan, current and potential impact of the Covid pandemic on CIPC's operations of were considered.

OBJECTIVE

The primary objective of the risk management plan is to facilitate the execution of risk management within the CIPC. This plan is developed in compliance with the sections 51(1) (a) of the PFMA and 27.2.1 of the Treasury Regulations and gives effect to the implementation of the risk management policy and framework of the CIPC. Furthermore, it provides a roadmap for the embedding of risk management within the CIPC and sets out activities planned for the identified periods in line with the strategic plan and details the activities and timelines for the 2021/22 financial year.

APPROACH

In developing the plan, the following factors were taken into account the:

- ✓ Approved Risk Management and Fraud Prevention policies;
- ✓ approved Risk Management Framework and Fraud Prevention Strategy;
- ✓ best practice;
- ✓ resource requirements and availability (available and external resources required);
- ✓ past performance of the Division; and
- ✓ identified quick-wins.

DETAILED PLAN

A five year plan which is aligned to the strategic planning processes of the CIPC is included below. This long term plan is followed by a detailed implementation plan for the 2021/22 financial year.

Five year rolling plan 2021/22-2025/26

Activities	Period				
	21/22	22/23	23/24	24/25	25/26
1. Risk Management					
1.1. Risk management plan development and approval	✓	✓	✓	✓	✓
1.2. Revision of risk management policy.	✓			✓	✓
1.3. Review the risk framework and methodology	✓			✓	
1.4. Develop a risk management maturity framework		✓			
1.5. Conduct a risk management maturity assessment				✓	
1.6. Strategic risk register review	✓	✓	✓	✓	✓
1.7. Risk appetite statement and tolerance levels review	✓	✓	✓	✓	✓
1.8. Conduct strategic risk analysis (root causes and mitigation actions)	✓	✓	✓	✓	✓
1.9. Quarterly monitoring, review and reporting on management of strategic risks	✓	✓	✓	✓	✓
1.10. Operational risk register review	✓	✓	✓	✓	✓
1.11. Quarterly monitoring, review and reporting on management of strategic risks	✓	✓	✓	✓	✓
1.12. Conduct risk management training for employees	✓	✓			✓
1.13. Develop and review risk indicators	✓	✓	✓	✓	✓
1.14. Facilitate and ensure alignment of risk management with individual performance		✓	✓	✓	✓
2. Fraud Prevention					
2.1 Fraud prevention plan review and approval	✓	✓	✓	✓	✓
2.2 Fraud prevention policy and strategy review		✓		✓	
2.3 Whistleblowing policy and strategy review		✓		✓	
2.4 Review of fraud prevention methodology/processes		✓			✓
2.5 Fraud Risk Register review	✓	✓	✓	✓	✓

Activities	Period				
	21/22	22/23	23/24	24/25	25/26
2.6 Ethics policy and framework review			✓		✓
2.7 Fraud awareness and education	✓	✓	✓	✓	✓
2.8 Facilitate the declaration of interest process in line with the approved policies	✓	✓	✓	✓	✓
2.9 Maintain an effective fraud complaints case database	✓	✓	✓	✓	✓
2.10 Conduct investigations	✓	✓	✓	✓	✓
2.11 Quarterly reporting on fraud prevention to relevant governance structures	✓	✓	✓	✓	✓

Note: See paragraph 4 for factors considered in determining frequency of activities.

Annual Implementation Plan 2021/2022

Activities	2021/22	Q1	Q2	Q3	Q4
1. Risk Management					
1.1 Risk management plan development and approval	✓			✓	
1.2 Revision of risk management policy.	✓	✓			
1.3 Review the risk framework and methodology	✓		✓		
1.4 Strategic risk register annual review	✓			✓	
1.5 Risk appetite statement and tolerance levels review	✓			✓	
1.6 Conduct operational risk analysis (root causes and mitigation actions)	✓		✓		
1.7 Quarterly monitoring, review and reporting on management of strategic and operational risks	✓	✓	✓	✓	✓
1.8 Operational risk review for all divisions	✓				✓
1.9 Develop a third party risk management framework	✓				✓
1.10 Conduct risk management awareness	✓		✓		✓
2. Fraud Prevention					
2.1 Fraud prevention plan review and approval for 2022/23	✓			✓	
2.2 Fraud Risk Register review	✓	✓			
2.3 Implementation of the ethics plan in line with the ethics framework	✓		✓	✓	

Activities	2021/22	Q1	Q2	Q3	Q4
2.4 Fraud data analysis and reporting	✓	✓	✓	✓	✓
2.5 Fraud awareness and education	✓	✓	✓	✓	✓
2.6 Facilitate the declaration of interest process in line with the approved policies	✓	✓			
2.7 Maintain an effective fraud complaints case database	✓	✓	✓	✓	✓
2.8 Conduct investigations	✓	✓	✓	✓	✓
2.9 Quarterly reporting on fraud prevention to relevant governance structures	✓	✓	✓	✓	✓

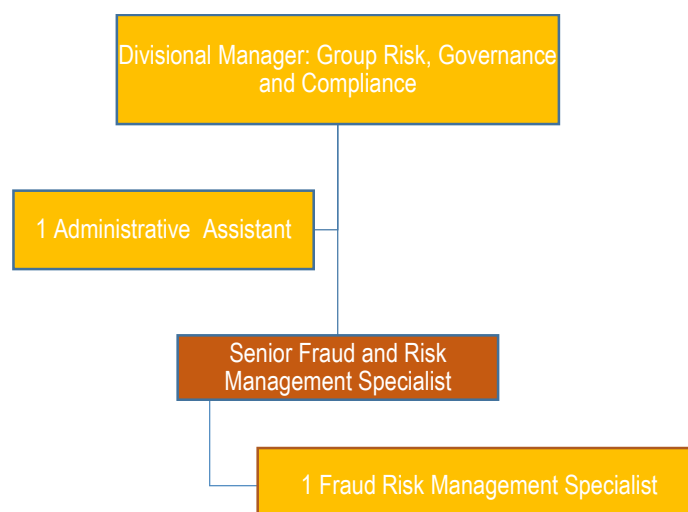
RESOURCES IMPLICATIONS AND ASSUMPTIONS

Over the years, the GRC Division has had capacity challenges arising from the previous processes followed in appointing and transferring staff. In addition, job descriptions of most employees within the Division are not aligned to positions and grades.

Whilst awaiting the outcomes of the planned organisational re-design process, alternative means of sourcing additional capacity have to be considered. Full implementation of the plan is based on the assumptions that additional permanent and or temporary resources will be made available.

Diagram 6.1 below shows the current risk management and fraud prevention organogram. This structure is aligned to current operational requirements and improvement initiatives. Diagram 6.2 highlights proposed resources requirements.

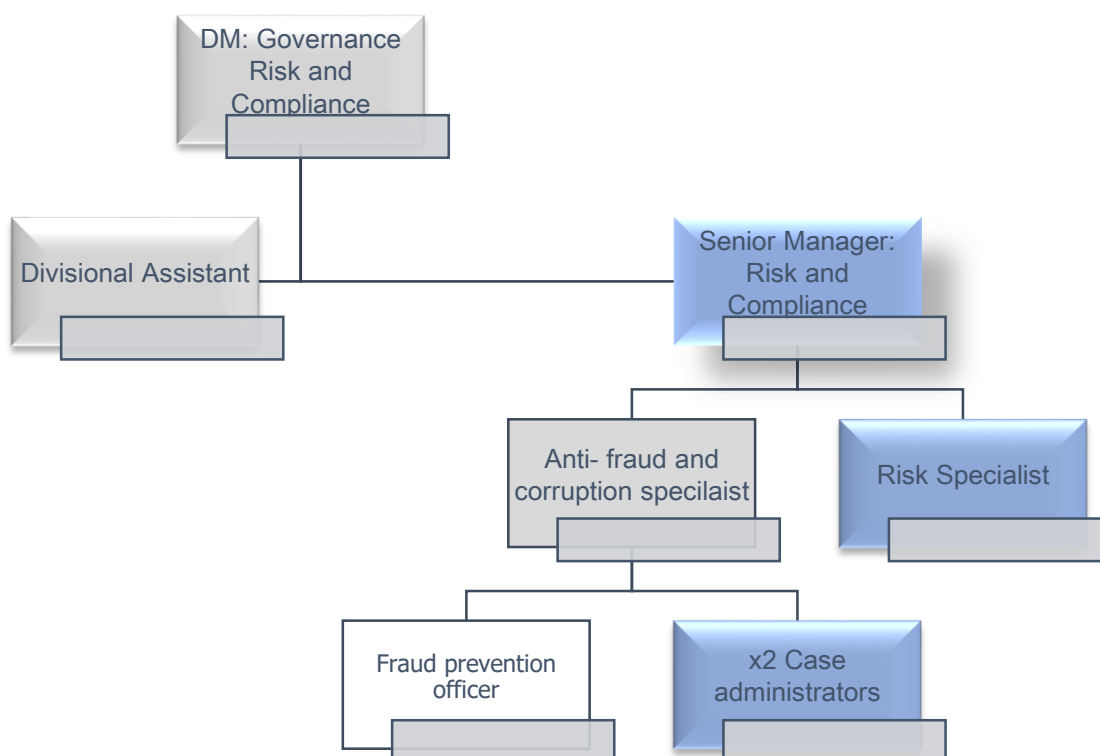
6.1 Current Risk Management and Fraud prevention resources (Approved GRC organogram)



Notes:

- (a) Positions highlighted in purple are occupied. With the exception of the administrative assistant who occasionally assists with some of the fraud prevention activities, the Fraud Risk Management Specialist performs both the risk management and fraud prevention functions.
- (b) Senior Fraud and Risk Management specialist position is remains vacant.
- (c) Two resources were seconded from another division to assists with the administration aspect of the fraud complaints and case management.

Proposed Risk Management and Fraud Prevention Organogram:



REVIEW OF THE PLAN

The plan shall be reviewed annually or as when circumstances dictate. Any amendments to the plan shall be brought to the attention of the Risk-ICT Committee consideration and for approval.

PART D: Technical Indicator Descriptions (TID)

10. Technical Indicator Description

10.1 Programme 1: Service Delivery and Access

Indicator Title	Organisation Design		
Definition	OD process aims to establish alignment of organisation design to the organisational strategy. The structure, capabilities, roles etc. will be audited to identify gaps. The outcomes of the OD process will inform the new organisational structure, new job profiles etc.		
Source of data	Management reports, service provider reports and Steering Committee reports		
Method of calculation/ Assessment	Read management reports, service provider reports and Steering Committee reports including evidence of progress.		
Means of Verification	A signed report and supporting documentation.		
Assumptions	That all employees, unions and management will participate in the process.		
Disaggregation of Beneficiaries (where applicable)	- Target for Women: N/A - Target for Youth: N/A - Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	- Reflect on contribution to spatial transformation priorities: N/A - Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)	X	
	Non-cumulative		
Reporting cycle	Quarterly and annually		
Desired performance	Completed organisational design process.		
Indicator responsibility	The Executive Manager: Corporate Services is responsible for managing and reporting on this indicator.		

Indicator Title	Organisational Structure implemented		
Definition	The new organisational structure will be implemented as one of the outcomes of the OD process. The organisational structure that is fit for the current organisational strategy, is one of the key aspects of building competencies and capabilities necessary for the organisational strategy – Vision 2030.		
Source of data	Management reports, service provider reports and Steering Committee reports		
Method of calculation/ Assessment	Read management reports, service provider reports and Steering Committee reports including evidence of progress.		
Means of Verification	Signed management report and other supporting documentation.		
Assumptions	Structure is benchmarked and scientifically validated. There is a budget to implement the structure.		
Disaggregation of Beneficiaries (where applicable)	- Target for Women: N/A - Target for Youth: N/A - Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	- Reflect on contribution to spatial transformation priorities: N/A - Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)	X	
	Non-cumulative		
Reporting cycle	Quarterly and annually		
Desired performance	Implementation of the organisational structure.		
Indicator responsibility	The Executive Manager: Corporate Services is responsible for managing and reporting on this indicator.		

Indicator Title	Skills assessment conducted		
Definition	The skill assessment will determine what skills staff and management possess. The skills assessment, which is less formal than a skills audit, will inform training interventions amongst other things. This effort is directed at building employee competencies and capabilities that support a world-class modern regulator. Skills assessment is meant to identify skills gap, and allude to the employer the required interventions.		
Source of data	Management reports, service provider reports and Steering Committee reports		
Method of calculation/ Assessment	Read management reports, service provider reports and Steering Committee reports including evidence of progress.		
Means of Verification	Signed management report and other supporting documents		
Assumptions	Appropriate resources.		
Disaggregation of Beneficiaries (where applicable)	• Target for Women: N/A • Target for Youth: N/A • Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	• Reflect on contribution to spatial transformation priorities: N/A • Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)	X	
	Non-cumulative		
Reporting cycle	Quarterly and annually		
Desired performance	Completed skills assessment.		
Indicator responsibility	The Executive Manager: Corporate Services is responsible for managing and reporting on this indicator.		

Indicator Title	Skills audit conducted		
Definition	A skills audit is the process of assessing your each employee’s skills, and then identifying potential knowledge gaps which might affect the long-term plans of the organisation, or the growth of the individual. In the case of the CIPC, the skills audit will determine whether employees have skills and knowledge to realise the CIPC Vision 2030 strategy, in particular building a world-class modern regulator.		
Source of data	Management reports, service provider reports and Steering Committee reports including evidence of progress.		
Method of calculation/ Assessment	Read management reports, service provider reports and Steering Committee reports including evidence of progress.		
Means of Verification	Signed management report and other supporting documents		
Assumptions	Skills audit baseline in line with the job profiles of employees		
Disaggregation of Beneficiaries (where applicable)	• Target for Women: N/A • Target for Youth: N/A • Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	• Reflect on contribution to spatial transformation priorities: N/A • Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)	X	
	Non-cumulative		
Reporting cycle	Quarterly and annually		
Desired performance	Completed skills audit.		
Indicator responsibility	The Executive Manager: Corporate Services is responsible for managing and reporting on this indicator.		

Indicator Title	Number of processes migrated to K2		
Definition	The CIPC processes (except for IP processes) migrated to a modern platform, K2. With the goal to build a world-class modern regulator, the CIPC adopts a modernisation strategy which entails amongst other this migrating all its ICT applications to a modern platform.		
Source of data	Management reports		
Method of calculation/ Assessment	A simple count		
Means of Verification	Signed management reports and other supporting documents		
Assumptions	Appropriate resources		
Disaggregation of Beneficiaries (where applicable)	- Target for Women: N/A - Target for Youth: N/A - Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	- Reflect on contribution to spatial transformation priorities: N/A - Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)	X	
	Non-cumulative		
Reporting cycle	Quarterly and annually		
Desired performance	All processes migrated to modern platforms.		
Indicator responsibility	The Executive Manager: Business Information Systems Group is responsible for managing and reporting on this indicator.		

Indicator Title	Number of processes conceived for automation		
Definition	Business processes (BP) in line with future projected CIPC standards (From X hours and Y days to instant delivery). This is part of the modernisation strategy directed at building a world-class modern regulator.		

Indicator Title	Number of processes conceived for automation		
Source of data	Management report		
Method of calculation/ Assessment	A management report with a list of processes is provided which shows which processes were automated.		
Means of Verification	A signed management report with supporting documents.		
Assumptions	Appropriate resources.		
Disaggregation of Beneficiaries (where applicable)	• Target for Women: N/A • Target for Youth: N/A • Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	• Reflect on contribution to spatial transformation priorities: N/A • Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)	X	
	Non-cumulative		
Reporting cycle	Quarterly and annually		
Desired performance	All processes automated		
Indicator responsibility	The Executive Manager: Business Information Systems Group is responsible for managing and reporting on this indicator.		

Indicator Title	A score between 1 – 10 of the customer and stakeholder value index, a higher score indicating satisfaction with CIPC
Definition	The customer and stakeholder value index measure the customer and stakeholder satisfaction and perception of CIPC. This test the impact of CIPC programmes, strategies, interventions etc., in other words organisational effectiveness. Survey results should inform further designs of CIPC programmes, strategies, interventions etc.
Source of data	Stakeholder and customer survey report.

Indicator Title	A score between 1 – 10 of the customer and stakeholder value index, a higher score indicating satisfaction with CIPC		
Method of calculation/ Assessment	The results will be extracted from the survey report.		
Means of Verification	Approved Survey Report.		
Assumptions	Resourcing appropriate.		
Disaggregation of Beneficiaries (where applicable)	• Target for Women: N/A • Target for Youth: N/A • Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	• Reflect on contribution to spatial transformation priorities: N/A • Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)		
	Non-cumulative	X	
Reporting cycle	Quarterly and Annually		
Desired performance	At least 8 score.		
Indicator responsibility	The Chief Strategy Executive is responsible for managing and reporting on this measure.		

Indicator Title	% call centre customer satisfaction		
Definition	The call centre customer satisfaction is measured to determine organisational effectiveness in servicing the call centre.		
Source of data	Management report Survey report		
Method of calculation/ Assessment	Read the reports		

Indicator Title	% call centre customer satisfaction		
Means of Verification	Signed management report and survey reports		
Assumptions	Resourcing appropriate		
Disaggregation of Beneficiaries (where applicable)	- Target for Women: N/A - Target for Youth: N/A - Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	- Reflect on contribution to spatial transformation priorities: N/A - Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)		
	Non-cumulative	X	
Reporting cycle	Quarterly and Annually		
Desired performance	80% call centre customer satisfaction		
Indicator responsibility	The Executive Manager: Corporate Services is responsible for managing and reporting on this indicator.		

Indicator Title	% customer satisfaction on e-communication		
Definition	The customer satisfaction on e-communication tests the impact of CIPC e-communication, in other words organisational effectiveness. Survey results should inform further designs of CIPC e-communication strategies and initiatives.		
Source of data	Management report E-communication customer survey report		
Method of calculation/ Assessment	Read reports		
Means of Verification	Signed management report and other supporting documents		

Indicator Title	% customer satisfaction on e-communication		
Assumptions	Appropriate resources		
Disaggregation of Beneficiaries (where applicable)	- Target for Women: N/A - Target for Youth: N/A - Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	- Reflect on contribution to spatial transformation priorities: N/A - Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)		
	Non-cumulative	X	
Reporting cycle	Quarterly and Annually		
Desired performance	80% customer satisfaction on e-communication		
Indicator responsibility	The Executive Manager: Corporate Services is responsible for managing and reporting on this indicator.		

Indicator Title	% customer satisfaction on SSCs		
Definition	Measuring customer satisfaction on the self service centres tests the impact of CIPC SSCs in other words organisational effectiveness in running SSCs. Survey results should inform future decisions regarding SSCs.		
Source of data	Management report SSC customer survey report		
Method of calculation/ Assessment	Read reports Customer satisfaction survey		
Means of Verification	Signed management report and other supporting documentation		
Assumptions	Appropriate resources.		

Indicator Title	% customer satisfaction on SSCs		
Disaggregation of Beneficiaries (where applicable)	- Target for Women: N/A - Target for Youth: N/A - Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	- Reflect on contribution to spatial transformation priorities: N/A - Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)		
	Non-cumulative	X	
Reporting cycle	Quarterly and Annually		
Desired performance	80% customer satisfaction on SSCs		
Indicator responsibility	The Executive Manager: Corporate Services is responsible for managing and reporting on this indicator.		

Indicator Title	% of queries received through the QRS resolved within the set turnaround time – 10 working days
Definition	The queries resolved through QRS within the set turnaround time are measured to determine the organisational effectiveness in resolving queries lodged through QRS within the set turnaround time (10 working days). This aim is ensure that customer expectations are met.
Source of data	Management report. System report.
Method of calculation/ Assessment	Read the reports. Queries resolved within turnaround time divided by queries resolved during the reporting period.
Means of Verification	Signed management report and QRS system report.
Assumptions	Resources appropriate.

Indicator Title	% of queries received through the QRS resolved within the set turnaround time – 10 working days		
Disaggregation of Beneficiaries (where applicable)	- Target for Women: N/A - Target for Youth: N/A - Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	- Reflect on contribution to spatial transformation priorities: N/A - Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)	X	
	Non-cumulative		
Reporting cycle	Quarterly and Annually		
Desired performance	8% call centre customer satisfaction score		
Indicator responsibility	The Executive Manager: Corporate Services takes responsibility for reporting on this measure.		

Indicator Title	% of queries received through Facebook resolved within the set turnaround time (1 working day)		
Definition	The queries resolved through Facebook within the set turnaround time are measured to determine the organisational effectiveness in resolving queries lodged through Facebook within the set turnaround time (1 working days). This aim is ensure that customer expectations are met.		
Source of data	Management report Facebook report		
Method of calculation/ Assessment	Read the reports Queries resolved within turnaround time divided by queries resolved during the reporting period		
Means of Verification	Signed management report and system report (Facebook)		
Assumptions	Appropriate resources		
Disaggregation of Beneficiaries (where applicable)	- Target for Women: N/A - Target for Youth: N/A - Target for People with Disabilities: N/A		

Indicator Title	% of queries received through Facebook resolved within the set turnaround time (1 working day)		
Spatial Transformation (where applicable)	• Reflect on contribution to spatial transformation priorities: N/A • Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)		
	Non-cumulative	X	
Reporting cycle	Quarterly and Annually		
Desired performance	90% of queries received through Facebook resolved within the set turnaround time – 1 working day		
Indicator responsibility	The Executive Manager: Corporate Services takes responsibility for managing and reporting on this measure.		

Indicator Title	% of queries received through Twitter resolved within the set turnaround time- 1 working day		
Definition	The queries resolved through Twitter within the set turnaround time are measured to determine the organisational effectiveness in resolving queries lodged through Twitter within the set turnaround time (1 working days). This aim is ensure that customer expectations are met.		
Source of data	Management report Twitter report		
Method of calculation/ Assessment	Read the reports Queries resolved within turnaround time divided by queries resolved during the reporting period		
Means of Verification	Signed management report and survey report		
Assumptions	Appropriate resources		
Disaggregation of Beneficiaries (where applicable)	- Target for Women: N/A - Target for Youth: N/A - Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	- Reflect on contribution to spatial transformation priorities: N/A - Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		

Indicator Title	% of queries received through Twitter resolved within the set turnaround time- 1 working day		
	Cumulative (Year to date)		
	Non-cumulative	X	
Reporting cycle	Quarterly and Annually		
Desired performance	90% of queries received through Twitter resolved within the set turnaround time		
Indicator responsibility	The Executive Manager: Corporate Services takes responsibility for reporting on this measure.		

Indicator Title	% website performance		
Definition	Performance of CIPC website for our Customers to transact, 24 hours a day, 7 days a week.		
Source of data	Systems Reports		
Method of calculation/ Assessment	We will regard any page on the e-services site taking longer than 4 seconds as unavailable. The results are aggregated for a month showing actual achievement as a percentage. The report should cover from the 1st of the reporting period until the last day of the month of the reporting period.		
Means of Verification	System report, and PDF snapshots of performance		
Assumptions	Appropriate resources		
Disaggregation of Beneficiaries (where applicable)	- Target for Women: N/A - Target for Youth: N/A - Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	- Reflect on contribution to spatial transformation priorities: N/A - Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)		
	Non-cumulative	X	

Indicator Title	% website performance
Reporting cycle	Quarterly and annually
Desired performance	100% website performance.
Indicator responsibility	The Executive Manager: Business Intelligence and Systems is responsible for managing and reporting on this indicator.

Indicator Title	Average turnaround time to resolve queries received through the QRS (working days).		
Definition	Reduced turnaround time to resolve queries received through the QRS contributing to reduced administrative burden for companies and IP owners, in doing so making it easy to do business in SA.		
Source of data	Management report QRS		
Method of calculation/ Assessment	Instruct the system to extract total number of queries resolved within the reporting period. The number of queries are totalled and the turnaround time is calculated for each transaction – FORMULA = NETWORKINGDAYS (RECEIVED DATE*; RESOLVED DATE, excluding holidays and days on which the CIPC is closed such as during December/January). The average turnaround time is then calculated by adding all the numbers (Turnaround time) and then it is divided by the number of transactions that exists. In other words, the sum divided by the count.		
Means of Verification	Signed management report and system report.		
Assumptions	Resources appropriate		
Disaggregation of Beneficiaries (where applicable)	• Target for Women: N/A • Target for Youth: N/A • Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	• Reflect on contribution to spatial transformation priorities: N/A • Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)		
	Non-cumulative	X	

Indicator Title	Average turnaround time turnaround time to resolve queries received through the QRS (working days).
Reporting cycle	Quarterly and annually
Desired performance	Reduction in the average turnaround time
Indicator responsibility	The Executive Manager: Corporate Services is responsible for managing and reporting on this indicator.

Indicator Title	Average turnaround time to resolve queries received through the Facebook (working days).		
Definition	Reduced turnaround time to resolve queries received through the Facebook contributing to reduced administrative burden for companies and IP owners, in doing so making it easy to do business in SA.		
Source of data	Management report Facebook		
Method of calculation/ Assessment	Instruct the system to extract total number of queries resolved within the reporting period. The number of queries are totalled and the turnaround time is calculated for each transaction – FORMULA = NETWORKINGDAYS (RECEIVED DATE*; RESOLVED DATE, excluding holidays and days on which the CIPC is closed such as during December/January). The average turnaround time is then calculated by adding all the numbers (Turnaround time) and then it is divided by the number of transactions that exists. In other words, the sum divided by the count.		
Means of Verification	Signed management report and system report		
Assumptions	Appropriate resources		
Disaggregation of Beneficiaries (where applicable)	• Target for Women: N/A • Target for Youth: N/A • Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	• Reflect on contribution to spatial transformation priorities: N/A • Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)		
	Non-cumulative	X	

Indicator Title	Average turnaround time to resolve queries received through the Facebook (working days).
Reporting cycle	Quarterly and annually
Desired performance	Reduction in the average turnaround time
Indicator responsibility	The Executive Manager: Corporate Services is responsible for managing and reporting on this indicator.

Indicator Title	Average turnaround time turnaround time to resolve queries received through the Twitter (working days).		
Definition	Reduced turnaround time to resolve queries received through the Twitter contributing to reduced administrative burden for companies and IP owners, in doing so making it easy to do business in SA.		
Source of data	Management report Twitter system report		
Method of calculation/ Assessment	Instruct the system to extract total number of queries resolved within the reporting period. The number of queries are totalled and the turnaround time is calculated for each transaction – FORMULA = NETWORKINGDAYS (RECEIVED DATE*; RESOLVED DATE, excluding holidays and days on which the CIPC is closed such as during December/January). The average turnaround time is then calculated by adding all the numbers (Turnaround time) and then it is divided by the number of transactions that exists. In other words, the sum divided by the count.		
Means of Verification	Signed management report and system report		
Assumptions	Resources appropriate		
Disaggregation of Beneficiaries (where applicable)	• Target for Women: N/A • Target for Youth: N/A • Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	• Reflect on contribution to spatial transformation priorities: N/A • Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)		

Indicator Title	Average turnaround time turnaround time to resolve queries received through the Twitter (working days).		
	Non-cumulative	X	
Reporting cycle	Quarterly and annually		
Desired performance	Reduction in the average turnaround time		
Indicator responsibility	The Executive Manager: Corporate Services is responsible for managing and reporting on this indicator.		

Indicator Title	Number of processes conceived for automation on Mobile/Chat Bot Platform		
Definition	The CIPC services conceived for automation on Mobile/Chat Bot Platform contributing to reduced administrative burden for companies and IP owners, in doing so making it easy to do business in SA.		
Source of data	Management reports		
Method of calculation/ Assessment	A list is provided which show which services will be automated on Mobile/Chat Bot Platform. These are summed up and the % calculated.		
Means of Verification	Signed management reports and system reports		
Assumptions	Resources appropriate		
Disaggregation of Beneficiaries (where applicable)	- Target for Women: N/A - Target for Youth: N/A - Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	- Reflect on contribution to spatial transformation priorities: N/A - Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)	X	
	Non-cumulative		
Reporting cycle	Quarterly and annually		
Desired performance	An increase in the number of processes conceived for automation on Mobile/Chat Bot Platform		

Indicator Title	Number of processes conceived for automation on Mobile/Chat Bot Platform
Indicator responsibility	The Executive Manager: BISG is responsible for managing and reporting on this measure.

Indicator Title	Number of automated services added on BizPortal		
Definition	Automated service added on BizPortal contributing to reduced administrative burden for companies and IP owners, in doing so making it easy to do business in SA.		
Source of data	Management report		
Method of calculation/ Assessment	A list of services automated Simple count		
Means of Verification	Signed management report		
Assumptions	Appropriate resources		
Disaggregation of Beneficiaries (where applicable)	- Target for Women: N/A - Target for Youth: N/A - Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	- Reflect on contribution to spatial transformation priorities: N/A - Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)		
	Non-cumulative	X	
Reporting cycle	Quarterly and annually		
Desired performance	An increase in the number of automated services added on BizPortal		
Indicator responsibility	The Senior Manager: Innovation and Collaboration is responsible for managing and reporting on this indicator.		

10.2 Programme 2: Innovation and Creativity

Indicator Title	Number of patent examiners trained		
Definition	Patent examiners and interns trained in substantive search examination (SSE) in preparation to implement SSE for patents. This is an endeavour to build CIPC capabilities and competencies towards a world-class modern regulator, as well as a reputable IP protection environment.		
Source of data	Management reports and other supporting documentation		
Method of calculation/ Assessment	Simple count of individuals you received training		
Means of Verification	Signed report and supporting documentation if available such as a. Signed attendance register by trainees and/or b. Certificates of attendance/completion/qualification		
Assumptions	The training budget is available. Necessary approval will be granted.		
Disaggregation of Beneficiaries (where applicable)	- Target for Women: To be determined - Target for Youth: To be determined - Target for People with Disabilities: To be determined		
Spatial Transformation (where applicable)	- Reflect on contribution to spatial transformation priorities: To be determined - Reflect on the spatial impact area: To be determined		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)		
	Non-cumulative	X	
Reporting cycle	Quarterly and annually		
Desired performance	All patent examiners and interns trained		
Indicator responsibility	The Divisional Manager: Innovation Support and Protection is responsible for managing and reporting on the indicator.		

Indicator Title	% of patent processes migrated to IPAS		
Definition	Patent processes migrated to the automated system (Intellectual Property Automated System – IPAS) as part of the CIPC modernisation strategy aimed at building a world-class modern regulator.		
Source of data	Management reports System reports		
Method of calculation/ Assessment	A percentage of migrated patent processes calculated from a list of all patent processes		
Means of Verification	Signed management report and system report		
Assumptions	No major system downtime		
Disaggregation of Beneficiaries (where applicable)	- Target for Women: N/A - Target for Youth: N/A - Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	- Reflect on contribution to spatial transformation priorities: N/A - Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)	X	
	Non-cumulative		
Reporting cycle	Quarterly and annually		
Desired performance	100% of patent processes migrated		
Indicator responsibility	The Divisional Manager: Innovation Support and Protection is responsible for managing and reporting on this indicator.		

Indicator Title	% of designs processes migrated to IPAS		
Definition	Designs processes migrated to the automated system (Intellectual Property Automated System – IPAS) as part of the CIPC modernisation strategy aimed at building a world-class modern regulator.		
Source of data	Management reports System reports		
Method of calculation/ Assessment	A percentage of migrated patent processes calculated from a list of all patent processes.		
Means of Verification	Signed management report and system (IPAS) report		
Assumptions	No major system downtime		
Disaggregation of Beneficiaries (where applicable)	- Target for Women: N/A - Target for Youth: N/A - Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	- Reflect on contribution to spatial transformation priorities: N/A - Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)	X	
	Non-cumulative		
Reporting cycle	Quarterly and annually		
Desired performance	100% of designs processes migrated		
Indicator responsibility	The Divisional Manager: Innovation Support and Protection is responsible for managing and reporting on this indicator.		

Indicator Title	Average turnaround time for patent applications		
Definition	The average number of days it takes to issue a designs application number from the date the customer submits a complete application. To reduce the regulatory administrative burden of long waiting periods to process applications, initiatives such as automation and other innovations are directed at reducing turnaround times. Measuring turnaround times show progress made in this regard.		
Source of data	System reports		
Method of calculation/ Assessment	Instruct the system to extract total number of patent applications issued with an application number within the reporting period and produce a report in an Excel spread sheet. The report should include the script used to extract the report and data limitations. The report should cover from the 1st day of the month of the reporting period until the last day of the month of the reporting period. The number of transactions are totalled and the turnaround time is calculated for each transaction – FORMULA = NETWORKINGDAYS (RECEIVED DATE*; APPLICATION NUMBER DATE, excluding holidays and days on which the CIPC is closed such as during December/January). The average turnaround time is then calculated by adding all the numbers (Turnaround time) and then it is divided by the number of transactions that exists. In other words, the sum divided by the count.		
Means of Verification	System report signed off		
Assumptions	No major system downtime		
Disaggregation of Beneficiaries (where applicable)	• Target for Women: N/A • Target for Youth: N/A • Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	• Reflect on contribution to spatial transformation priorities: N/A • Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)		
	Non-cumulative	X	
Reporting cycle	Quarterly and annually		
Desired performance	Reduction in the average number of days to issue a patent application number from the date of receipt a complete application.		
Indicator responsibility	The Divisional Manager: Innovation Support and Protection is responsible for managing and reporting on this indicator.		

Indicator Title	Average turnaround time for designs applications		
Definition	The average number of days it takes to issue a designs application number from the date the customer submits a complete application. To reduce the regulatory administrative burden of long waiting periods to process applications, initiatives such as automation and other innovations are directed at reducing turnaround times. Measuring turnaround times show progress made in this regard.		
Source of data	System reports		
Method of calculation/ Assessment	Instruct the system to extract total number of design applications issued with an application number within the reporting period and produce a report in an Excel spread sheet. The report should include the script used to extract the report and data limitations. The report should cover from the 1st day of the month of the reporting period until the last day of the month of the reporting period. The number of transactions are totalled and the turnaround time is calculated for each transaction – FORMULA = NETWORKINGDAYS (RECEIVED DATE*; APPLICATION NUMBER DATE, excluding holidays and days on which the CIPC is closed such as during December/January). The average turnaround time is then calculated by adding all the numbers (Turnaround time) and then it is divided by the number of transactions that exists. In other words, the sum divided by the count.		
Means of Verification	Signed off system report		
Assumptions	No major system downtime		
Disaggregation of Beneficiaries (where applicable)	• Target for Women: N/A • Target for Youth: N/A • Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	• Reflect on contribution to spatial transformation priorities: N/A • Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)		
	Non-cumulative	X	
Reporting cycle	Quarterly and annually		
Desired performance	Reduction in the average number of days to issue a design application number from the date of receipt a complete application.		
Indicator responsibility	The Divisional Manager: Innovation Support and Protection is responsible for managing and reporting on this indicator.		

Indicator Title	Average turnaround time for copyright in film applications.		
Definition	The average number of days it takes to issue a copyright in film application number from the date the customer submits a complete application. To reduce the regulatory administrative burden of long waiting periods to process applications, initiatives such as automation and other innovations are directed at reducing turnaround times. Measuring turnaround times show progress made in this regard.		
Source of data	System reports		
Method of calculation/ Assessment	Instruct the system to extract total number of copyright in film applications issued with an application number within the reporting period and produce a report in an Excel spread sheet. The report should include the script used to extract the report and data limitations. The report should cover from the 1st day of the month of the reporting period until the last day of the month of the reporting period. The number of transactions are totalled and the turnaround time is calculated for each transaction – FORMULA = NETWORKINGDAYS (RECEIVED DATE*; APPLICATION NUMBER DATE, excluding holidays and days on which the CIPC is closed such as during December/January). The average turnaround time is then calculated by adding all the numbers (Turnaround time) and then it is divided by the number of transactions that exists. In other words, the sum divided by the count.		
Means of Verification	Signed off system report		
Assumptions	No major system downtime		
Disaggregation of Beneficiaries (where applicable)	• Target for Women: N/A • Target for Youth: N/A • Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	• Reflect on contribution to spatial transformation priorities: N/A • Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)		
	Non-cumulative	X	
Reporting cycle	Quarterly and annually		
Desired performance	Reduction in the average number of days to issue a copyright in film application number from the date of receipt a complete application.		
Indicator responsibility	The Senior Manager: Creative Industries (Copyright) is responsible for managing and reporting on this indicator.		

Indicator Title	Patent SSE Proof of Concept implemented
Definition	To increase investor confidence in the SA IP protection system, patents substantive search examination is implemented, strengthening the validity of granted IPR (patents), and in doing so reduce litigation costs for the client. Maintaining legislated patent registrations service delivery standards ensures that SSE is applied as legislated.

Indicator Title	Patent SSE Proof of Concept implemented		
Source of data	Management report		
Method of calculation/ Assessment	Read management report		
Means of Verification	Signed management report.		
Assumptions	Budget and other resource available		
Disaggregation of Beneficiaries (where applicable)	• Target for Women: N/A • Target for Youth: N/A • Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	• Reflect on contribution to spatial transformation priorities: N/A • Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)	X	
	Non-cumulative		
Reporting cycle	Quarterly and annually		
Desired performance	100% Patent SSE Proof of Concept implemented		
Indicator responsibility	The Divisional Manager: Innovation Support and Protection is responsible for managing and reporting on this indicator.		

Indicator Title	% of design registrations processed within the legislated service delivery standards - 36 months.
Definition	Maintaining legislated patent registrations service delivery standards applied as legislated ensures that due diligence is done in the designs registration process. This is meant to boost investor confidence in the SA IP protection system by strengthening the validity of granted IPR and in doing so reduce litigation costs for the client.

Indicator Title	% of design registrations processed within the legislated service delivery standards - 36 months.		
Source of data	System reports		
Method of calculation/ Assessment	Instruct the system to extract total number of design registrations within the reporting period and produce a report in an Excel spread sheet. The report should include the script used to extract the report and data limitations. The report should cover from the 1st day of the month of the reporting period until the last day of the month of the reporting period. The number of transactions are totalled and the turnaround time is calculated for each transaction – FORMULA = NETWORKINGDAYS (RECEIVED DATE*; REGISTRATION DATE, excluding holidays and days on which the CIPC is closed such as during December/January). The percentage of transactions that were within the SDS is calculated as follows: - Firstly, identify transactions within TAT - FORMULA = IF (TURNAROUNDTIME <=TAT, 1," ") - (e.g. =IF (L2<=25, 1," ")) and summed up; the transactions that are outside the prescribed TAT are also identified and summed up. Actual % achievement = Total number of design registered manually within 36 months/Total number of company registered manually * 100		
Means of Verification	Signed off system report		
Assumptions	No major system downtime		
Disaggregation of Beneficiaries (where applicable)	- Target for Women: N/A - Target for Youth: N/A - Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	- Reflect on contribution to spatial transformation priorities: N/A - Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)	X	
	Non-cumulative		
Reporting cycle	Quarterly and annually		
Desired performance	100% of design registrations processed within the legislated service delivery standards - 36 months		
Indicator responsibility	The Divisional Manager: Innovation Support and Protection is responsible for managing and reporting on this indicator.		

Indicator Title	% of copyright in film registrations processed within the legislated service delivery standards - 2 months.		
Definition	Maintaining legislated patent registrations service delivery standards applied as legislated ensures that due diligence is done in the designs registration process. This is meant to boost investor confidence in the SA IP protection system by strengthening the validity of granted IPR and in doing so reduce litigation costs for the client.		
Source of data	System reports		

Indicator Title	% of copyright in film registrations processed within the legislated service delivery standards - 2 months.		
Method of calculation/ Assessment	Instruct the system to extract total number of copyright in film registrations within the reporting period and produce a report in an Excel spread sheet. The report should include the script used to extract the report and data limitations. The report should cover from the 1st day of the month of the reporting period until the last day of the month of the reporting period. The number of transactions are totalled and the turnaround time is calculated for each transaction – FORMULA = NETWORKINGDAYS (RECEIVED DATE*; REGISTRATION DATE, excluding holidays and days on which the CIPC is closed such as during December/January). The percentage of transactions that were within the SDS is calculated as follows: - Firstly, identify transactions within TAT - FORMULA = IF (TURNAROUNDTIME <=TAT, 1," ") - (e.g. =IF (L2<=25, 1," ")) and summed up; the transactions that are outside the prescribed TAT are also identified and summed up. Actual % achievement = Total number of design registered manually within 36 months/Total number of company registered manually * 100		
Means of Verification	Signed off system report		
Assumptions	No major system downtime		
Disaggregation of Beneficiaries (where applicable)	- Target for Women: N/A - Target for Youth: N/A - Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	- Reflect on contribution to spatial transformation priorities: N/A - Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)	X	
	Non-cumulative		
Reporting cycle	Quarterly and annually		
Desired performance	100% of copyright in film registrations processed within the legislated service delivery standards - 36 months		
Indicator responsibility	The Divisional Manager: Innovation Support and Protection is responsible for managing and reporting on this indicator.		

Indicator Title	Number of persons assisted
Definition	Reduce filing costs for innovators by provided financial assistance. This contributes to the country's competitiveness and therefore boost investor confidence in innovations and small businesses in SA.
Source of data	Management Reports

Indicator Title	Number of persons assisted		
Method of calculation/ Assessment	Simple count		
Means of Verification	Signed management and printout of attendees from Ms Teams or the recording of the session		
Assumptions	Applications received		
Disaggregation of Beneficiaries (where applicable)	• Target for Women: To be determined • Target for Youth: To be determined • Target for People with Disabilities: To be determined		
Spatial Transformation (where applicable)	• Reflect on contribution to spatial transformation priorities: To be determined • Reflect on the spatial impact area: To be determined		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)	X	
	Non-cumulative		
Reporting cycle	Quarterly and annually		
Desired performance	At least 7 persons provided with assistance.		
Indicator responsibility	The Divisional Manager: Innovation Support and Protection is responsible for managing and reporting on this indicator.		

Indicator Title	Number of IP education and awareness webinars hosted by the CIPC, also in collaboration with partners (Excluding invites)
Definition	IP (patents, designs, copyright in film, and trade marks) education and awareness sessions organized by the CIPC and its collaboration partners for different stakeholders will increased awareness of IP protection laws, regulations, services and related processes and innovators, and therefore strengthen the IP protection system. In doing so, boost investor confidence in the IP protection system and innovations.
Source of data	Management reports

Indicator Title	Number of IP education and awareness webinars hosted by the CIPC, also in collaboration with partners (Excluding invites)		
Method of calculation/ Assessment	Simple count		
Means of Verification	Signed management report and printout of attendees from Ms Teams or the recording of the session		
Assumptions	Targeted audience have internet access, and smart devices.		
Disaggregation of Beneficiaries (where applicable)	- Target for Women: To be determined - Target for Youth: To be determined - Target for People with Disabilities: To be determined		
Spatial Transformation (where applicable)	- Reflect on contribution to spatial transformation priorities: To be determined - Reflect on the spatial impact area: To be determined		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)	X	
	Non-cumulative		
Reporting cycle	Quarterly and annually		
Desired performance	Planned sessions or more conducted.		
Indicator responsibility	The Senior Manager: Creative Industries (Copyright) is responsible for managing and reporting on this indicator.		

Indicator Title	Stage of the establishment of the CIPC Learning Academy		
Definition	The establishment of the CIPC Learning Academy will ensure focused and streamlined capacity building, education and public awareness on Company and IP Law and related legislation, services, and related process.		
Source of data	Management reports and supporting documentation if available		
Method of calculation/ Assessment	Reading of reports and supporting documentation if available		

Indicator Title	Stage of the establishment of the CIPC Learning Academy		
Means of Verification	Signed management report and supporting documentation if available		
Assumptions	No major delays in approval processes		
Disaggregation of Beneficiaries (where applicable)	- Target for Women: N/A - Target for Youth: N/A - Target for People with Disabilities: N/A Not at the stage of the establishment of the Academy.		
Spatial Transformation (where applicable)	- Reflect on contribution to spatial transformation priorities: N/A - Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)	X	
	Non-cumulative		
Reporting cycle	Quarterly and annually		
Desired performance	All set milestones achieved.		
Indicator responsibility	The Senior Manager: Innovation Policy and Outreach is responsible for managing and reporting on this indicator.		

Indicator Title	Number of IP enforcement education and awareness events on conducted by the CIPC or in collaboration with its partners
Definition	Increasing public awareness and capacity building on IP enforcement contributes to the strengthening of the IP protection system, in doing so boost investor confidence in the IP protection system and innovations.
Source/ of data	Management reports
Method of calculation/ Assessment	Simple count

Indicator Title	Number of IP enforcement education and awareness events on conducted by the CIPC or in collaboration with its partners		
Means of Verification	Signed management and printout of attendees from Ms Teams or the recording of the session		
Assumptions	Audiences have access to virtual platforms IP is a priority for government Resources and support from IPR owners AND an appetite to enforce IP rights		
Disaggregation of Beneficiaries (where applicable)	• Target for Women: To be determined • Target for Youth: To be determined • Target for People with Disabilities: To be determined		
Spatial Transformation (where applicable)	• Reflect on contribution to spatial transformation priorities: To be determined • Reflect on the spatial impact area: To be determined		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)	X	
	Non-cumulative		
Reporting cycle	Quarterly and annually		
Desired performance	All planned sessions conducted.		
Indicator responsibility	The Senior Manager: IP Enforcement is responsible for managing and reporting on this indicator.		

Indicator Title	Number of officials trained
Definition	Increase IPR capacity in Law Enforcement Agencies. In doing so, strengthen the IP protection system, improving the country's competitiveness.
Source of data	Management reports and any other supporting documentation
Method of calculation/ Assessment	Simple count

Indicator Title	Number of officials trained		
Means of Verification	Signed management and printout of attendees from Ms Teams or the recording of the session.		
Assumptions	Targeted group have access to the internet.		
Disaggregation of Beneficiaries (where applicable)	- Target for Women: To be determined - Target for Youth: To be determined - Target for People with Disabilities: To be determined		
Spatial Transformation (where applicable)	- Reflect on contribution to spatial transformation priorities: To be determined - Reflect on the spatial impact area: To be determined		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)	X	
	Non-cumulative		
Reporting cycle	Quarterly and annually		
Desired performance	All targeted groups reached.		
Indicator responsibility	The Senior Manager: IP Enforcement is responsible for managing and reporting on this indicator.		

Indicator Title	Stage of development of the Mobile App to collect data on IPR enforcement done
Definition	A Mobile App will be used to collect data on IPR enforcement to ensure integration and coordination of IPR enforcement efforts by the CIPC, its partners as well as third parties (CIPC customers).
Source of data	Management reports
Method of calculation/ Assessment	Read management report, and download beta version of the app.

Indicator Title	Stage of development of the Mobile App to collect data on IPR enforcement done		
Means of Verification	Evidence: Report, approved concept document; downloadable app on the cell phone		
Assumptions	No major development delays in the development process		
Disaggregation of Beneficiaries (where applicable)	• Target for Women: N/A • Target for Youth: N/A • Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	• Reflect on contribution to spatial transformation priorities: N/A • Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)	X	
	Non-cumulative		
Reporting cycle	Quarterly and annually		
Desired performance	Mobile App developed and operational.		
Indicator responsibility	The Senior Manager: IP Enforcement is responsible for managing and reporting on this indicator.		

10.3 Programme 3: Business Regulation and Reputation

Indicator Title	The average number of days to register a company from the date of receipt of a complete application
Definition	The average number of days it takes to register a company from the date the customer submits a complete application. To reduce the regulatory administrative burden of long waiting periods to process applications, initiatives such as automation and other innovations are directed at reducing turnaround times. Measuring turnaround times show progress made in this regard.
Source of data	ERMS/INFORMIX

Indicator Title	The average number of days to register a company from the date of receipt of a complete application		
Method of calculation/ Assessment	Instruct the system to extract total companies registered within the reporting period and produce a report in an Excel spread sheet. The report should include the script used to extract the report and data limitations. The report should cover from the 1st day of the month of the reporting period until the last day of the month of the reporting period. The number of transactions are summarised and the turnaround time is calculated for each transaction – FORMULA = NETWORKINGDAYS (CREATE/TRACKING/RECEIVED/RECORDING/LAST TIME PROC DATE*; DISPATCH DATE, excluding holidays and days on which the CIPC is closed such as during December/January). The average turnaround time is then calculated by adding all the numbers (Turnaround time) and then it is divided by the number of transactions that exists. In other words, the sum divided by the count. Because separate reports are extracted for manual and electronic (including banks) transactions, weighted average is used. To calculate a weighted average, percentages of manual and electronic (including banks) of the total company registration are calculated and the average TAT for manual transactions must first be multiplied by its percentage. This is done similarly for electronic transactions (including banks). All of these new values must then be added together to arrive at the weighted average, which is what will be reported. * Manual - Create/Tracking Date; Banks – last proc date; Electronic - last time proc date		
Means of Verification	Signed off system report		
Assumptions	System downtime not too long		
Disaggregation of Beneficiaries (where applicable)	• Target for Women: N/A • Target for Youth: N/A • Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	• Reflect on contribution to spatial transformation priorities: N/A • Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)		
	Non-cumulative	X	
Reporting cycle	Quarterly and annually		
Desired performance	Reduction in the average number of days to register a company from the date of receipt a complete application.		
Indicator responsibility	The Senior Manager: Companies is responsible for managing and reporting on this indicator		

Indicator Title	The average number of days to register a co-operative from the date of receipt of a complete application.		
Definition	The average number of days it takes to register a co-operative from the date the customer submits a complete application. To reduce the regulatory administrative burden of long waiting periods to process applications, initiatives such as automation and other innovations are directed at reducing turnaround times. Measuring turnaround times show progress made in this regard.		
Source of data	ERMS/INFORMIX		
Method of calculation/ Assessment	Instruct the system to extract total co-operatives registered within the reporting period and produce a report in an Excel spread sheet. The report should include the script used to extract the report and data limitations. The report should cover from the 1st day of the month of the reporting period until the last day of the month of the reporting period. The number of transactions are summarised and the turnaround time is calculated for each transaction – FORMULA = NETWORKINGDAYS (RECEIVED DATE/TRACKING DATE, CREATE DATE, excluding holidays and days on which the CIPC is closed such as during December/January). The average number of days is then calculated by adding all the numbers (Turnaround time) and then divided by the number of transactions that exist. In other words, the sum divided by the count.		
Means of Verification	Signed off system report		
Assumptions	System downtime not too long		
Disaggregation of Beneficiaries (where applicable)	- Target for Women: N/A - Target for Youth: N/A - Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	- Reflect on contribution to spatial transformation priorities: N/A - Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)		
	Non-cumulative	X	
Reporting cycle	Quarterly and annually		
Desired performance	Reduction in the number of days it takes to register a co-operative from the date the customer submits a complete application.		
Indicator responsibility	The Senior Manager: Co-operatives is responsible for managing and reporting on this indicator.		

Indicator Title	Number of education and awareness events on the Companies Act and related legislation (including Cooperatives Amendment Act), services, processes and platforms, initiated by the CIPC and its collaboration partners, as well as invitations.		
Definition	Education and awareness events increase knowledge and public awareness therefore supporting broad economic participation as well as strengthening corporate regulation. Under COVID-19 conditions, the events will be held using virtual platforms.		
Source of data	Management reports (Each event) and attendance registers (Ms Teams printout) or recording of session		
Method of calculation/ Assessment	Read reports and supporting documentation		
Means of Verification	Signed management and printout of attendees from Ms Teams or the recording of the session (indicating the venue, date, purpose/outcomes of the session)		
Assumptions	Targeted group have access to the internet		
Disaggregation of Beneficiaries (where applicable)	- Target for Women: N/A - Target for Youth: N/A - Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	- Reflect on contribution to spatial transformation priorities: N/A - Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)		
	Non-cumulative	X	
Reporting cycle	Quarterly and annually		
Desired performance	Events planned to be conducted		
Indicator responsibility	The Senior Manager: Corporate Education is responsible for managing and reporting on this indicator.		

Indicator Title	Beneficial Ownership Register		
Definition	South Africa is a member of the G20, therefore a member of the Financial Action Task Force (FATF). FATF advocates for economies to be transparent about ultimate beneficial owners of legal entities. As the CIPC we are expected to develop a registration and filing capability to collect Ultimate Beneficial Owner (UBO) information on incorporation of legal entities; on amendments and during annual returns. We are also expected to verify the information and adopt a risk based approach in investigations and enforcement by using triangulated data from both local and international authorities.		
Source of data	Management report		
Method of calculation/ Assessment	Read report		
Means of Verification	Signed management report		
Assumptions	Appropriate resourcing		
Disaggregation of Beneficiaries (where applicable)	- Target for Women: N/A - Target for Youth: N/A - Target for People with Disabilities: N/A		
Spatial Transformation (where applicable)	- Reflect on contribution to spatial transformation priorities: N/A - Reflect on the spatial impact area: N/A		
Calculation type	Cumulative (Year – End)		
	Cumulative (Year to date)	X	
	Non-cumulative		
Reporting cycle	Quarterly and annually		
Desired performance	Approved Beneficial Ownership Business Case		
Indicator responsibility	The Senior Manager: Corporate Compliance Disclosure Regulation is responsible for managing and reporting on this indicator.		

ANNEXURE A – List of the CIPC Core Processes (Automated processes)

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

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
9	CO & CC	Letter	CO&CC Voluntary Deregistration	1		
10	CO & CC	COR15.2, COR15.2 Annexure A	CO Amendment of MOI - Addition of ring fencing to the MOI (incl JSE)	1		
11	CO & CC	COR15.2, COR9.4	CO Amendment of MOI - Change of Company Name (incl JSE)		1	Fully automated process. Customers may submit manually.
12	CO & CC	COR15.2	CO Amendment of MOI - Change of CO main business (incl JSE)	1		
13	CO & CC	COR15.2	CO Amendment of MOI - Change of Company Shares (incl JSE)		1	Incorporates CO Conversion of Par Value Shares #17
14	CO & CC	COR15.2	CO Amendment of MOI - Conversion of a Company to another type of Company (incl JSE)	1		
15	CO & CC	COR15.2	CO Amendment of MOI - Conversion of par value shares (incl JSE)		1	Incorporated with CO Change of Company Shares #14
16	CO & CC	COR18.1	CO CC Conversion to a CO	1		
17	CO & CC	COR25	CO Change of Financial Year End		1	Fully automated process. Customers may submit manually.

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
18	CO & CC	CR 6	CO Co-op conversion to a CO	1		Starts with Cooperatives Special Resolution
19	CO & CC	COR89	CO Notice of amalgamation or merger of Companies	1		
20	CO & CC	COR21.1	CO Notice of Change of Registered Office/Address		1	Fully automated. Customers may submit manually.
21	CO & CC	COR22	CO Notice of location of CO records	1		
22	CO & CC	COR14.1, COR15.1D	CO Registration Non-Profit CO with or without members with a long standard or customised MOI	1		
23	CO & CC	COR14.1, COR15.1C	CO Registration Non-Profit CO with or without members with a short standard or customised MOI		1	Fully automated. No choice of manual process
24	CO & CC	COR14.1, COR15.1B	CO Registration of a Personal Liability with a Long standard or Customised MOI	1		
25	CO & CC	COR15.1B; COR14.1	CO Registration of a Private CO with a Long or customised MOI	1		
26	CO & CC	COR20.1, COR21.1	CO Registration of external CO	1		
27	CO & CC	COR15.1B; COR14.1	CO Registration of State-Owned CO with long-or customised MOI	1		

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
28	CO & CC	COR15.1B; COR14.1	CO Registration- Private Company with a Customised MOI		1	
29	CO & CC		CO Registration with BEE Certificate (SST)		1	
30	CO & CC	COR15.1A; COR14.1	CO Standard Registration (including Banks, SST, Third party)		1	
31	CO & CC	COR17.1	CO Domestication of Foreign CO	1		
32	CO & CC	COR9.1	NR Reservation of a Company, Close Corporation or Co-operative name or business name		1	
33	CO & CC	COR9.2	NR Extend a Name reservation		1	Automated (hybrid)
34	CO & CC		NR Name search		1	This is more of a disclosure function than a processing function. I will recommend to put it under general.
35	CO & CC	COR10.1	NR Register a Defensive Name		1	
36	CO & CC	COR10.2	NR Renew defensive name reservation		1	
37	CO & CC	COR11.1	NR Transfer of reserved or registered name		1	Customers may submit manually

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
38	CO & CC	No form	CO&CC BR Discontinuation of business rescue proceedings (via set aside court order, nullity etc.)	1		New
39	CO & CC	CoR40.2	CO Transfer to foreign jurisdiction	1		New
40	CO & CC	COR15.2	CO Amendment of MOI - Adoption of new MOI (incl JSE)	1		Not previously on list
41	CO & CC	COR15.3	CO Amendments of MOI - Other changes (example is deletion or adding of a clause)(incl JSE)	1		Not previously on list
42	CO & CC	COR16.1	CO Notice of Company Rules	1		Not previously on list
43	CO & CC	COR16.2	CO Results of Vote on Company Rules	1		Not previously on list and have no workflow for this form. Use CoR16.1 but such is a risk due to the fact that CoR16.2 is a fee carrying form while CoR16.1 does not have a fee.
44	CO & CC	COR15.3	CO Alteration of MOI	1		Not previously on list This form is meant for the correction of errors within a MOI.
45	CO & CC	COR15.4	CO Translation of MOI	1		Not previous on list before. Can be tracked but not tested yet. Haven't received one in two years. Low priority

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
46	CO & CC	COR15.5	CO Consolidation of MOI	1		Not previously on list
48	CO & CC	CoR12.1	Allegation of Name Reservation System Abuse	1		No process yet since it is a more investigative option - not sure where this needs to reside e.g. names or investigations.
49	CO & CC DMP	CK2	CC Principle Business Change	1		Not on the list before. Process owner is actually Companies not DMP.
50	CO & CC DMP	CK2	CC Name Change (including shortened name registration and registration of a translation)	1		Not on the list before. Process owner is actually Companies not DMP.
51	CO & CC DMP	COR 126.1	CO BR Application to be licenced as a Business Rescue Practitioner	1		
52	CO & CC DMP	COR123.2	CO BR Appointment of Business Rescue Practitioner	1		
53	CO & CC DMP	CoR21.2	CO Change of Company Representatives	1		
54	CO & CC DMP	COR39	CO Appointment, resignation or removal of Directors		1	Fully automated process. Customers may submit manually.
187	CO&CC:DMP		Update Directors Details		1	Splinter of DMP COR39 process which is automated

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
55	CO & CC DMP	CK2	CC Appointment, resignation or removal of Members		1	Automated process with manual intervention (hybrid). Customers may submit manually.
56	CO & CC DMP	COR44	CO Auditor appointment, resignation or removal		1	Fully automated process. Customers may submit manually.
57	CO & CC DMP	COR44	CO Appointment, resignation or removal of Audit Committee members and CO Secretary	1		
58	CO & CC DMP	CK2A	CC Appointment, resignation or removal of an Accounting Officer CORRAO	1		
59	CO & CC DMP	CK2A	CC Change of address		1	Process owner is actually Companies not DMP. Fully automated process. Customers may submit manually.
60	CO & CC DMP	COR44	CO Auditor and CO Secretary change of address	1		Automated (hybrid) process. Customers may submit manually.
61	CO & CC DMP	CK2A	CC Change of Financial Year End		1	Process owner is actually Companies not DMP. Fully automated process. Customers may submit manually.
62	CO & CC DMP		CO Disqualified Directors Register		1	

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
63	CORPORATE LEGAL AND POLICY SUPPORT		CLPS Provide policy and legal insight & advice & co-ordinate the prosecution of contraventions with NPA	1		
64	CORPORATE LEGAL AND POLICY SUPPORT	COR168	CLPS	1		
65	CORP EDUCATION & VOLUNTARY COMPLIANCE		CEVC Advisory opinion	1		
66	CORP EDUCATION & VOLUNTARY COMPLIANCE		CEVC Education Event	1		
67	CORP DISCLOSURE & COMPLIANCE		CDC XBRL Filing of Annual Financial Statements		1	
68	CORP DISCLOSURE & COMPLIANCE		CDC Independent Review	1		
69	CORP DISCLOSURE & COMPLIANCE		CDC Annual R29.12 Report	1		Annual reports from Independent Review Professional Bodies
70	CORP DISCLOSURE & COMPLIANCE		CDC Reportable Irregularities	1		
71	CORP DISCLOSURE & COMPLIANCE		CDC Prospectus Registration	1		

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
72	CORP GOV SURVEILLANCE & ENFORCEMENT	COR131.1	CO & CC Complaints resolution		1	2 Internal processes follow: Investigation; and Determination of complaint
73	CO-OPS	CR1; CR8; or CR4	Co-ops Amalgamation of Co-operatives (Amalgamation Agreement)	1		
74	CO-OPS	CR5	Co-ops Amendment (of Statute)	1		
75	CO-OPS	CR8	Co-ops Application for Exemption of Auditing Requirements	1		
76	CO-OPS	CR4	Co-ops Appointment of an Auditor	1		
77	CO-OPS	CR6	Co-ops Change Co-operative constitution	1		
78	CO-OPS	CR2; CR3; CR7	Co-ops Change an old registration number to a new registration number	1		
79	CO-OPS	CR3	Co-ops Change of address and contact particulars	1		
80	CO-OPS	CR6	Co-ops Change of financial year end	1		
81	CO-OPS	CR6	Co-ops Change of name	1		

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
82	CO-OPS	CR6	Co-ops Change of registered address	1		
83	CO-OPS	CR6	Co-ops Changes to co-operative share capital	1		
84	CO-OPS	CR6	Co-ops Changes to the Board of Directors	1		
85	CO-OPS	CR7	Co-ops Compliance	1		Annual Financial Statement
86	CO-OPS	CR6	Co-ops Conversion of a Co-ops to another kind of Co-op	1		
87	CO-OPS	CR1	Co-ops Co-op Conversion of a Company to a Co-operative	1		
88	CO-OPS	CR9	Co-ops Deregistration (Voluntary)	1		
89	CO-OPS		Co-ops Deregistration (Non Compliance and by Court Order)	1		Annual Financial Statements
90	CO-OPS	CR1	Co-ops Division of Co-operatives (Amalgamation Agreement)	1		
91	CO-OPS	CR9	Co-ops Liquidation of a Co-op (voluntary & by court order)	1		

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
92	CO-OPS	CR2	Co-ops Lodge a return relating to Directors	1		
93	CO-OPS	CR1; CR8; CR4	Co-ops Registration of a Co-operative (Primary, secondary, tertiary)	1		
94	CO-OPS	CR5	Co-ops Registration of a Co-operative name		1	
95	TRADE MARK	TM2	TM Amendment of goods/services	1		
96	TRADE MARK	TM2	TM Amendment of the Mark	1		
97	TRADE MARK	TM1	TM Application to register a Trade Mark		1	Fully automated. Customers may choose to file manually
98	TRADE MARK	TM6	TM Assignment of a Trade Mark	1		
99	TRADE MARK	TM2	TM Association between Trade Mark	1		
100	TRADE MARK	TM1	TM Bulk application to register Trade Mark (CUBA)		1	Fully automated. Customers may choose to file individually/manually
101	TRADE MARK	TM2	TM Certified extract from the Register of TRADE MARK	1		
102	TRADE MARK	TM2	TM Change of address for service	1		

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

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

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
126	PATENTS	P20	PT Application for revocation	1		
127	PATENTS	P4	PT Application for revocation of independent patent and grant of patent of addition as independent patent	1		
128	PATENTS	P21	PT Application for voluntary surrender	1		
129	PATENTS	P4	PT Application of extension of time for acceptance of complete specification	1		
130	PATENTS	P4	PT Application to amend or lodge a fresh application	1		
131	PATENTS	P4	PT Application to extend period for publication of acceptance	1		
132	PATENTS	P4	PT Application to extend privileges of patent attorney	1		
133	PATENTS	P4	PT Application to rectify register	1		
134	PATENTS		PT Bulk application to register a Patent (CUBA)		1	Fully automated. Customers may choose to file manually
135	PATENTS	P4	PT Cancellation of notice of hypothecation	1		

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
136	PATENTS	P4	PT Change of address for service	1		
137	PATENTS	P4	PT Change of complete specification into provisional specification	1		
138	PATENTS	P4	PT Claim priority	1		
139	PATENTS	P4	PT Correction of clerical error	1		
140	PATENTS	P4	PT Endorsement or cancellation of endorsement	1		
141	PATENTS		PT Examination and acceptance	1		
142	PATENTS	P1	PT Late claiming priority	1		
143	PATENTS	P5; P8	PT Late lodgement of documents	1		
144	PATENTS	P19	PT Lodging opposition	1		
145	PATENTS	P22	PT Notice of future proceedings	1		
146	PATENTS	P10	PT Patent renewal	1		
147	PATENTS		PT Patent Restoration			
148	PATENTS	P4	PT Post-dating application	1		
149	PATENTS		PT Public Patent Search		1	

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
150	PATENTS	P17	PT Register as a patent customer or attorney	1		
151	PATENTS		PT Registration certificate	1		
152	PATENTS	P18	PT Removal from register as patent customer or attorney	1		
153	PATENTS	P14; P16	PT Supplementary disclosure in	1		
			patent specification			
154	PATENTS		PT Patent Journal Downloads		1	
155	DESIGNS	D5	DS Addressing deficiencies in the application	1		
156	DESIGNS		DS Advertising Design Applications on Patent Journal		1	
157	DESIGNS		DS Application for copies of documents	1		
158	DESIGNS		DS Application for perusal of file	1		
159	DESIGNS	D5	DS Assignment of Design	1		
160	DESIGNS		DS Bulk application to register Designs (CUBA)		1	Fully automated. Customers may choose to file individually/manually

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
161	DESIGNS	D5	DS Change of name of applicant	1		
162	DESIGNS		DS Change of residential address or address for service	1		
163	DESIGNS		DS Correction of errors in wording	1		
164	DESIGNS		DS Correction of errors of representation	1		
165	DESIGNS		DS Examination and Acceptance	1		
166	DESIGNS	D1; D3; D6; D8	DS New design application		1	Automated. Customer can choose to file manually
167	DESIGNS		DS Registration certificate	1		
168	DESIGNS		DS Registration of a Design		1	
169	DESIGNS	D10	DS Renew a design	1		
170	DESIGNS		DS Restoration of a design	1		
171	COPYRIGHT & IP ENFORCEMENT		CIPE Assessment of complaint	1		
172	COPYRIGHT & IP ENFORCEMENT		CIPE Stakeholder training and capacity building	1		
173	COPYRIGHT		CR Accreditation of Collecting Society	1		

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

#	UNIT	FORM CODE	PROCESS NAME	MANUAL ONLY	HYBRID & AUTO	COMMENTS
186	CLIENT SERVICES		Certificates and Disclosures		1	Generic: all domains
188	CLIENT SERVICES		Top up	1		Top up of balance in customer account. Interim solution until payment model is deployed to all processes
189	GENERIC ALL		Tracking/Indexing of Application	1	1	Related to online, and manual lodgements
190	GENERIC ALL		Disclosure Application for perusal of file	1		Request via email or telephonically
191	GENERIC ALL		Disclosure Application for copies of documents		1	Request via email or telephonically
192	GENERIC ALL		QRS: Enterprise enquiry		1	
193	GENERIC ALL		Supplier Invoice Tracking		1	
194	GENERIC ALL		Ceding of Individual Rights		1	
195	GENERIC ALL		Transacting on behalf of clients		1	
196	GENERIC ALL		Booking System		1	
				137	55	192
				71%	29%	

ANNEXURE B - CIPC Contribution to dtic Joint Indicators

The following Joint Indicators set out areas of focus that the **Companies and Intellectual Property Commission (CIPC)** will report to on a quarterly basis to the Executive Authority. The areas of focus represent key priorities of government that are set out in more detail in the Annual Performance Plan for 2021/22 for **the dtic**.

The **CIPC** quarterly reports to the Executive Authority will set out the actions taken by the CIPC highlighting the contributions to the achievement of **the dtic** outcomes.

JOINT INDICATOR 1

Outcome:	Increased industrialisation and localisation opportunities implemented	Performance period	2021/2022
Output /s:	Report documenting the integrated support to drive industrialisation through master plans in national priority sectors; increased and diversified localisation through government and private sector procurement; and promotion of beneficiation		
Indicator title:	Report on integrated support across the dtic to drive industrialisation that supports economic recovery; covering industry Master Plans, localisation initiatives across the economy, COVID-Industrial Interventions and beneficiation		
Indicator definition	Integrated support across the dtic to drive industrialisation that supports economic recovery; covering industry Master Plans, localisation initiatives across the economy, COVID-Industrial Interventions and beneficiation.		
Annual dtic Target/s	Contribution by the CIPC	Resourcing (MTEF Allocation)	Budget
Integrated support to drive industrialisation that supports economic recovery; covering industry Master Plans, localisation initiatives across the economy, COVID-Industrial Interventions and beneficiation	Four quarterly reports on measures enacted by the CIPC to drive industrialisation that supports economic recovery; covering industry Master Plans, localisation initiatives across the economy, COVID-Industrial Interventions and beneficiation. The CIPC as a regulator contribute by regulating businesses and intellectual property rights (IPR) protection, in doing so boost investor confidence in SA business and innovations The CIPC contribution towards <u>increased and diversified localisation through government and private sector procurement through complying to South African Preferential Procurement Framework Act, 2000 and Regulations and compliance to paying supplier invoices within 30 days (CIPC Annual Operational Plan).</u> The CIPC contributes through IPR protection, enforcement and IP education and awareness. In doing so, promote innovation,	This indicator will be resourced within current entity resources	

	<i>commercialisation and economic growth.</i>	
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JOINT INDICATOR 2

Outcome:	Increased export-readiness by South African firms, measured by knowledge of market opportunities and firm-level actions to utilise these opportunities	Performance period	2021/2022
Output /s:	A clear plan that indicates the potential opportunities to grow exports in terms of the AfCFTA, with responsibilities assigned to facilitate implementation		
Indicator title:	Completed AfCFTA Export Plan to grow value-added exports to the rest of Africa, setting out the opportunities by product, sector and country		
Indicator definition	AfCFTA export plan to grow value-added exports to the rest of Africa setting out the opportunities by product, sector and country		
Annual dtic Target/s	Contribution by the CIPC	Resourcing (MTEF Allocation)	Budget
Completed AfCFTA export plan to grow value-added exports to the rest of Africa setting out the opportunities by product, sector and country completed	Four quarterly reports on measures enacted by the CIPC to contribute to an AfCFTA export plan to grow value-added exports to the rest of Africa <i>Through the XBRL financial transparency programme, the CIPC will provide technical assistance and benchmarking opportunities to other SA regulators, including those in the Africa Trade Region on cross border Trade regulation.</i> <i>Strengthening regulators increase investor confidence in businesses, leading to growth and sustainability of these businesses, including these businesses being able to leverage export opportunities.</i>	This indicator will be resourced within current entity resources	

JOINT INDICATOR 3

Outcome:	Strategic investment by enterprises (private and public) to support growth of South African economy	Performance period	2021/2022
Output /s:	Investment projects facilitated and investment directed towards key sectors of the economy		
Indicator title:	Report on Investment facilitation and growth: steps taken to support new investment in key sectors		
Indicator definition	Investment facilitation and growth through steps taken to support new investment in key sectors		
Annual dtic Target/s	Contribution by the CIPC	Resourcing (MTEF Allocation)	Budget
Report on investment facilitation and growth: steps taken to support new levels of investment in key sectors developed	Four quarterly reports on measures enacted by the CIPC to support investment in South Africa <i>The CIPC contribute by regulating businesses and intellectual property rights (IPR) protection, in doing so boosts investor confidence in SA business; through education and awareness promote entrepreneurship, innovation, commercialisation and economic growth.</i>	This indicator will be resourced within current entity resources	

JOINT INDICATOR 4

Outcome:	Contribute to intergovernmental action in implementation of the District Development Model towards district economic development	Performance period	2021/2022
Output /s:	District integrated report with district development economic maps		
Indicator title:	Report on District Development Model and Spatial equity including incorporating all work within the District Model		
Indicator definition	District Development Model and Spatial equity including incorporating all work within the District Model District Development Model and Spatial equity including incorporating all work within the District Model		
Annual dtic Target/s	Contribution by the CIPC	Resourcing (MTEF Allocation)	Budget
District Development Model and Spatial equity including incorporating all work within the District Model	Four quarterly reports by the CIPC which set out how their work has contributed to the economic development in each of the Districts and Metropolitan Areas of South Africa <i>The CIPC contribute to the digital strategy that emphasize development and strengthening of virtual channels, and automation of key services extend access throughout South Africa to local communities. 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.</i>	This indicator will be resourced within the current entity resources	

JOINT INDICATOR 5

Outcome:	Promoting a growing and inclusive economy	Performance period	2021/2022
Output /s:	Report on actions to promote transformation through structural changes in the economy to enable greater inclusion and growth; and empowerment of designated groups, using the range of public tools such as procurement, incentives, technical support and enabling opportunities		
Indicator title:	Report on actions to promote transformation through structural changes in the economy to enable greater inclusion and growth; and empowerment of designated groups, using the range of public tools such as procurement, incentives, technical support and enabling opportunities		
Indicator definition	Actions to promote transformation through structural changes in the economy to enable greater inclusion and growth; and empowerment of designated groups, using the range of public tools such as procurement, incentives, technical support and enabling opportunities		
Annual dtic Target/s	Contribution by the CIPC	Resourcing (MTEF Allocation)	Budget
Actions to promote transformation through both structural changes in the economy to enable greater inclusion and growth; and empowerment of designated groups, using the range of public tools such as procurement, incentives, technical support and enabling opportunities	Four quarterly reports on the contributions made by the CIPC to promote transformation through structural changes in the economy to enable greater inclusion and growth; and empowerment of designated groups. <i>The CIPC contributes through the CIPC digital strategy and partnership model, the CIPC has reach throughout the country. This contributes to more inclusivity in economic participation.</i> <i>Through compliance to the Preferential Procurement Framework Act and Regulations, the CIPC ensure the empowerment of designated groups.</i>	This indicator will be resourced within the current entity resources	

JOINT INDICATOR 6

Outcome:	Growing the Green Economy and greening the economy	Performance period	2021/2022
Output /s:	Report on growing the Green Economy and greening the economy		
Indicator title:	Report on growing the Green Economy and greening the economy through actions to support project facilitation, policy development, investment promotion, new product development or industrial processes		
Indicator definition	Actions to green the economy		
Annual dtic Target/s	Contribution by the CIPC	Resourcing (MTEF Allocation)	Budget
Actions to grow the Green Economy and greening the economy, through measures such as support for project facilitation, policy development investment promotion, new product development or industrial processes	Four quarterly reports on measures enacted by the CIPC to support the green economy or the greening of the economy The CIPC has no direct role, however <i>in addition to the automation of business processes, the CIPC has begun a scanning project that will ensure all files are available electronically. This will ensure that no paper and less electricity used in storing CIPC files.</i>	This indicator will be resourced within current entity resources	

JOINT INDICATOR 7A (GENERIC)

Outcome:	Functional, efficient and integrated services within the dtic to improve economic development and ease of doing business	Performance period	2021/2022
Output /s:	Actions to promote functional, efficient and integrated government and measures to reduce red tape across the dtic and entities		
Indicator title:	Report on strengthening and building capabilities and agility in the dtic and its entities, to improve efficiencies in programmes and entities, to contribute to economic development and ease of doing business		
Indicator definition	Strengthening and building capabilities and agility in the dtic and its entities, to improve efficiencies in programmes and entities, to contribute to economic development and ease of doing business		
Annual dtic Target/s		Contribution by the CIPC	Resourcing (MTEF Budget Allocation)
Review of unnecessary red tape and compliance reporting requirements in the dtic entities and programmes; monitoring implementation times of the dtic services		Four quarterly reports on measures enacted the CIPC to improve the ease of clients using its services, including forms and procedures reviewed for simplicity and necessity. <i>Through the CIPC digital strategy and partnership model, the CIPC increase access and ease of doing business in SA.</i> <i>In the next five years, the CIPC will:</i> 1. <i>Automate and migrate 100% all processes to K2 platform.</i> 2. <i>Through Intellectual Property Automation System (IPAS), to automate all processes end to end in the intellectual property (IP) area.</i> 3. <i>Strengthen virtual channels to avail all the CIPC products and services 24/7.</i> a. <i>Revise all current Mobile Services to function the same as modernised web services.</i> b. <i>Pilot implementation of the Chatbot as a new Customer Electronic Channel.</i>	This indicator will be resourced within the current entity resources

	<i>c. Develop an AI based ChatBot for client enquiries.</i> <i>4. Strengthen existing and seek new partnerships to leverage their partners' key organisational competencies and capabilities such as databases, systems, networks, and value-add services.</i>	
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