



Companies and Intellectual
Property Commission

a member of **the dtic** group

CIPC THIRD QUARTER PERFORMANCE REPORT

2022/23

Approval of the Report

Endorsement Support by the Audit Committee	
I hereby support the endorsement of the report	
Signature :	
Name :	<u>KEN KUMAR</u>
Rank :	<u>CHAIRPERSON : AUDIT COMMITTEE</u>
Date :	<u>31 January 2023</u>
Endorsement by the Accounting Authority	
I hereby endorse the report	
Signature:	
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Date :	<u>31 Jan 2023</u>

* For the purpose of this Report:

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

Acronyms

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

Contents

Acronyms.....	3
List of Tables.....	5
List of Figures	5
1. Introduction	7
2. CIPC Overall Performance	8
2.1 Service Delivery Environment	8
2.1.1 Service Delivery	8
2.1.2 Legal, Policy Support, and Outreach	17
2.1.3 Compliance Monitoring and Enforcement.....	20
2.1.4 Education and Awareness.....	39
2.1.5 Customer contact: Call Centre, QRS, and Social Media etc.....	41
2.1.6 Disclosure.....	44
2.1.7 Modernisation, Automation and Channels	45
2.2 Organizational Environment.....	51
2.2.1 Governance, Compliance and Risk	51
2.2.2 Investigations and Anti-corruption	51
2.2.3 Industrial/Labour relations issues.....	51
2.2.5 Discontinued activities / activities to be discontinued.....	51
2.2.6 New or proposed activities	51
2.2.7 Facilities and Security	52
2.2.7 Media analysis/campaign/strategies.....	55
2.2.8 New challenges and risks identified in the quarter	63
2.3 New Policy and Legislative Changes.....	64
2.4 Progress towards achievement of institutional Impacts and Outcomes	65
3. Performance against the APP.....	75
3.1 Progress made against unachieved targets in the previous quarter.	75
3.2.1 Programme 1: Service Delivery and Access	75
3.2.2 Programme 2: Innovation & Creativity Promotion.....	76
3.2.3 Programme 3: Business Regulation and Reputation	77
3.2 Progress made against current quarterly milestones.	78
3.2.1 Programme 1: Service Delivery and Access	78
3.2.2 Programme 2: Innovation & Creativity Promotion.....	83
3.2.3 Programme 3: Business Regulation and Reputation	86
4. Governance, Risk and Compliance Quarterly Report (01 July – 30 September 2022)	89
5. Audit Report	98
5.1 Progress against Internal Audit Finding Matrix & Progress against AG/External Audit Finding Matrix.....	98
5.2 Progress made regarding Combined Assurance Plan.....	102
6. Financial Report.....	103
7. PFMA and TR compliance checklist.....	104
8. Copyright and IP Enforcement Report	104
8.1 Strategic Direction: To combat trademark counterfeiting and copyright piracy	117
9. Joint Indicators Report	122

List of Tables

Table 1: Key Services – Volumes, Average TAT and SDS	8
Table 3: Status of Business Rescue Proceedings.....	24
Table 4: Business Rescue Commenced in each month over the years	24
Table 5: Status of Business Rescue Proceedings – Q2.....	26
Table 6: Business Rescue Commenced in each month over the years – Q2	26
Table 7: Annual Financial Statements	30
Table 8: Reportable Irregularities 2022/23	32
Table 9: High Profile Companies under Investigation.....	32
Table 10: Independent Review: Regulation 29	33
Table 11: Cold Case Matters	33
Table 12: Prospectus	33
Table 13: Prospectus	34
Table 14: Prospectus	35
Table 15: Types of contraventions on the complaints received in Q1	35
Table 16: Statistics on enforcement of Compliance Notices	36
Table 17: Types of contraventions on the complaints received in Q2	37
Table 18: Customer Contact: Call centre, QRS, and social media	41
Table 19: Self Service Centers' (Pretoria, Johannesburg, and Cape Town) Traffic – Quarter 1 & 2	42
Table 20: Self-Service Centers' (Pretoria, Johannesburg, Cape Town) Traffic - Quarter 3.....	44
Table 21: Paper Based Disclosure Production Stats.....	44
Table 22: State Department – Disclosure Billing Statistics.....	44
Table 23: Disclosure Query Resolution	45
Table 24: CIPC Channels and services offered.	45
Table 25: Partner sites.....	46
Table 26: Channels and Services Available 24/7.....	47
Table 27: Progress Report on Migration to New E-services	49
Table 28: Labour Relations Issues	51
Table 29: Appointments, Resignations, Retirements and Terminations	51
Table 30: Impact Statement #1 – Performance Table	65
Table 31: Impact Statement #2 – Performance Table.....	68
Table 32: Impact Statement #3 – Performance Table.....	69
Table 33: Impact Statement #4 – Performance Table.....	74
Table 34: Programme 1: Service Delivery and Access Quarterly Performance	79
Table 35: Programme 2: Innovation & Creativity Promotion Quarterly Performance	84
Table 36 : Programme 3: Business Regulation and Reputation Quarterly Performance	87

List of Figures

Figure 1: Overall KPI Performance	7
Figure 2: Programme Performance	8
Figure 3: AR Filings Comparison (Gross Filings) April to March.....	21
Figure 4: AR Filing Comparison (In time filings) April to March.....	21
Figure 5: AR Filings Comparison April to September 2022.....	23
Figure 6: AR Filing Comparison (In time filings) April-September	23
Figure 7: Volume of Business Rescue Proceedings	25
Figure 8: Enterprise Category Specification for commenced Business Rescue Proceedings 2022-23	25
Figure 9: Volume of Business Rescue Proceedings April to September 2022	27
Figure 10: Enterprise Category Specification for commenced Business Rescue Proceedings 2022-23	28
Figure 11: Year-to-Year Quarterly Analysis	30
Figure 12: Variance Analysis	31
Figure 13: Type of contraventions on the complaints received in Q1	36
Figure 14: Type of contraventions on the complaints received in Q2	37
Figure 15: Media Coverage Overview	56
Figure 16: CIPC Media Coverage	61
Figure 17: CIPC Media Coverage	62
Figure 18: CIPC Media Coverage	63
Figure 19: Programme 1 - Quarter 3 Performance	78

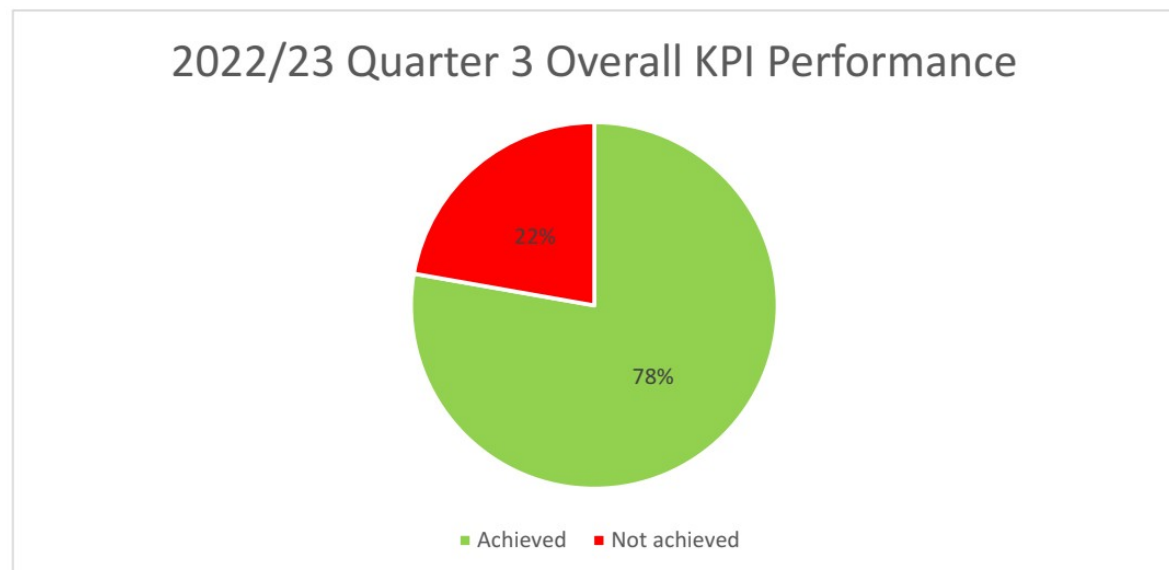
Figure 20: Programme 2 - Quarter 3 Performance	83
Figure 21: Programme 3 - Quarter 3 Performance	86

1. Introduction

The purpose of this report is to outline the Companies and Intellectual Property Commission's (CIPC's) 2022/23 third quarter performance against its plans and targets, as outlined in its Annual Performance Plan (APP) for the 2022/23 reporting period.

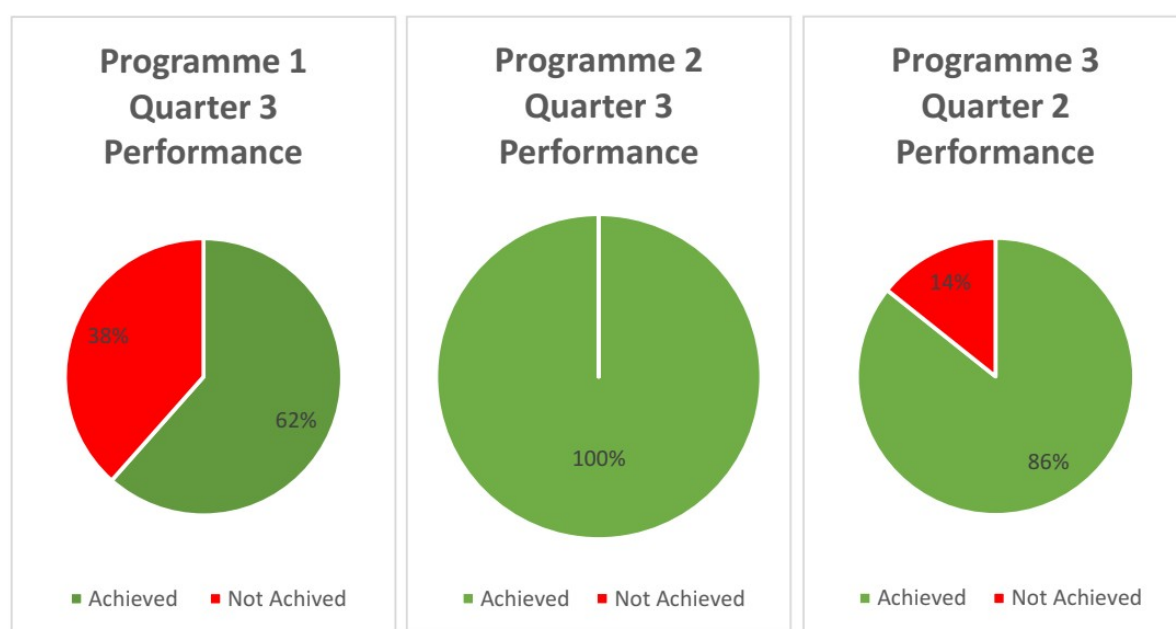
For the 2022/23 Quarter 3, 21 (78%) of the 27 quarterly targets were achieved. It should be noted that 2 indicators in Programme 1 were not included in this calculation as reporting was not required for those indicators in Quarter 3.

Figure 1: Overall KPI Performance



For Programme 1, 8 (62%) out of the 13 quarterly targets were achieved, for Programme 2, 7 (100%) of the 7 quarterly targets were achieved and for Programme 3, 6 (86%) out of the 7 of the quarterly targets were achieved.

Figure 2: Programme Performance



2. CIPC Overall Performance

This section shows the impact of the external (service delivery environment) and internal (organizational environment) context on the CIPC's overall performance and service delivery during the period under review.

2.1 Service Delivery Environment

The section presents the demand for the CIPC's services and discusses how this affected the CIPC's performance.

2.1.1 Service Delivery

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

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

CIPC Services	Number/Average Turnaround Time (ATAT)	Quarter 1	Quarter 2	Quarter 3
Patents applications	Number	3 551	3 574	3 108
	ATAT	2 days	2 days	2 days
	SDS (2 working days)	96%	99%	99%
Patents registration certificates	Number	2 694	2 351	1292
	ATAT	33 days	22 days	25 days
	SDS (44 working days)	100%	100%	100%
Patent Renewals	Number	11 912	11 827	11 375
	ATAT	2 days	2 days	2 days
	SDS	86%	96%	90%

CIPC Services	Number/Average Turnaround Time (ATAT)	Quarter 1	Quarter 2	Quarter 3
Designs applications	Number	440	392	501
	ATAT	2 days	2 days	2 days
	SDS (2 working days)	96%	96%	95%
Designs registration certificates	Number	507	341	348
	ATAT	11 Days	9 days	7 days
	SDS (44 working days after publication)	100%	100%	100%
Designs Renewals	Number	1 989	2 166	868
	ATAT	3 days	2 days	2 days
	SDS	94%	98%	99%
Copyright in film applications	Number	3	5	8
	ATAT	2 days	2 days	2 days
	SDS (1 working day)	100%	100%	100%
Copyright in film registrations	Number	3	No film registrations issued	6
	ATAT	3 days	N/A	2 days
	SDS (22 working days)	100%	N/A	100%
Trademarks applications	Number	9 672	10 152	9 353
	ATAT	96%	95%	96%
	SDS (3 working days)	3 days	3 days	3 days
Trademarks registrations	Number	9 002	12 441	7 459
	ATAT	69%	58%	95%
	SDS (90 days + 90 days)	180 days	180 days	180 days
Trademarks Official Action	Number	6 845	10 325	7 533
	ATAT	99%	98%	96%
	SDS (12 months)	365 days	365 days	365 days
Trademark Renewals	Number	7 047	6 276	5 777
	ATAT	97%	96%	96%
	SDS	3 days	3 days	3 days
Name reservations	Number	118 652	120 912	No report available
	ATAT	1 day	1 day	No report available
	SDS	95%	97%	No report available
Companies Registrations	Number	104 031	111 033	86 562
	ATAT	1 day	1 day	1 day
	SDS	93%	98%	93%
BBBEE Certificates	Number	87 588	Not available	75011
	ATAT	Immediate	Not available	Immediate
	SDS	100%	Not available	100%
Co-operatives Registrations	Number	2 123	1853	957
	ATAT	2 days	1 day	1 day
	SDS (3 days)	100%	100%	100%
Director Amendments	Number	37 853	42 830	37 164
	ATAT	2 days	2 days	2 days
	SDS	99%	97%	98%
Member Amendments	Number	5 969	6630	5625
	ATAT	2 days	2 days	2 days
	SDS	100%	100%	97%

CIPC Services	Number/Average Turnaround Time (ATAT)	Quarter 1	Quarter 2	Quarter 3
Company Name Changes	Number	14 299	14 552	11 291
	ATAT	Immediate	Immediate	Immediate
	SDS	100%	100%	100%
Company Financial Year End Changes	Number	1 086	1 321	1 373
	ATAT	Immediate	Immediate	Immediate
	SDS	100%	100%	100%
Query Resolution	Queries received	40 484	41 354	36 302
	Queries closed	39 381	41 159	34 508
	ATAT	3 days	4 days	5 days
	SDS (10 days)	95%	93%	91%
Facebook	Queries received	12 000	11049	10596
	Queries closed	10 000	10471	8742
	ATAT	5h 2m	4h2m	4h25m
	SDS (24 hours)	83%	95%	83%
Twitter	Queries received	3 600	4144	3350
	Queries closed	2 800	3295	2453
	ATAT	4h 19m	3h32m	5h46m
	SDS (24 hours)	78%	79.51%	73%

Legend

 **Under 90% - SDS Performance Target**

Disclaimer It is to be noted that even though Patent and Design Renewals are reported upon, they were taken off from the indicator targets and reporting requirement****

(i) Patents and Designs

Quarter 1

Applications (include breakdown – Local vs Foreign)

The CIPC satisfactorily maintained and complied with the external SDS set for processing both patents and designs applications in Quarter 1.

The CIPC received 3 551 patents applications (3 126 Foreign applications and 425 local applications) were received and 440 designs applications (250 Foreign and 190 Local Applications) during the Quarter 1 of 2022/23. This is significantly higher than patent applications received in the same quarter last year (2 363 applications were received in Quarter 1 of 2021/22 i.e., an approximately 50% increase in the number of applications). Similarly, the number of design applications received in Quarter 1 of 2022/23 is also higher than the number of applications received in Quarter 1 of 2021/22 (407 applications were received in Quarter 1 of 2021/22, this is an approximately 10% increase in the number of design applications).

The average turnaround time for patent applications was maintained at two (2) working days. Ninety-six percent (96%) of transactions were processed within the set external SDS of two days (2). Four percent (4%) processed outside the SDS is attributed to manual applications and queries related thereto.

The average turnaround time for designs applications was maintained at two (2) working days. Ninety-six percent (96%) of the applications were processed within the SDS of two (2) working days. The four (4%) processed outside the SDS is also attributed to the manual application queries.

Registration Certificates

During 2022/23 Quarter 1, the CIPC issued 2 694 patent certificates, this is an increase of over 100% in comparison to Quarter 1 of 2021/22 where 1 185 Patent Registration Certificates were issued. Furthermore 507 designs registration certificates were issued in quarter 1 of 2022/23; this is also a marginal increase in comparison to 369 design registration certificates issued in Quarter 1 of 2021/22. 100% of patent registration certificates were processed within the set SDS of 44 days at an average turnaround times of 33 days. Similarly, 100% of designs registration certificates were 24 days and 38 days respectively.

Quarter 2

Applications (include breakdown – Local vs Foreign)

The CIPC satisfactorily maintained and complied with the external SDS set for processing both patents and designs applications in Quarter 2.

The CIPC received 3 574 patents applications (3 137 Foreign applications and 437 local applications) were received and 392 designs applications (245 Foreign and 147 Local Applications) during Quarter 2 of 2022/23. This is significantly higher than patent applications received in the same quarter last year (2 822 applications were received in Quarter 2 of 2021/22 i.e. an approximately 25% increase in the number of applications for the same period).

For design applications 392 applications were received in Quarter 2 of 2022/23, slightly lower than the number of applications received in Quarter 2 of 2021/22 (i.e. 436 applications).

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

The average turnaround time for designs applications was maintained at two (2) working days. Ninety-six percent (96%) of the applications were processed within the SDS of two (2) working days. The four (4%) processed outside the SDS is also attributed to the manual application queries.

Registration Certificates

During 2022/23 Quarter 2, the CIPC issued 2 351 patent certificates, this is an increase of over 100% in comparison to Quarter 2 of 2021/22 where 1 022 patent registration certificates were issued. For designs, 341 designs registration certificates were issued in quarter 2 of 2022/23; this is also a marginal increase in comparison to 250 design registration certificates issued in Quarter 2 of 2021/22. 100% of patent registration certificates were processed within the set SDS of 44 days at an average turnaround time of 22 days. Similarly, 100% of designs registration certificates were processed within the average turnaround time of 9 days.

Quarter 3

Applications (include breakdown – Local vs Foreign)

The CIPC satisfactorily maintained and complied with the external SDS set for processing both patents and designs applications in Quarter 3.

The CIPC received 3 108 patents applications (2 761 Foreign applications and 347 local applications) were received and 501 designs applications (287 Foreign and 214 Local Applications) during Quarter 2 of 2022/23.

The average turnaround time for patent applications was maintained at two (2) working days. Ninety-nine percent (99%) of transactions were processed within the set external SDS of two days (2). The one percent (1%) processed outside the SDS is attributed to referred applications and queries related thereto.

The average turnaround time for designs applications was maintained at two (2) working days. Ninety-five percent (95%) of the applications were processed within the SDS of two (2) working days. The five (5%) processed outside the SDS is also attributed to the manual applications and referred applications with queries.

Registration Certificates

During 2022/23 quarter 3, the CIPC issued 1 292 patent certificates. For designs 348 designs registration certificates were issued in quarter 3 of 2022/23. 100% of patent registration certificates

were processed within the set SDS of 44 days at an average turnaround time of 25 days. Similarly, 100% of designs registration certificates were processed within the average turnaround time of 7 days.

(ii) Copyright in film

Quarter 1

Applications

During this reporting period, the Copyright unit received nine (9) film applications, and all were processed within the turnaround time.

Registrations

During this reporting period, the Copyright unit registered three (3) film applications and issued film registrations certificates within the turnaround time.

Quarter 2

Applications

During this period under reporting, the Copyright unit received 05 (five) applications for films in copyright.

Registrations

During this period under reporting, the Copyright unit issued no registration certificates.

Quarter 3

Applications

During this period under reporting, the Copyright unit received 08 (eight) applications for films in copyright.

Registrations

During this reporting period, the Copyright unit received eight (08) film applications and such applications were processed within the turn-around time set by the CIPC to its customers.

With regard to film registration certificates, the Copyright unit issued at least seven (07) registration certificates.

(iii) Trademarks

See table 1

(iv) Companies and Close Corporations (CCs)

Quarter 1

New company registrations are lower than the comparative period of 2021-2022 and follows the same trend as per the 2021-2022 financial year namely a decrease post the first year of Covid19. The trend

in the increase in volume of automated new company registrations compared with hybrid new company registrations continued.

Quarter 2

The trend in decrease in company registrations as indicated during quarter 1, continued during quarter 2. During quarter 2, substantial failures with the Department of Home Affairs were experienced which may have influenced the continued decrease in company registrations. As part of the new company registration process, especially on the electronic platforms, finalisation of the company registration is dependent on successful verification of director; identify information with the Department of Home Affairs.

Quarter 3

Report outstanding because of ICT delays caused by the E-services launch challenges.

(v) Co-operatives

Quarter 1

Registrations

There has been a noticeable increase in Registration for new co-operatives compared to the previous period in 2020/21 financial year-end. This is a demonstration that people are getting used to the system. Coming to Secondary and Tertiary Co-operatives the volumes are a handful and the requirement for registration has changed requiring filling of Financial Statements and Annual Reporting first before conversion of which the co-operatives are non-compliant.

Conversions

Seven (7) conversions out of 10 received were processed and the volumes are still very low.

Amalgamations

No amalgamations were received.

Quarter 2

Registrations

The registration for the quarter under review had a slight decrease of 270 applications as compared to Q1. This can be attributed to two things viz.; we had intermittent system downtimes due to DHA link and the verification could not be done thus delaying the registration process and lastly the first quarter is link to most financial years and decision to incorporate would have been made informed by the strategic plans of the relevant stakeholders.

Conversions

Only two conversions from Companies to Co-operatives were approved during this quarter.

Amalgamation

No amalgamations were received.

Quarter 3

Registrations

The number of registrations for the new co-operatives for Q3 was 995 of which all of them were processed within an SDS.

Conversions

Only two conversions from Companies to Co-operatives were approved during this quarter.

Amalgamation

Nothing was received.

(vi) Directors, Members and Practitioners (DMP)

Quarter 1

CoR39's

We received close to 60 000 applications for E-services applications though only over 36 000 were approved and with regards to manual application we received over 1800 and 1122 were approved. Most of the rejections are visible fabrication of Identity documents and falsification of applications. We experienced some problems with E-services from the 28th of June due to images not being available whereas applications are being indexed.

CK2's

Over 10 000 applications received for member changes as the CK2 form deals with many changes of which others are done by Companies and Close Corporations. From the 10 000 applications we only approved 3850 for E-services and 2119 for manual.

CoR44's

We received 4631 applications and only approved 3017, we experienced some technical problems whereby ICT takes time to update database to reflect the information from IRBA for all Registered Auditors.

Business Rescue

Business Rescue Practitioner 21 licenses were issued, and 78 appointments made during the period under reviewed.

Quarter 2

CoR39's

We received 68 879 applications between E-services and Manual applications, of which approximately 97% of the applications were E-services. We approved 42 830 which is the 62% of the work received and rejected 26 049. Had it not been the system downtimes we could have processed more.

CK2's

We received a total of 11 047 applications for member changes between Manual Applications and E-services of which 6630 was approved and 4 417 were rejected.

CoR44's

We received 5 113 applications a noticeable increase compared to the previous quarter and approved 3 483, the issue of IRBA verification which was still a problem though they were escalated to ICT.

Business Rescue

One hundred and nine (109) applications for licenses of Business Rescue Practitioners were received and issued 34 licenses. Two (2) Matters were sent to the Companies Tribunal for review however, the Tribunal upheld our decisions. Appointments received were 140 and 75 were approved.

Quarter 3**CoR39's**

We received 55 145 E-services applications and 2747 Manual applications. The volumes dropped compared to the previous quarter and this can be attributed to December being a dead month for most of our clients and system challenges which might have led to some holding back submission until they are back in 2023. We approved 35524 and queried 19804. For manual applications we processed 1640 and queried 1121.

CK2's

We received a total of 5381 for E-services application and 3961 for manual applications of which 1843 and 1871 were queried for E-services and Manual Applications respectively.

The has been a huge decline however it is not something to worry about because Members changes is not the same as director changes as members have interest attached to the CC's whereas directors serve at the pleasure of shareholders.

CoR44's

We received 4536 applications a decrease compared to the previous quarter and approved 2527, however cognizance should be given to the fact that the above form is used for both Auditors and Company Secretaries.

Business Rescue Practitioners

We had issued 20 licenses during the period under review and endorsed 105 appointments of practitioners. Matters which were referred to Companies Tribunal for review were 4 and the Companies Tribunal upheld our decisions on all of them.

(vii) Query Resolutions**Quarter 1**

All queries were attended to within the services standards except those, which are ICT related for an example dispatching of forms and certificates to clients, took longer as ICT took time to respond.

Quarter 2

The number of tickets logged increased slightly from Q1, to 41 354 tickets. The % of tickets responded to inside turnaround time decreased from 95% in Q1 to 93% in Q2.

Quarter 3

The cloud-based call centre system was implemented on 26 September 2022. This implementation ensures more accurate statistics and improvement in the customer service. During Q3, a total number of 47 156 calls were offered, and 37 791 calls answered. This amounts to 83% of calls answered. The number of calls increased with 3836 calls in comparison to Q2.

Customers logged 36 302 calls during Q3. The number of calls decreased with 5052 in comparison with Q2. The closure of CIPC during the Festive Season has an influence of the number of tickets logged. The percentage of tickets responded to within the turnaround time decreased with 2% from Q2 to 91%.

2.1.2 Legal, Policy Support, and Outreach

(i) IP Policy and Outreach

Quarter 1

IP for SMME

Through the intervention of the SSAIP (Swiss-South Africa intervention), the IP for SMME project is being pursued.

Six committee meetings were held in this quarter. These meetings mainly served to engage on the specific interventions, which the committee reached agreement. Broadly, these interventions are based on IP in general with a specific focus on SMMEs. The interventions included the SMME stakeholder mapping, customization of the IP panorama and the compilation of training materials for SEDA employees. As regards the development of the stakeholder map (a feature in the development of SMME portal on the CIPC website), a consultant company was appointed (by the Swiss) to assist in the development of the design and development of a single on-line stakeholder map. This feature provides details of all key and relevant IP stakeholders, which the SMMEs will use (based on their request through the survey previously conducted). The features for the SMME benefit will cover aspects such as briefings, training, service, guidance). A concept note based on a phased approach was developed. It was further agreed to pilot the implementation (user needs analysis and scoping) in the Gauteng province (having CIPCs majority clients).

Further to this intervention and following the initial ToT (training of trainers) with the SEDA practitioners, a relationship with TIA (The Technology Agency) commenced. TIA has technology stations nationally and it is the intention therefore to train these practitioners who will serve a better IP service in the communities in which the technology stations exist. A programme of action was developed and is set to commence in the 2nd quarter.

IP BRICS

CNIPA (China) is the hosting office in this round of IP BRICS forum. In this quarter, the coordinators (country focal point persons) engaged on issues such as work stream progress, preparations for the main HIPO (heads of IP Offices meeting) and other logistical and substantive issues. The proposed schedule of events for the year under the chair was agreed upon by members. The coordinators meeting was scheduled for the 21st of July. The coordinators meeting is an important part of the IP BRICS events as the focal point persons meet to discuss/engage and deliberate on issues which the Heads of the IP offices find consensus and provide approval.

Quarter 2

IP for SMME

Activities under this programme continues through the intervention of the SSAIP (Swiss-South Africa intervention).

Committee meetings held in this quarter were focused on specific interventions under the direction of the IP managers while maintaining the focus on SMMEs. The external company engaged to assist in the development of the SMME stakeholder map continued with further engagements around how to proceed with the implementation of the pilot. A meeting was convened with key stakeholders (including the DTI, SEDA and NIPMO) to understand what their current services to SMMEs entailed. The engagement with TIA officials ensued with the implementation of the training plan.

IP BRICS

The 14th HIPO BRICS IP meeting was held in this quarter. In ensuring the smooth execution of this event the focal point coordinators meeting was held on the 21st of July. Intense exchange of communication ensued between coordinators to ensure that all inputs were fully informed and that the Country position was correctly portrayed. The SA delegation was determined, and IP managers joined the main meeting. The talking points for the Commissioner was prepared with inputs from all IP managers and technical staff such as the Patent Searchers. The meeting was a success. Forthcoming main events include the IT workshop convened by China in October and the Examiners Training in November.

Quarter 3

IP for SMME

Activities under this programme continued through the intervention of the SSAIP (Swiss-South Africa intervention).

Committee meetings held in this quarter were focused on specific interventions under the direction of the IP managers while maintaining the focus on SMMEs. SWISS project co-ordinator visited South Africa from 24 to 28 October 2022, project update meeting for the IP SMME working group meeting held on 25 October in which Proof Africa presented the pilot stakeholder mapping. Presentation of the Innovation Bridge Portal by HSRC and NIPMO was held to identify ways to influence the IP for SMME project.

IP BRICS

BRICS training for IP Professionals took place on 17 to 31 October 2022. BRICS training for IP office examiners and office staff took place from 7 to 11 November. Attended by 32 of our IP office staff. BRIC IT workshop took place on 19 October 2022. CIPC represented by Mr Kabelo Ledwaba (IP ICT specialist) and Mr Bheki Zulu (Patent Examiner).

Following the successful 14th HIPO Meeting, China prepared the final summary report and circulated to the Heads of the IP Offices for signature. Newspaper articles were also prepared and published on the event. Certificates were awarded to those that attended the training. Preparations for the hosting of the 15th HIPO meeting was held with the IP Management Group.

Quarter 1

Finalisation of the POPIA Compliance Framework (submitted to EXCO) for use by CIPC annually to monitor compliance in terms of POPIA.

Development of "General Counsel" (in-house legal) implementation plan, which includes structure, functions and responsibilities. (ongoing).

Multitude of subpoenas and request for specific and technical information received from law enforcement agencies – which is indicative of the number of criminal matters involving fraud, director and shareholder disputes, etc. Law enforcement agencies requests for information are no longer simply corporate registration documentation, but becoming much more technical. CIPC presence (providing expert testimony) in court and other forums – becoming more prominent.

Beneficial Ownership Project – attending legal framework and practical BO workshops and seminars – development of CIPC's own beneficial ownership register. CIPC compliance is crucial in terms of SA's world ranking. Development of Companies Act Amendment Regulations crucial to cater for BO register – CCRD & dtic driving force.

Publication of several legal opinions and articles on Companies Act interpretation and application – creating precedent.

Quarter 2

Development of POPIA training plan (internal & external) - 2 sessions with CIPC staff on the applicability of POPIA to CIPC employees and 2 sessions externally – discussions with the public on the applicability of POPIA on the functions of the CIPC. General consent in terms of POPIA built into new e-services – review annually.

General Counsel ("in-house legal") division implementation plan being developed, dependent on OD finalization – ongoing.

Received and responded to 19 subpoenas pertaining to specific Companies Act, interpretation and CIPC technical processes clarity or advice sought – not part of normal disclosure application process

by state departments. Corporate Legal represented the CIPC in various forums, Companies Tribunal, High Court and Liquidation Inquiries.

Beneficial Ownership – consolidated inputs – Global General Laws Amendment Bill, Trust Property Control's Act and Financial Sector Regulations Act.

Speaker at several external events on the Companies Act – Business Rescue, Delinquent Directors & POPIA.

Quarter 3

POPIA training plan developed and 2 internal training sessions held (during November) with internal staff regarding the application of POPIA in terms of CIPC functions as well as personal applicability. POPIA refinements built into ESS – request ID number to access payslip.

The Information Regulator (PAIA division) conducted an on-site physical assessment of CIPC's compliance with PAIA. Up to date PAIA manual, appointment of Information Officer and Deputy Information Officers and privacy policies assessed. CIPC found compliant.

Beneficial Ownership – extensive inputs and deliberations pertaining to the General Laws Amendment Bill, Trust Property Control's Act and Financial Sector Regulations Act. Actively engaging in development of Regulations for the Companies Act Amendment Bill – to be promulgated early 2023.

2.1.3 Compliance Monitoring and Enforcement

(i) Annual Returns

Quarter 1

The volume of gross filings continued to increase with 1% (3225 filings). The in time filing rate also continued to increase with 4% (5835 filings). The Annual Return filing service is currently in redevelopment and will incorporate the PI (Public Interest) Score calculation and simultaneous amendments with the filing of Annual Returns. The service is due to be released during July 2022.

Figure 3: AR Filings Comparison (Gross Filings) April to March

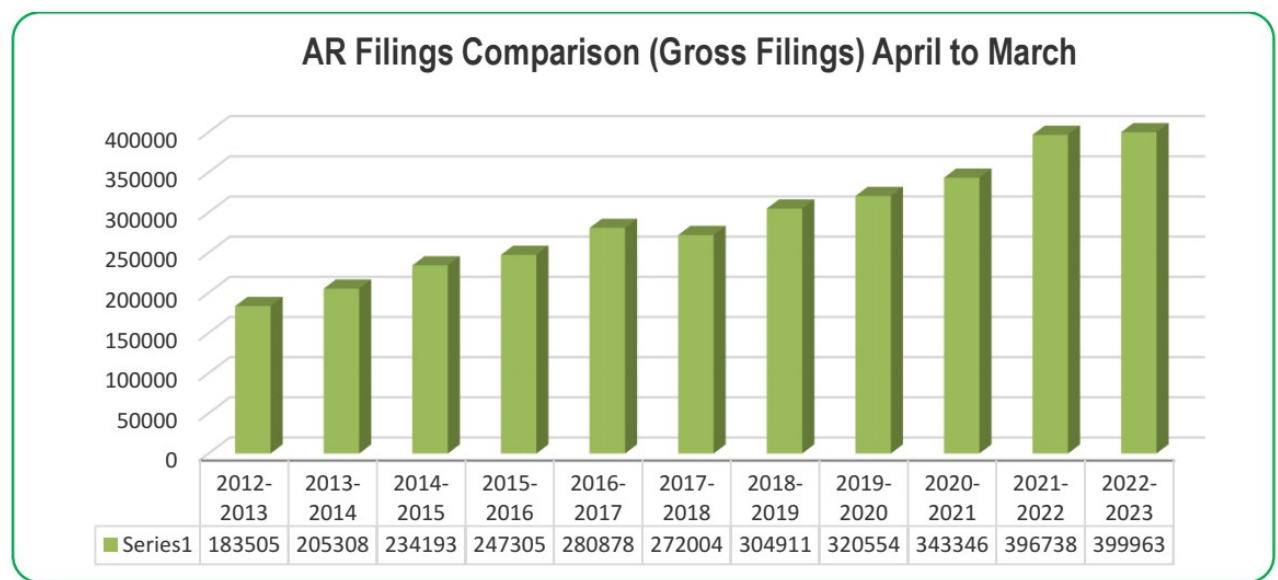
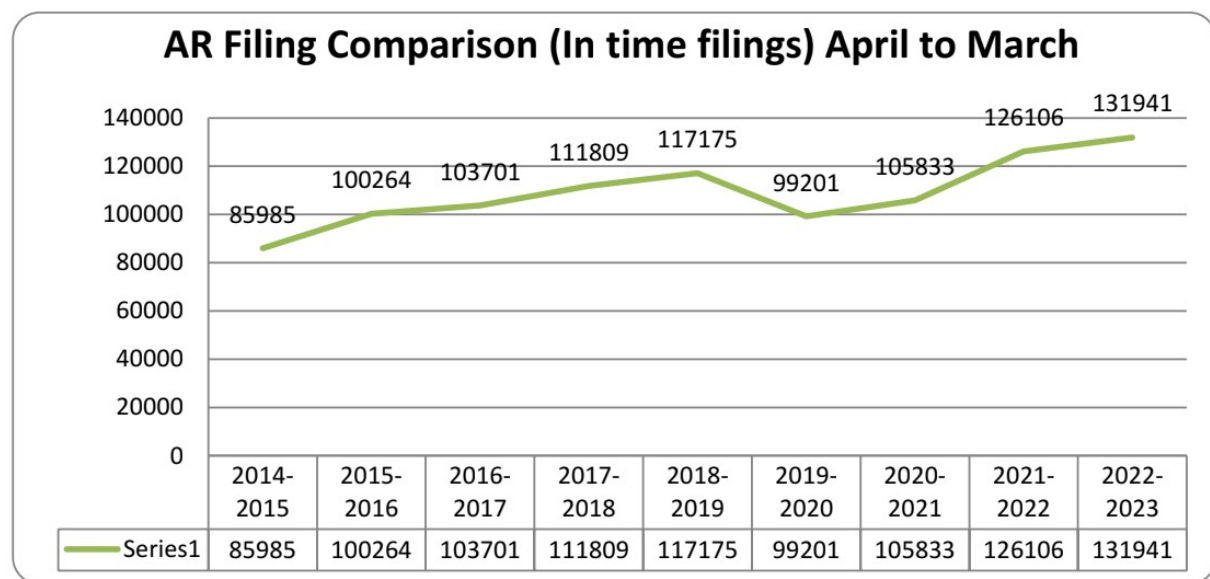


Figure 4: AR Filing Comparison (In time filings) April to March



Quarter 2

The gross volume of Annual Return Filings decreased compared with 2021-2022 with 3% (or 23138 filings). Quarter 2 was characterized by substantial failures in the link with the Department of Home Affairs, which may have impacted on customers' ability to file Annual Returns. Customers cannot proceed to file Annual Returns before the company's FAS (Financial Accountability Supplement) or AFS (Annual Financial Statements) has been filed. The FAS currently has a verification requirement

that the person who is responsible to keep the accounting records must be verified before finalizing the FAS filing and therefore the Annual Return itself.

The current economic challenges and load shedding levels may also have impacted on the ability of customers to file.

The release of the redeveloped Annual Return Filing service has been postponed for release until 1 November 2022 although such, together with other redeveloped services, will be soft launched on 14 October 2022 for selective external customers to test the services. The in time filing rate continued to increase.

Figure 5: AR Filings Comparison April to September 2022

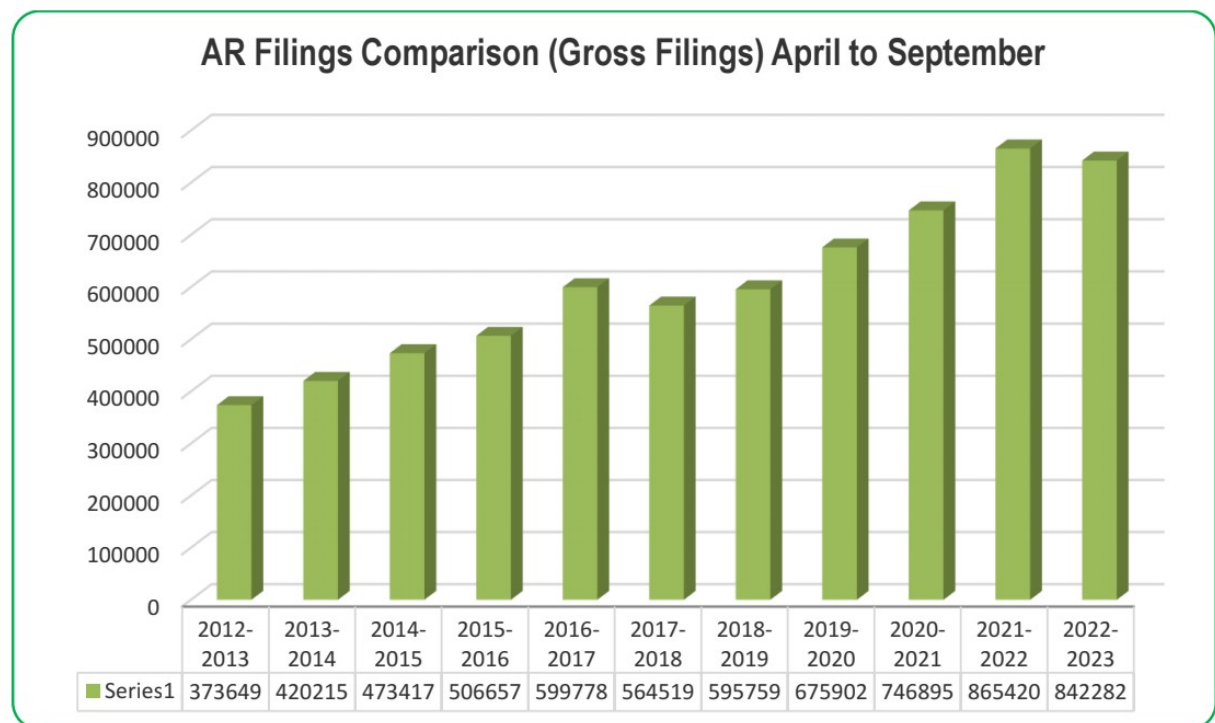
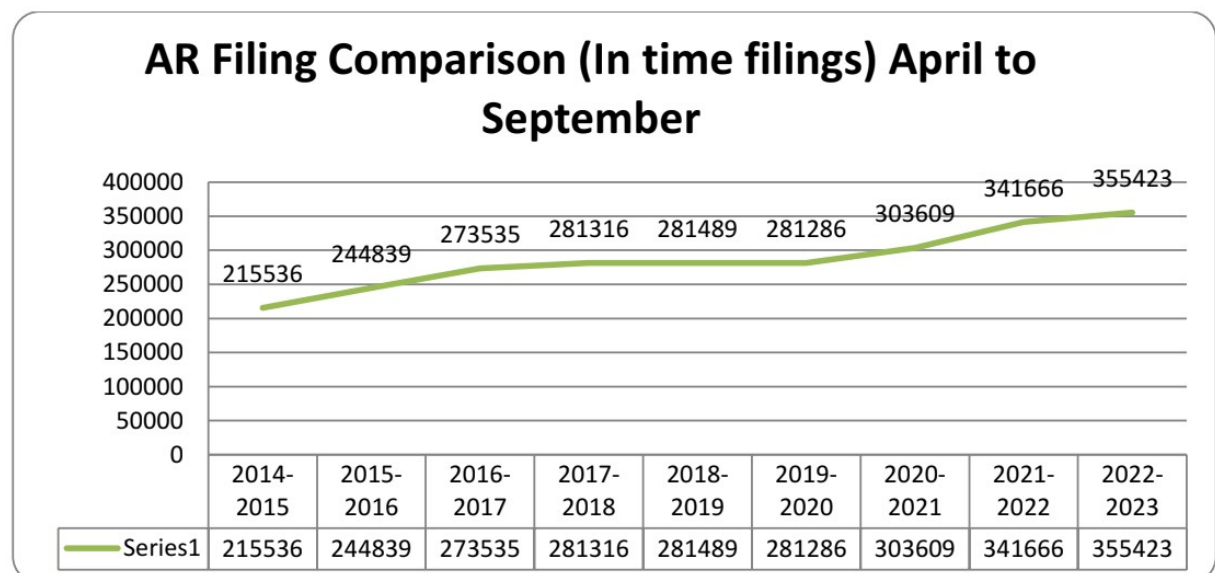


Figure 6: AR Filing Comparison (In time filings) April-September



Quarter 3

Due to the focus on launching E-services, production of reports have been delayed

(ii) Business Rescue
Quarter1

Table 2: Status of Business Rescue Proceedings

Count of Status of BR Proceedings		Status 					
Status of Proceedings 	Active	Liquidation	Nullity	Set aside	Substantial	Termination	Grand Total
+ 2011-2012	50	58	111	2	85	77	383
+ 2012-2013	111	67	28	5	109	120	440
+ 2013-2014	115	73	21	6	105	89	409
+ 2014-2015	116	73	26	4	101	93	413
+ 2015-2016	145	73	24		88	151	481
+ 2016-2017	109	54	17	3	78	114	375
+ 2017-2018	132	39	22	2	63	104	362
+ 2018-2019	140	37	32	5	55	80	349
+ 2019-2020	183	31	15	3	73	68	373
+ 2020-2021	206	30	6	2	80	49	373
+ 2021-2022	279	11	8		15	34	347
+ 2022-2023	63					2	65
Grand Total	1649	546	310	32	852	981	4370

Sixty-five (65) companies and close corporations commenced business rescue proceedings during quarter 1, as shown in Table 3. The decrease in the number of matters continued compared with the 2021-2022 (77 matters) and 2020-2021 (107) financial years.

Table 3: Business Rescue Commenced in each month over the years

Year/Month 	April	May	June	July	August	September	October	November	December	January	February	March	Grand Total
2011-2012	2	7	27	16	33	66	21	35	48	60	39	29	383
2012-2013	32	44	23	21	57	53	46	49	18	18	37	42	440
2013-2014	31	44	34	43	44	29	47	28	9	36	34	30	409
2014-2015	23	34	33	31	54	35	43	34	25	28	24	49	413
2015-2016	40	32	22	67	55	35	57	51	16	20	47	39	481
2016-2017	27	40	35	39	41	29	33	33	21	19	28	30	375
2017-2018	16	27	42	26	33	35	32	46	19	25	31	30	362
2018-2019	18	41	27	39	29	30	22	18	20	26	48	31	349
2019-2020	28	26	33	35	27	31	36	29	11	26	47	44	373
2020-2021	18	59	30	44	16	36	30	33	14	30	30	33	373
2021-2022	20	38	18	18	37	51	32	33	10	22	21	47	347
2022-2023	19	23	23										65
Grand Total	274	415	347	379	426	430	399	389	211	310	386	404	4370

Figure 7: Volume of Business Rescue Proceedings

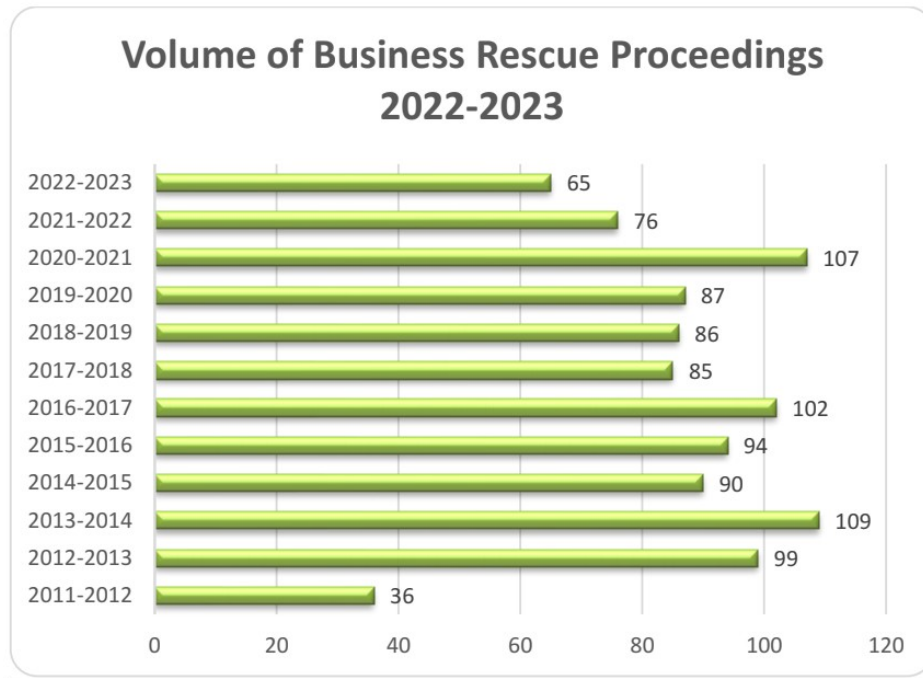
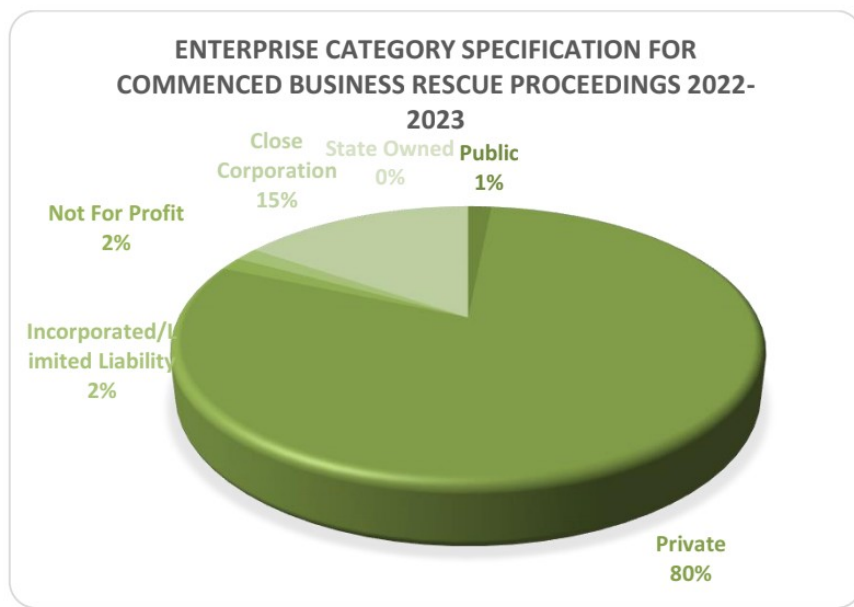


Figure 8: Enterprise Category Specification for commenced Business Rescue Proceedings 2022-23



Unfortunately, the efficiency of processing has not yet increased due to the rework for new matters. Service Delivery turnaround time was 80% for quarter 1.

Quarter 2

Table 4: Status of Business Rescue Proceedings – Q2

Status of Proceedings v CIPC Financial Year	Active	Liquidation	Nullity	Set aside	Substantial	Termination	Grand Total
2011-2012	50	58	111	2	85	77	383
2012-2013	111	67	28	5	109	120	440
2013-2014	115	73	21	6	105	89	409
2014-2015	114	73	26	4	101	95	413
2015-2016	145	73	24		88	151	481
2016-2017	108	54	17	3	79	114	375
2017-2018	128	39	22	2	65	106	362
2018-2019	138	37	32	5	56	81	349
2019-2020	175	32	15	4	78	69	373
2020-2021	195	31	6	2	86	53	373
2021-2022	248	15	8		28	48	347
2022-2023	126	2	1			8	137
April	16	1				2	19
May	19	1				3	23
June	23					1	24
July	24					2	26
August	25		1				26
September	19						19
Grand Total	1653	554	311	33	880	1011	4442

Seventy-one (71) companies and close corporations commenced business rescue proceedings during quarter 2, as shown in Table 4 and Table 5. The decrease in the number of matters continued compared with the 2021-2022 (106 matters) and with 2020-2021 (96 matters) financial years.

Table 5: Business Rescue Commenced in each month over the years – Q2

Year/Month	April	May	June	July	August	September	October	November	December	January	February	March	Grand Total
2011-2012	2	7	27	16	33	66	21	35	48	60	39	29	383
2012-2013	32	44	23	21	57	53	46	49	18	18	37	42	440
2013-2014	31	44	34	43	44	29	47	28	9	36	34	30	409
2014-2015	23	34	33	31	54	35	43	34	25	28	24	49	413
2015-2016	40	32	22	67	55	35	57	51	16	20	47	39	481
2016-2017	27	40	35	39	41	29	33	33	21	19	28	30	375
2017-2018	16	27	42	26	33	35	32	46	19	25	31	30	362
2018-2019	18	41	27	39	29	30	22	18	20	26	48	31	349

Year/Month	April	May	June	July	August	September	October	November	December	January	February	March	Grand Total
2019-2020	28	26	33	35	27	31	36	29	11	26	47	44	373
2020-2021	18	59	30	44	16	36	30	33	14	30	30	33	373
2021-2022	20	38	18	18	37	51	32	33	10	22	21	47	347
2022-2023	19	23	24	26	26	19							137
Grand Total	274	415	348	405	452	449	399	389	211	310	386	404	4442

Figure 9: Volume of Business Rescue Proceedings April to September 2022

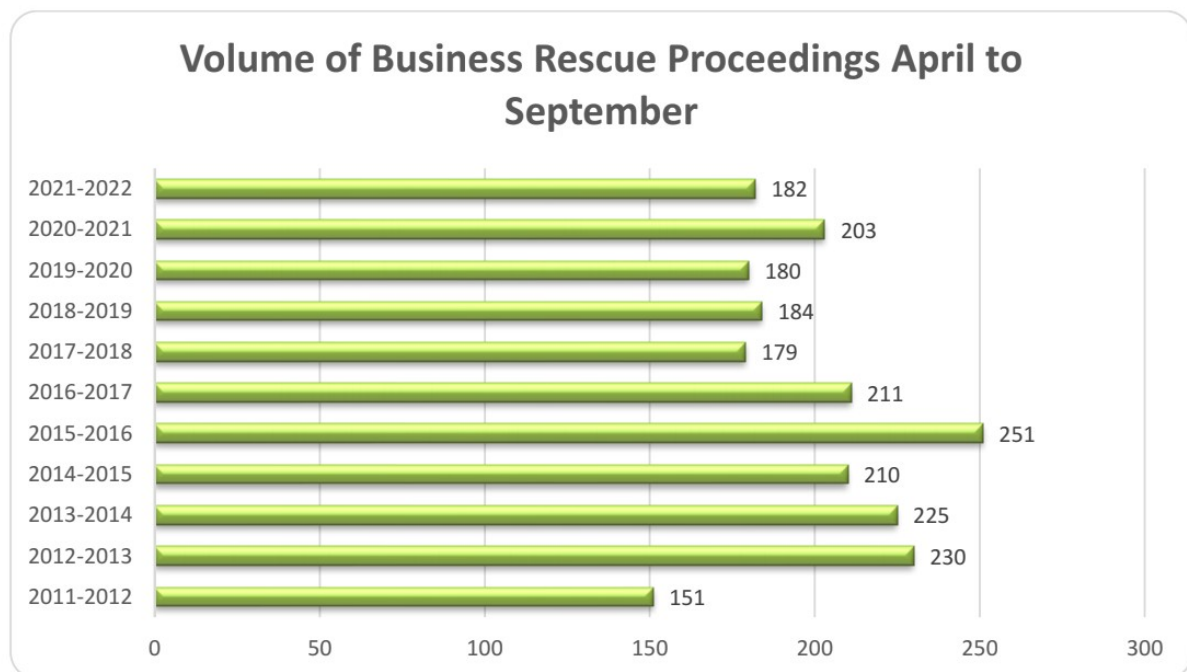
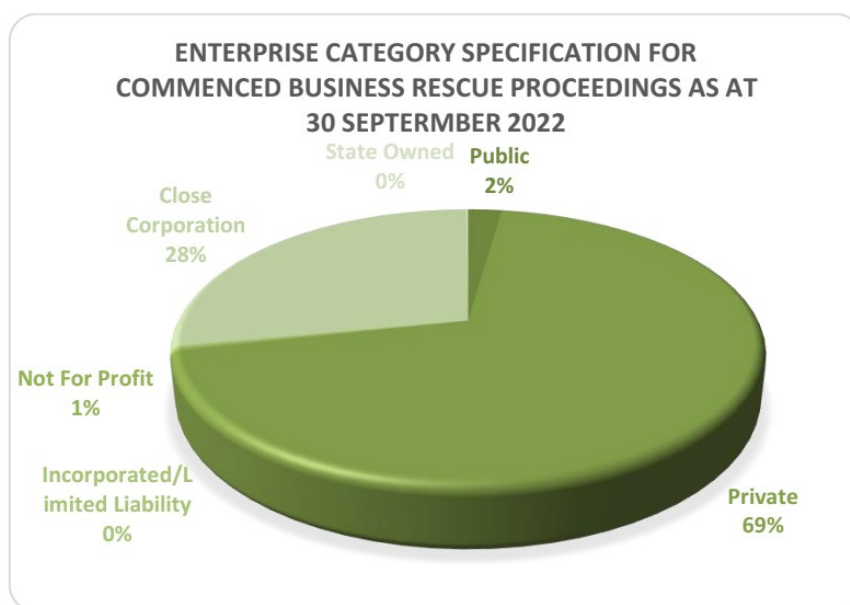


Figure 10: Enterprise Category Specification for commenced Business Rescue Proceedings 2022-23



Quarter 3

(iii) Corporate Compliance and Disclosure Regulation

Quarter 1

During 2022/23 Quarter 1, the CIPC continued to monitor compliance and disclosure according to the provisions of the Companies Act, 2008 (Act No. 71 of 2008). During Q1 of 2022/23 the focus of the XBRL Programme was mainly twofold; to stay abreast with the latest developments of accounting standards (by starting work on the CIPC taxonomy to incorporate the latest release of IFRS), and to extend the CIPC's reach of digital regulation by launching a pilot project for Co-operatives to start using XBRL.

In terms of XBRL filings, for Q1 as on 30 June 2022, the following filing statistics were observed:

- Total number of filings since implementation of XBRL = 53 197
- Total number of unique filings since implementation of XBRL = 25 617
- Total number of filings for Q1 2022/23 = 2 930
- IFRS-Full filings since implementation of XBRL = 26 699
- IFRS-SME filings since implementation of XBRL = 26 475
- GRAP filings since pilot implementation of GRAP = 21
- Co-operative filings since pilot implementation of Co-ops = 2

Quarter 2

During 2022/23 Quarter 2, the XBRL team finalised the new taxonomy and gained approval through Change Advisory Board to roll out the new Taxonomy on 01 October 2022, which was successful. An interview was held with the Commissioner by CFO Enterprises deliberating on the value of XBRL to the broader market and how CIPC facilitating delivery of such value with the new digital reporting mechanism. Collaboration with XBRL International was also actioned where a sample XBRL data was shared with the analytics team of XI International, results of the analysis demonstrate power in the data that is kept in the repository of financial statements filed in a structure form using XBRL.

As on 30 September 2022, the following filing statistics were observed:

- Total number of filings since implementation of XBRL = 56 470
- Total number of unique filings since implementation of XBRL = 26 296
- IFRS-Full filings since implementation of XBRL = 28 418
- IFRS-SME filings since implementation of XBRL = 28 021
- GRAP filings since pilot implementation of GRAP = 30
- Co-operative filings since pilot implementation of Co-ops = 3

Quarter 3

The XBRL team attended the annual XBRL conference (Data Amplified). The conference was hosted online over a period of 2 days. One of the main topics covered during this year's conference was Environmental and Social Governance (ESG) and how this will be implemented in many XBRL jurisdictions in 2023. The IFRS taxonomy used by the CIPC will by all indications also be updated by the IASB during 2023 with an important focus on ESG. The CIPC takes cognisance of ESG developments across the world, and also of the green taxonomy already developed by National Treasury, in order to incorporate ESG requirements in the next version of the CIPC taxonomy.

CIPC is a member of Digital Signatures Working Group of XI International, only one meeting was held by the Digital Signatures Working Group of XBRL International in December 2022 instead of the usual 2 meetings per month. The discussion is still focussed on how different jurisdictions around the world deal with assurance.

As on 31 December 2022, the following filing statistics were observed:

- Total number of filings since implementation of XBRL = 59 301
- Total number of unique filings since implementation of XBRL = 26 894
- Total number of filings for December 2022 = 828
- IFRS-Full filings since implementation of XBRL = 29 901
- IFRS-SME filings since implementation of XBRL = 29 521
- GRAP filings since pilot implementation of GRAP = 41
- Co-operative filings since pilot implementation of Co-ops = 6

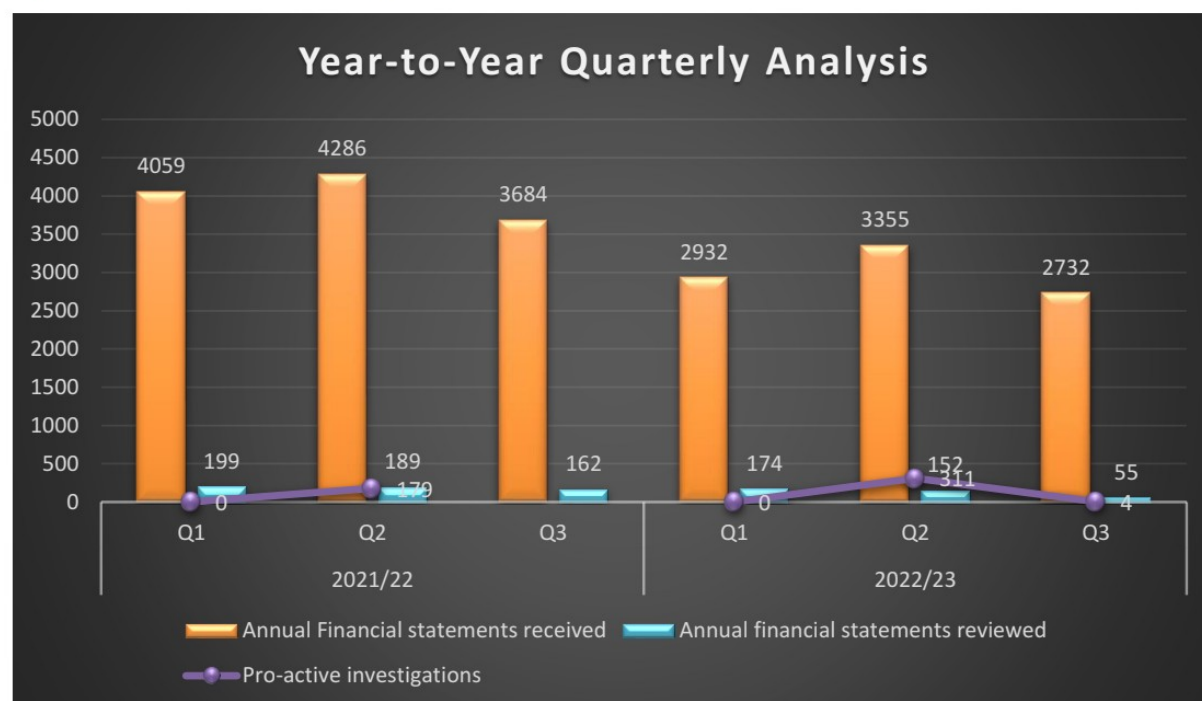
Table 6: Annual Financial Statements

Statistics	Description
Quarter 1	
2930	Annual Financial statements received
174	Annual financial statements reviewed
*	Pro-active investigations
Quarter 2	
3355	Annual Financial statements received
152	Annual financial statements reviewed
311	Pro-active investigations
Quarter 3	
2732	Annual Financial statements received
55	Annual financial statements reviewed
4**	Pro-active investigations

*No Proactive cases were allocated in this quarter due to the public companies that are being pursued from Quarter 4.

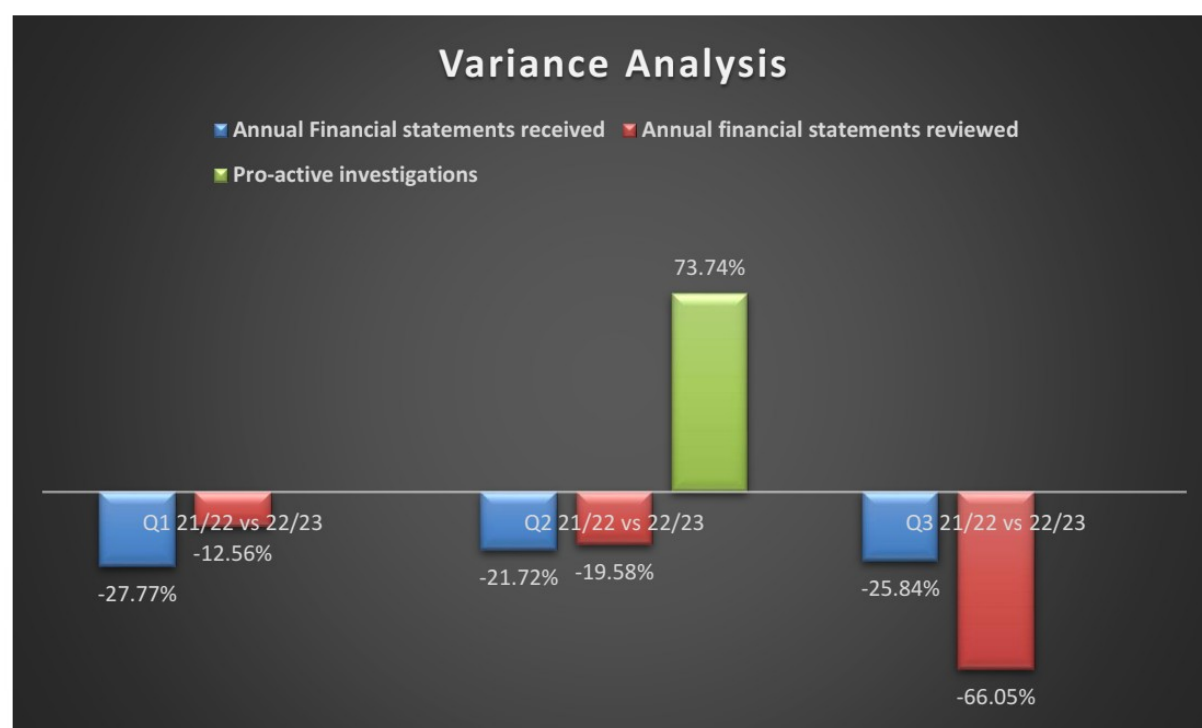
**Nutritional Holdings Ltd, Solidarity Fund NPC, Ayo Technology Solutions Ltd, Outsourced Risk and Compliance Assessment (Pty) Ltd

Figure 11: Year-to-Year Quarterly Analysis



The table and figure above highlight the year-on-year comparison of filings received as well as filings reviewed by the unit.

Figure 12: Variance Analysis



The annual comparison of AFS received per quarter indicates that the 2022/23 period experienced a decline in filings in each quarter, with Quarter 1 having the highest difference at a 27.77% decline, followed by Quarter 3 and Quarter 2 at a 25.84% and 21.72% respectively. As established in previous reports, this may be attributed to Covid-19 related factors, which led to several companies falling below the 350 PI score threshold and others opting for voluntary liquidation.

The number of AFS reviewed in Quarter 3 of the 2022/23 FY were 66.05% less than the previous year due to a change in allocation criteria and strategy, in that investigators were required to attend to outstanding pending matters from previous quarters which had a query letter sent and under treatment status. Proactive investigations during the third quarter of 2022/23 increased by a staggering 73.74% attributed to a targeted enforcement intervention, which focused on public companies and a cohort of JSE listed companies.

Quarter 1

Reportable irregularities

The RI stream amended a business process to implement the use of CoR 135.2 Notice of Non-Investigation of Complaint with effect from 01 of July. The RI work stream during Q2 will publish an article on which the common cases will be analysed.

Table 7: Reportable Irregularities 2022/23

	Q1	Q2	Q3
Opening Balance	294	301	319
Cases Received	26	29	30
Closed Cases	19	11	2
Closing Balance	301	319	347

Quarter 3

More RI's have been received for not complying with section 45 of the Companies Act. It is noted from the RI's received from IRBA that the company directors are not so conscious of section 45 of the Companies Act, 2008. It appears to be administrative of nature, as directors supposedly do not take the prescribed resolution for financial assistance with the relevant solvency and liquidity test. Interesting to note the case of *Trevo Capital Ltd and Others v Steinhoff International Holdings (Pty) Ltd and Other (2833/2021) [2021] ZAWCHC 123 (2 July 2021) (Steinhoff)* on the application of section 45. This case may have emphasized the compliance of section 45.

High Profile Companies under Investigation

Table 8: High Profile Companies under Investigation

High Impact Cases
Quarter 1
Nova PropGrow Group Limited (Compliance Notice Stages)
GUD Holdings (Tribunal decision taken on review at High Court)
Quarter 2
Nova PropGrow Group Limited (being defended in the Tribunal, process initiated in the Courts)
GUD Holdings (Matter being pursued through courts officially, affidavits submitted)
SE1 Empowerment (Liquidation proceedings being pursued through court, sat on 05 October)
Quarter 3
Nutritional Holdings Ltd
Solidarity Fund NPC
Ayo Technology Solutions Ltd
Outsourced Risk and Compliance Assessment (Pty) Ltd

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

Independent Review: Regulation 29

An increased number of closed matters during this quarter more than the allocated matters, after a productivity measurement tool was agreed to and shared for use. Professional bodies in the accounting sector were also engaged on the practice note that was issued to strengthen the Regulation 29(12) reporting requirements.

Table 9: Independent Review: Regulation 29

	Q1	Q2	Q3
Opening Balance	192	183	181
Allocated	30	50	60
Total Closed	39	52	61
Closing Balance	183	181	180

Cold cases

Table 10: Cold Case Matters

Administrative fine	Q1	Q2	Q3
Opening balance	22	9	9
Order granted	4	N/A	N/A
Settlement order/offer	2	N/A	N/A
Opposed	4	3	3
Removed from the list	4	N/A	N/A
Currently in court/set down	5	2	2
Closing balance	9	9	9

Quarter 1

Prospectuses

The prospectus stream also administers Employee Share Schemes as prescribed in the Companies Act and for Q1, 11 CoR46.1 filings were made, there were also Annual Certificates of Employee Share Schemes, which were filed using CoR46.2, the volume of which was 13 during Q1.

Table 11: Prospectus

COMPANY NAME	PROSPECTUS	FINAL PROSPECTUS	CURRENT STATUS
Quarter 1			
SILVERLEAF INVESTMENTS LIMITED		FINAL	REGISTERED
HP HOUSE EP20 LIMITED		FINAL	REGISTERED
SAXON SQUARE EP20 LIMITED		FINAL	REGISTERED
RALTECH LIMITED		FINAL	REGISTERED

COMPANY NAME	PROSPECTUS	FINAL PROSPECTUS	CURRENT STATUS
CAPITAL ON BATH EP 19 LIMITED		FINAL	REGISTERED
CARRINGTON EP18 LIMITED		FINAL	REGISTERED
CROWDPROP (RF) LIMITED		FINAL	REGISTERED
WESTBROOKE RHYTHM GROWTH OPPORTUNITIES FUND PLC		DRAFT	PENDING
CILO CYBIN HOLDINGS LIMITED		DRAFT	PENDING

Quarter 2

The highlight of Quarter 2 is the registration of the following prospectus, viz. OLD MUTUAL BULA TSELA RETAIL SCHEME LIMITED. A way of reaching more investors in the broader community as some form of empowerment for investing communities.

Table 12: Prospectus

COMPANY NAME	PROSPECTUS	FINAL PROSPECTUS	CURRENT STATUS
Quarter 2			
LABCORP LIMITED		DRAFT	PENDING
BB SANDTON TWO EP 21 LIMITED		FINAL	REGISTERED
LIGHTHOUSE PROPERTIES PLC			
HP HOUSE EP20 LIMITED		FINAL	REGISTERED
FYNBOS EP 22 LIMITED		FINAL	REGISTERED
OLD MUTUAL BULA TSELA RETAIL SCHEME LIMITED		FINAL	REGISTERED
ALTVEST CAPITAL LIMITED		DRAFT	PENDING
THE DUKE EP23 LIMITED		FINAL	REGISTERED
GO GETTA LIMITED		FINAL	REGISTERED
ASIA PACIFIC BASKET LIMITED		DRAFT	PENDING
ONE ON ANNE EP24 LIMITED		FINAL	REGISTERED

Quarter 3

***Quarter 3 with regards to offers of shares to the public were few, when one looks at the volume, this most likely has to do with the festive break.**

Table 13: Prospectus

COMPANY NAME	PROSPECTUS	FINAL PROSPECTUS	CURRENT STATUS
Quarter 3			
THE ONE EP29 LIMITED		FINAL	REGISTERED
SENWES LIMITED		FINAL	REGISTERED
K2022827815 (SOUTH AFRICA) LIMITED NO 33 OF 2022		DRAFT	PENDING
THE EDGE EP28 LIMITED		FINAL	REGISTERED
SUNSIDE ACQUISITIONS LIMITED		DRAFT	PENDING
GO GETTA LIMITED		FINAL	REGISTERED

(iv) Corporate Governance, Surveillance and Enforcement

Table 14: Types of contraventions on the complaints received in Q1

Type of contravention	Number
Access to company records	15
Unauthorised removal of director	11
Unauthorised appointment of director	10
Directors misconduct	10
Resigned as a director but still appear on the company records	6
Unauthorised removal of membership	3
Resigned as director but still appears on company records	1
Special resolution not registered	1
Shareholders rights infringement	1
Contravention of sec 214	1
Director misconduct	1
False company records	1
Shareholders meeting not held	1
Company information unlawfully altered	1
shares unlawfully sold	1
Company registered without knowledge	1
Deceased member not removed	1
Reckless trading	1
Company was deregistered but revived without concern of the partner	1
Falsification of Financial statements	1

Figure 13: Type of contraventions on the complaints received in Q1

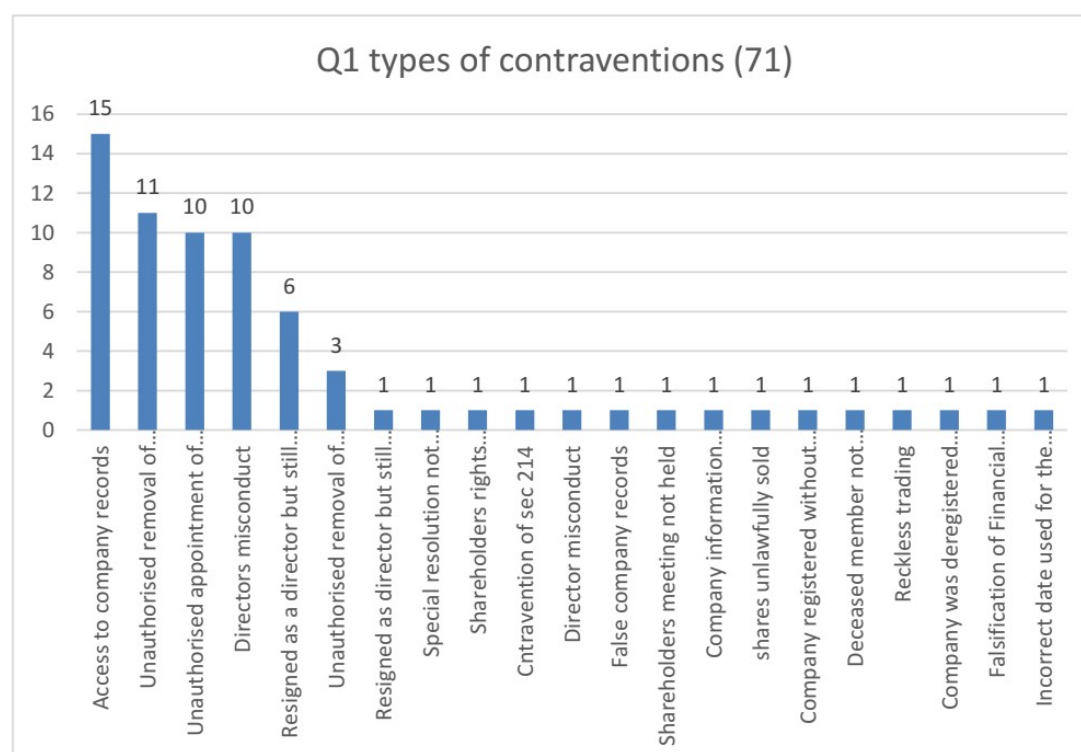


Table 15: Statistics on enforcement of Compliance Notices

Administrative fine	Q1	Q2
Opening balance	13	14
Order granted	-	-
Settlement order/offer	-	-
Opposed	-	-

The enforcement team with the assistance of the Office of the State Attorney are in the process to enforce the long awaited backlog of compliance notices, which were long issued to non-compliant entities. CIPC can apply to court for the imposition of an administration fine where an entity or a person fails to comply with a compliance notice issued by an inspector after an investigation is concluded. This is the best effective enforcement powers that will encourage better compliance of the Companies Act provisions and deter non-compliant entities. All 13 matters are with the State Attorneys. Consultations have underway and affidavits have been drafted.

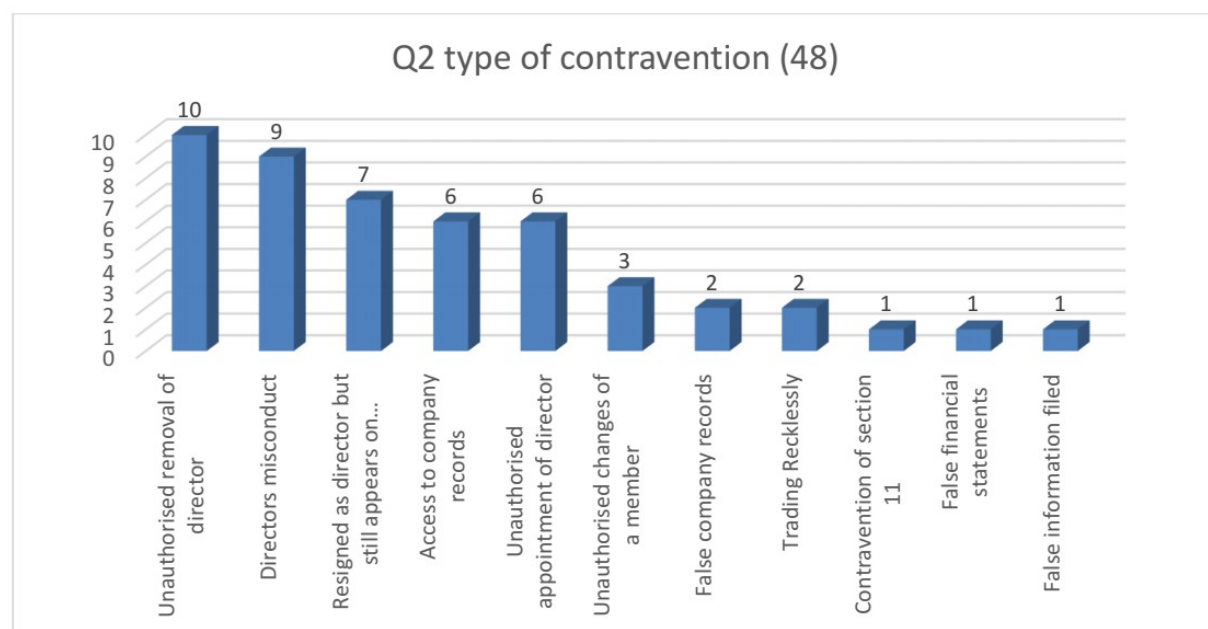
Quarter 2

CGSE team have embarked on the targeted Pro-active Investigations on Social and Ethics committee on “refused” decisions adjudicated by Companies Tribunal, whereby the entities made an application to be granted an exemption from establishing a Social and ethics committee in terms section 72(5) of the Companies Act, 2008. In terms of Companies Regulation 43(3)(a)(ii), the entity is required to appoint the first members of the social and ethics committee within 12 months after the Companies Tribunal decision. Investigators are pro-actively monitoring proper compliance to ensure that companies establish the social and ethics committee.

Table 16: Types of contraventions on the complaints received in Q2

Type of contravention Q2	Number
Unauthorised removal of director	10
Directors misconduct	9
Resigned as director but still appears on company records	7
Access to company records	6
Unauthorised appointment of director	6
Unauthorised changes of a member	3
False company records	2
Trading Recklessly	2
Contravention of section 11	1
False financial statements	1
False information filed	1
Grand Total	48

Figure 14: Type of contraventions on the complaints received in Q2



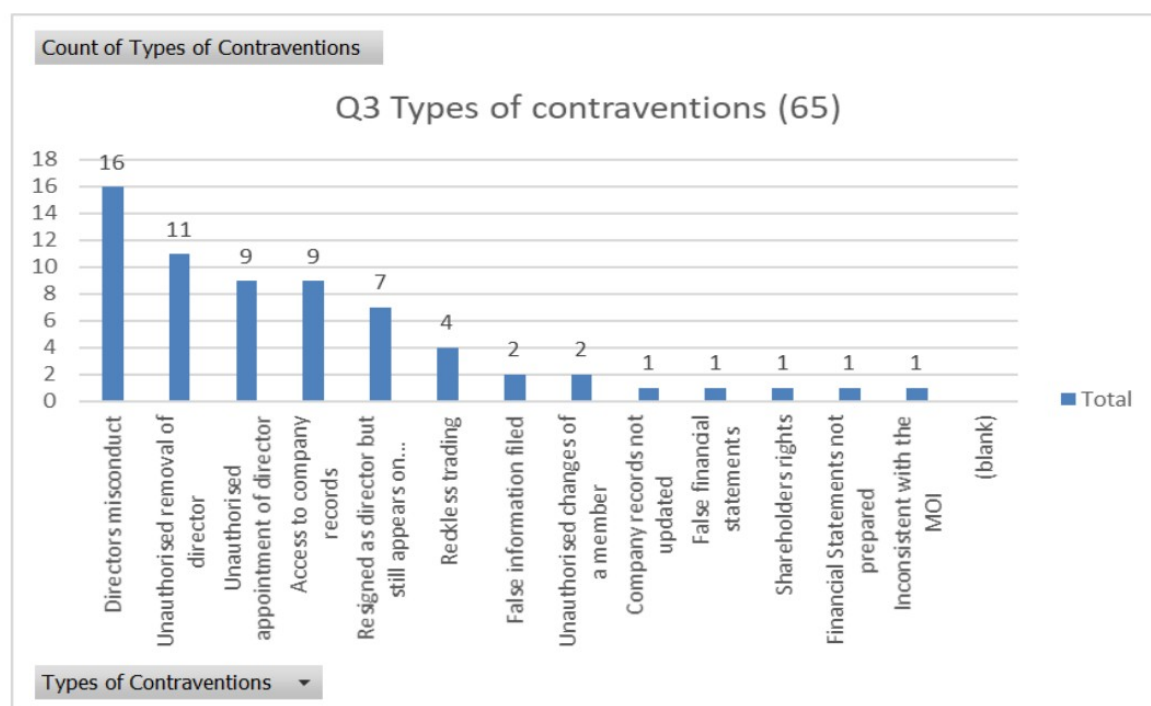
Quarter 3

In Q3, targeted pro-active investigations was focused on the auditors rotation non-compliance – section 92 of the Companies Act, 2002. The team took advantage of the XBRL Business Intelligence reports on information collected for over five years on auditors appointments. XBRL Rotation of Auditors non-compliance reports from 2018-2022 were generated and analysed to provide informed decision to investigators in order to initiate pro-active investigations. Trends of auditors rotation non-compliance will be monitored by the investigators to ensure that compliance is achieved.

Table 17: Types of contraventions of complaints received in Q3

Types of contraventions	Number
Directors misconduct	16
Unauthorised removal of director	11
Unauthorised appointment of director	9
Access to company records	9
Resigned as director but still appears on company records	7
Reckless trading	4
False information filed	2
Unauthorised changes of a member	2
Company records not updated	1
False financial statements	1
Shareholders rights	1
Financial Statements not prepared	1
Inconsistent with the MOI	1
Grand Total	65

Figure 15: Types of contraventions on the complaints received in Q3



(v) IP Enforcement

See Section 8 for a detailed Copyright and IP Enforcement Report.

2.1.4 Education and Awareness

(i) Corporate Education and Voluntary Compliance

Quarter 1

The unit participated in 6 events and 16 webinars on invite during the quarter. On 27 June 2022, the unit participated in a Deputy Minister Information Sharing Session at the eDumbe Local Municipality in Kwa Zulu Natal. During the event, a presentation was made on CIPC products and services, and the public was assisted with CIPC services. Included in the total number of webinars were ten webinars hosted by the Presidency for Women in Business in which the unit participated.

Service provider was appointed to support the eLearning platform to correct challenges that makes it difficult for customers to use the system.

Quarter 2

During Quarter 2 the unit participated in 7 events and 10 webinars on invite. Included in the webinars on invite, one webinar was hosted by *the dtic* in collaboration with the SA Chamber of Commerce and Industry and seven webinars were hosted by the Presidency for Women in Business. On 27 September 2022, the unit hosted a Co-operative Director Changes webinar.

Quarter 3

During the quarter the unit participated in 5 events and 7 webinars on invite. Included in the number of webinars on invite were 3 webinars hosted by the Presidency for Women in Business. The unit also did a presentation regarding CIPC products and services during a webinar with SANSA (SA National Space Agency). The unit also hosted 3 webinars.

(ii) IP Education and Awareness

Quarter 1

During this reporting period, the IP education and awareness unit held at 20 (twenty) IP sessions, the sessions were both virtual and physical. It was during this quarter that the unit forged a strategic partnership with National Youth Development Agency and at least two sessions were held which allowed CIPC to disseminate IP information to the youth from nearby townships such as Atteridgeville, Mamelodi, Soshanguve and Hammanskraal. The audience consisted of young women who were encouraged to invade the entrepreneurial space using IP as a tool.

Other sessions, which were technical in nature, were held with the federations and organizations representing film producers to encourage film applications and registrations.

Quarter 2

During this reporting period, IP education and awareness unit successfully held 18 (eighteen) IP sessions. The sessions were both physical and virtual. It was during this quarter that IP education and awareness unit revived its partnership with South African Agency for Science and Technology Advancement (SAASTA). SAASTA was able to bring high school learners in the subject of mathematics and science and this enabled CIPC to provide the learners with information on IP careers especially that learners learning mathematics and science.

Again, partnership with the University of Limpopo further provided the students in the field of communications and library studies to be exposed to the CIPC offerings around intellectual property.

Quarter 3

Quarter three reporting period showed considerable positive response from the various stakeholders, partners and the industry sector organizations to have intellectual property education and awareness sessions.

New strategic partnerships were forged with Africa Film Drama Art College (AFDA), National Youth Development Agency (NYDA), Goldfields Tvet College and Academy of Sound Engineering (ASE). NYDA in particular was so strategically important to enable the Intellectual Property Education and Awareness unit to reach the youth from the black townships thereby ensuring that CIPC continues to contribute to the District Development Model as one of the dtic's priorities.

Of great importance during this reporting period was also the copyright session conducted with the AFDA which brought the graduates in different field of the creative sector. It is our belief that graduates in different field of the creative sector will potentially establish companies which own

copyright and eventually become even employers and alleviate the rampant unemployment situation in the country.

In total, the Intellectual Property Education and Awareness unit held 21 (twenty-one) sessions during this reporting period.

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

(i) Client Engagement and E-communication

Table 12: Customer Contact: Call centre, QRS, and Social Media shows overall performance of the customer contact platforms.

Table 18: Customer Contact: Call centre, QRS, and social media

Platform	Number	Quarter 1	Quarter 2	Quarter 3
<i>Call centre</i>	Calls received	Not Determinable	Not determinable	47 156
	Calls answered	33 633	33 945	37 791
	Calls abandoned	Not determinable	Not determinable	9 322
	% calls answered	Not determinable	Not determinable	83%
<i>Query Resolution System</i>	Queries received	40 484	41 354	36302
	Queries closed	39 381	38 178	34 508
	Queries closed within 10 days	95%	93%	91%
<i>Facebook</i>	Queries received	12 000	11049	10596
	Queries resolved (%)	10 000	10471	8742 (83%)
<i>Twitter</i>	Queries received	3600	4144	3350
	Queries resolved (%)	2800	3295	2453 (73%)

Quarter 1

The Call centre answered 33 633 calls during Quarter 1. This is an increase of 5 053 calls answered for the quarter in comparison to Quarter 1 of 2021/22. One of the reason for the increase is the appointment of 4 new staff members during Q2 (2 staff members) and Q3 (2 staff members) of the 2021/22 financial year.

Customers logged 40 484 tickets during Quarter 1 of the financial year on the Query Resolution system. This is an increase of 1923 tickets in relating to the first quarter of 2021/22 financial year. Ninety five percent of tickets received, where closed within the 10 days turnaround time.

Social media queries received during the reporting period aggregated to 15 600, and 12800 queries were resolved, i.e., 82% of the received queries. Facebook received more queries than Twitter. Similarly, Majority of responded queries were from Facebook, as opposed to Twitter. The average turnaround time for Facebook was 5h 2m, and Twitter was 4h 19m.

Quarter 2

During Q2, the call centre answered 33 945 calls. It stays consistent with the number of calls answered during Q1.

A total of 41 354 tickets were logged on the Query Resolution system during Q2. The percentage of tickets responded to within the turnaround time dropped with 2% from Q1 to 93%.

The number of social media queries amounts to 15193, of which 13766 (i.e., 90.6%) were responded within the service turnaround time. The performance increased by 8.6% compared to the last quarter. The latter also takes into account the improved turnaround time for Twitter and Facebook queries.

Quarter 3

The cloud based call centre system was implemented on 26 September 2022. This implementation ensures more accurate statistics and improvement in the customer service. During Q3, a total number of 47 156 calls were offered, and 37 791 calls answered. This amounts to 83% of calls answered. The number of calls increased with 3836 calls in comparison to Q2.

Customers logged 36 302 calls during Q3. The number of calls decreased with 5052 in comparison with Q2. The closure of CIPC during the Festive Season has an influence of the number of tickets logged. The percentage of tickets responded to within the turnaround time decreased with 2% from Q2 to 91%.

The number of social media queries received amounted to 13946, and a total of 11195 queries were responded within 24 hours. Facebook responses account for 83%, whereas Twitter response rate amounted to 73%. On average, Facebook response turnaround time was 4h25m and Twitter response turnaround time was 5h46m.

(ii) Service centres

Table 19: Self Service Centers' (Pretoria, Johannesburg, and Cape Town) Traffic – Quarter 1 & 2

	Quarter 1				Quarter 2			
	Pretoria	Johannesburg	Cape Town	TOTAL	Pretoria	Johannesburg	Cape Town	TOTAL
Company Registrations	732	1640	2235	4607	1126	1620	2257	5003
Create Customer Codes	1083	1715	2229	5027	1451	1778	2216	5425

	Quarter 1				Quarter 2			
	Pretoria	Johannesburg	Cape Town	TOTAL	Pretoria	Johannesburg	Cape Town	TOTAL
Re-set Password	1159	334	2088	3581	1552	712	1558	3822
Name Reservations	207	559	2091	2857	105	892	1728	2725
Annual Returns	2586	1636	1868	6090	3068	2882	2386	8336
IP	472	170	79	721	908	164	162	1234
Director Amendments	88	51	113	252	501	442	214	1157
Member Amendments	0	33	20	53	0	111	71	182
Auditor & ACC Officers	0	0	0	0	0	0	0	0
CO & CC address	102	155	4	261	285	149	57	491
Cert and Disc	453	1013	153	1619	1370	1168	523	3061
Ent Enquiry	496	1093	911	2500	1687	1333	1149	4169
Name Change	173	125	214	512	101	188	160	449
Name Transfer	0	9	10	19	0	3	22	25
Customer Transactions	587	0	0	587	1430	0	48	1478
General/Other	916	1738	2072	4725	1920	1551	1969	5440
Walk-in's	9094	10271	14087	33452	15484	12994	14264	42742

**There was a significant increase in self-service centre clients (28%) in comparison to the first quarter, which indicates the return of transactional normality that was disrupted by the Covid-19 pandemic*

Quarter 3

Table 20: Self-Service Centers' (Pretoria, Johannesburg, Cape Town) Traffic - Quarter 3

	Quarter 3			
	Pretoria	JHB	Cape Town	TOTAL
Company Registrations	664	1051	1082	2797
Create Customer Codes	1337	1253	1070	3660
Re-set Password	1337	569	650	2556
Name Reservations	0	468	902	1370
Annual Returns	2277	2178	1635	6090
IP	721	108	44	873
Director Amendments	290	304	118	712
Member Amendments	0	55	27	82
Auditor & ACC Officers	0	0	0	0
CO & CC address	98	166	47	311
Cert and Disc	1875	845	305	3025
Ent Enquiry	1891	953	417	3261
Name Change	64	108	73	245
Name Transfer	0	16	10	26
Customer Transactions	1932	0	48	1980
General/Other	2375	1230	865	4470
Walk-in's	14948	9003	7346	31297

2.1.6 Disclosure

Table 21: Paper Based Disclosure Production Stats

	Q1	Q2	Q3
Disclosure Request received	4405	1587	
Received plus carried over	4603	1428	
Disclosure request completed	4223	1626	
Outstanding tickets	380	160	
Disclosure request billed	2462	1222	

Table 22: State Department – Disclosure Billing Statistics

	Q1	Q2	Q3
Disclosure Request Received	2030	1043	2340
Disclosure Request received plus carried over	2736	1322	2474
Disclosure Requests completed	2053	476	2261
Duplicate requests	113	34	28
Outstanding	683	846	113

The new website changes and processes had impact on Q2 and Q3 performance.

Table 23: Disclosure Query Resolution

	Closed within TAT	Closed outside TAT	Total tickets closed for the quarter	%Inside TAT	% outside TAT	Average TAT
Q1	3223	802	4025	80.1	19.9	8,7 days
Q2	3345	1286	4631	72.2	27.8	13,2 days
Q3	2811	1275	4086	68.8	31.2	15,5 days

2.1.7 Modernisation, Automation and Channels

The CIPC channels in place are e-services website, self-service centres (SSCs) and partner sites (self-service terminals (SSTs)), BizPortal, which includes the Banks (FNB, Nedbank, Standard Bank, ABSA, and SASFIN), Mobile App, the call centre, the resolution system (QRS), as well as social media (Facebook, Twitter, You Tube and Telegram). The CIPC multi-channel strategy seeks to extend the CIPC footprint nationally and globally by the development and expansion of multiple channels, more so for virtual channels.

Table 16: CIPC Channels & services offered show services offered in each channel.

Table 24: CIPC Channels and services offered.

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

Services/Channels	E-service Website	SSCs Partner and Sites (SSTs)	Banks (FNB, Nedbank, ABSA)	BIZPORTAL
Disclosures- MOI Documents	Yes	Yes	No	No
Disclosures -Approved names	Yes	Yes	No	No
Queries	No	No	No	No
Information access	Yes	Yes	Yes	Yes
Annual Returns filing	Yes	Yes	No	Yes
AFS filing	Yes – XBRL portal	No	No	No
Name transfer	Yes	Yes		

Table 25: Partner Sites show the CIPC partner sites where self-service terminals (SSTs) are hosted:

Table 25: Partner sites

Province	Partner
Gauteng	Gauteng Department of Economic Development (GDED) (Contract ended 06/09/2020)
Gauteng	InvestSA Gauteng Growth and Development Agency (GCDA) (Contract ended 04/04/2021)
Gauteng	Transnet Enterprise Development Hub in Johannesburg, (Contract ended 23/04/2021 in negotiations to renew since January 2021)
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 (Contract ended 25/04/2022)
Western Cape	West Coast Business Development Centre (WCBDC),
Western Cape	InvestSA in the Western Cape (Contract ended 16/08/2021)
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). (Contract ended 07/05/2020)

The multi-channels strategy is geared towards availing the CIPC products and services 24/7.

Table 26: Channels and Services Available 24/7 shows the CIPC channels and service available 24/7.

Table 26: 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 Director amendment Member amendment Name transfer Disclosure certificate Auditor changes Enterprise enquiry MOI documents
2. CIPC Mobile App	Company registration Company name reservation Annual Returns BB-BEE certificate Booking Disclosure Certificates Shopping Cart
3. BizPortal & Banks	Company Registration Company name reservation Domain Name Registrations BB-BEE certificate Company and close corporation address changes Company name change Company and Close Corporation Annual Returns
4. SSTs (8hrs Monday to Friday)	Company Registration Company name Reservation Company and close corporation address changes BBBEE Certificates Annual Returns Amend Company Director Details Amend CC Member Details Certificates and Disclosures Enterprise Enquiry Name Changes

Channels available 24/7	Services available 24/7per channel
	Customer Transactions Name Transfer
5. Emails	Electronic Filling (Prospectus, Independent Review and Reportable Irregularity) Company registration Company associated name reservation MOI Changes Close corporation to company conversions External company registrations Merger and amalgamations MOI Amendments Company location of company record changes Voluntary deregistration Voluntary and court order liquidations Business Rescue Proceedings, Status reports, Substantial Implementations, Terminations and court orders relating to business rescue Company and close corporation reinstatements

Quarter 1

During the third quarter term, the organisation introduced Artificial Intelligence through a ChatBot on its website. The bot is being refined in the fourth quarter and phase 1 of three is being piloted. The idea is to have phase 2 of three implemented in the first quarter of 2022/3. The implementation of the second phase of the bot is being halted while the organisation is implementing an updated telephony system, which enables seamless contact and communication through modern tools and soft phone functionality.

All efforts are being directed to an enhance electronic filing platform and within the second quarter of the year the organisation will be making announcements about the enhancement of all electronic channels i.e. the BizPortal and the e-services platform.

In the last term, the organisation hosted a SADC virtual conference with registries from within the SADC region the SADC sub-region, viz. Mozambique, Angola, e-Swatini, Malawi, Zimbabwe as well as delegates from the Indian Ocean Islands of Seychelles and Mauritius and delegates from Nigeria and Gambia. Speakers came from Botswana (CIPA), Namibia (BIPA and the Revenue Agency), Mauritius (Registrar of Companies), Lesotho (OSFC), Kenya (Kenya Anti-Counterfeiting Authority) that shared their respective registries and countries' experience of adapting to new ways of conducting business as a consequence of the Covid-19 Pandemic. Topics of discussion included the use of technology to improve compliance, progress towards the development of beneficial ownership repository and intellectual property enforcement in the digital environment. The delegates shared best practices and innovation triggered by the eruption of the Covid-19 Pandemic.

Quarter 2

The Commissioner launched enhancements to the BizPortal and an updated transactional e-services site, which will be released once stability is achieved with the Department of Home Affairs integration. CIPC plays an integral role in the second phase of InvestSA/World Bank reduction of red tape programme, which was launched in September this year.

CIPC was honoured to be awarded the GovTech Innovation award for large companies earlier this month.

The ChatBot pilot is being expanded using different software and through an internal process whereby senior technical people are equipping a small cross-functional team to build an expansive chat function.

The CIPC is constantly expanding its business support function and is in the process of signing an agreement with a startup business that offers address enhancement functions to have these services under its Bizsupport offering on BizPortal.

Quarter 3

The enhancement of Bizportal and e-services continued as delays were experienced in the second term. The planned release date had been moved to 19 December 2023.

The organisation has been honoured to share its modernisation journey with fellow regulators such as the National Lotteries Commission and has been asked by the Financial Sector Conduct Authority to assist in its journey to navigate towards a digital transformation strategy.

Quarter 1

Table 27: Progress Report on Migration to New E-services

SERVICE	Quarter 1	Quarter 2	Quarter 3
<i>Customer registration</i>	100%	Completed. Pending release	Completed. Pending release
<i>Customer login</i>		Completed. Pending release	Completed. Pending release
<i>Password reset</i>	100%	Completed. Pending release	Completed. Pending release
<i>Foreigner verification</i>	100%	Completed. Pending release	Completed. Pending release
<i>Private company registration</i>	100%	Completed. Pending release	Completed. Pending release
<i>Non-profit company registration</i>	100%	Completed. Pending release	Completed. Pending release
<i>Proposed name reservation</i>	100%	Completed. Pending release	Completed. Pending release
<i>Defensive names</i>	100%	Completed. Pending release	Completed. Pending release

SERVICE	Quarter 1	Quarter 2	Quarter 3
<i>Proposed name extension</i>	100%	Completed. Pending release	Completed. Pending release
<i>Proposed name transfer</i>	100%	Completed. Pending release	Completed. Pending release
<i>Company name changes</i>	100%	Completed. Pending release	Completed. Pending release
<i>Company director amendments</i>	100%	Completed. Pending release	Completed. Pending release
<i>Close corporation member amendments</i>	100%	Completed. Pending release	Completed. Pending release
<i>Company & CC annual returns</i>	100%	Completed. Pending release	Completed. Pending release
<i>Company & CC address changes</i>	100%	Completed. Pending release	Completed. Pending release
<i>Company share changes</i>	100%	Completed. Pending release	Completed. Pending release
<i>PI score calculator</i>	100%	Completed. Pending release	Completed. Pending release
<i>FAS</i>	100%	Completed. Pending release	Completed. Pending release
<i>AFS</i>	100%	Completed. Pending release	Completed. Pending release
<i>AFS downloads</i>	100%	Completed. Pending release	Completed. Pending release
<i>Certificates downloads</i>	100%	Completed. Pending release	Completed. Pending release
<i>Financial year end changes</i>	100%	Completed. Pending release	Completed. Pending release
<i>Company auditor changes</i>	100%	Completed. Pending release	Completed. Pending release
<i>Enterprise search</i>	100%	Completed. Pending release	Completed. Pending release
<i>B-BBEE certificates</i>	100%	Completed. Pending release	Completed. Pending release
<i>Compensation fund & UIF registration</i>	100%	Completed. Pending release	Completed. Pending release
<i>Business bank accounts</i>	100%	Completed. Pending release	Completed. Pending release
<i>POPIA [Phase 1]</i>	100%	Completed. Pending release	Completed. Pending release
<i>Card payments</i>	100%	Completed. Pending release	Completed. Pending release
<i>Co-operative annual returns</i>	Q3	Q3	Q3
<i>Business rescue</i>	Q4	Q4	Q4
<i>Compliance Checklist</i>	100%	Completed. Pending release	Completed. Pending release
<i>Back-office & Workflow</i>	Ongoing	Completed. Pending release	Ongoing

2.2 Organizational Environment

2.2.1 Governance, Compliance and Risk

See Section 4.

2.2.2 Investigations and Anti-corruption

See Section 4.

2.2.3 Industrial/Labour relations issues

Table 28: Labour Relations Issues

	Quarter 1	Quarter 2	Quarter 3
<i>Misconduct cases under investigation</i>	1	0	0
<i>Misconduct cases at a disciplinary hearing stage</i>	3	3	3
<i>Warnings</i>	0	1	0
<i>Grievances finalised</i>	0	0	1
<i>Labour disputes at CCMA</i>	4	3	3
<i>Labour disputes at GPSSSBC</i>	1	1	1
<i>Labour disputes at Labour Court stage pending</i>	5	6	6

2.2.4 Appointments, Resignations, Retirements, Terminations

Table 29: Appointments, Resignations, Retirements and Terminations

	Quarter 1	Quarter 2	Quarter 3
<i>Appointments</i>	4	6	7
<i>Resignations</i>	3	5	6
<i>Retirements</i>	1	2	3
<i>Terminations</i>	0	0	0

2.2.5 Discontinued activities / activities to be discontinued.

None.

2.2.6 New or proposed activities

None.

2.2.7 Facilities and Security

Quarter 1

Compliance to Miss and PFMA (Loss Control Policy) - policy draft is complete and will be sent for further perusal to the Executive Manager: Corporate Service prior to tabling at Labour, Manco, etc.

Compliance to MISS and PFMA (CCTV system) - Procurement process underway with RFQ sent out on the 04 July 2022 and closed 08 July 2022.

Procurement process was ceased due to inflated price of the project, and an internal decision was made to go out on tender to include all 3 SSC's and source a service provider who will conduct both the installation and monitor the CCTV camera systems.

Compliance to MISS and PFMA (Physical Security) (OPS) - Security appraisal report was sent to the "the dtic" for implementation. Implementation meeting were held with the "the dtic", SAPS, and CIPC and Variation order will be triggered with Rainprop/Broll. **The implementation is dependent on the "the dtic" and Broll.**

A VO was triggered by the "the dtic" and the implementation is expected to be finalized by the 22 November 2022.

Appointment of security guarding service (Johannesburg) - National Treasury issued an instruction to advertise a tender. Thus, a normal procurement (RFQ) processes are underway and currently at the evaluation stage.

A new security guarding service was appointed to render guarding services for a period of 12 months, effective from 02 August 2022 to 01 August 2023.

Appointment of security guarding service (Pretoria SSC) - BAC approved the ToR and submission requesting for permission to advertise a tender.

SCM advised Facilities to follow the RFQ process due to the term of the lease agreement, which is due on the 31st of January 2024. Thus, the option for tender has been halted while the RFQ process is underway.

Appointment of security guarding service (Cape Town) - BAC approved the terms of reference and submission requesting permission to advertise the tender.

SCM advised Facilities to follow the RFQ process due to the term of the lease agreement, which is due on the 31 March 2023. Thus, the option for tender is halted and the RFQ process is underway.

Compliance to OHS Committee - Committee members were nominated accordingly with training underway and expected to be finalised on the 14th of July. The first awareness programme is scheduled for the month of July, and first aid boxes have been installed accordingly.

All schedule training sessions were finalized accordingly and monthly awareness programmes are being conducted.

Compliance with facilities and accommodation services - Normal procurement (RFQ) processes are underway and currently at the evaluation stage. The first RFQ process was unsuccessful, thus the procurement was re-start. The procurement is anticipated to be finalized in the next week.

Nsudeng Cleaning Service was appointed to render cleaning services within the JHB SSC for a period of 36 months, effective from the 01st of August 2022 to the 31st of July 2023, amounting to **R898,013.99**.

Compliance with facilities and accommodation services: ToR have been completed and procurement processes (RFQ) are underway with invites scheduled to be sent out in the next week.

The current lease agreement with Tshipembe Mzansi was extended by 1 month to compensate for the period in June where the office was closed due to Covid-19, at no additional cost. Procurement for a new service provider is underway.

Katanga Parking Contract: The procurement process was initiated, but due to contractual issues between Rainprop (Landlord), Broll (Facilities Service provider appointed by Rainprop) and the "the dtic" procurement processes were halted until further notice.

The CIPC was issued with a confirmation letter of appointment from Broll and advised to pay and conduct all future parking procurement processes with Broll. Procurement processes are underway.

Quarter 2

Compliance to MISS and PFMA (CCTV system) – The procurement process was ceased due to the inflated price of the project, while an internal decision was made to go out to tender with the intention of including all 3 SSC's to source a service provider to conduct both the installation and monitoring of CCTV camera systems, including for building block "F".

Whilst waiting for the tender process to run its course, a decision was made to procure via a CCTV service provider repair services for the JHB and Cape Town CCTV camera systems. The procurement process went ahead as the RFQ was sent out on the 04th of July 2022 and closed on the 08th of July 2022.

Compliance to MISS and PFMA (Physical Security) (OPS) - A VO was triggered by the "the dtic" with the intention of implementing the recommendation from the security report. Implementation is expected to be finalized by the 22nd of November 2022.

Appointment of security guarding service (Johannesburg): A new security guarding service provider (i.e., Insingizi MNS Security) was appointed to render guarding services for a period of 12 months, effective from the 02nd of August 2022 to the 01st of August 2023, amounting to **R766,020.00**.

Appointment of security guarding service (Pretoria SSC) - SCM advised Facilities to follow the RFQ process due to the term of the lease agreement, which is to end on the 31st of January 2024. Thus, the option to go to tender was halted while an RFQ process is underway.

Appointment of security guarding service (Cape Town) - SCM advised Facilities to follow the RFQ process due to the term of the lease agreement, which is to end on the 31st of March 2023. Thus, the option to go to tender was halted while an RFQ process is underway.

Compliance to OHS Committee - All scheduled training sessions were finalised accordingly and monthly awareness programmes are being conducted.

Compliance with facilities and accommodation services: - Nsudeng Cleaning Service was appointed to render cleaning services at the JHB SSC for a period of 36 months, effective from the 01st of August 2022 to the 31st of July 2023, amounting to **R 898,013.99**.

Compliance with facilities and accommodation services: - The current lease agreement with Tshipembe Mzansi was extended by 1 month to compensate for the period in June where the office was closed due to Covid-19, at no additional cost. Procurement for a new service provider is underway.

Katanga Parking Contract: Finally, a procurement process is underway to appoint Broll as a parking management service provider. The CIPC was issued with a confirmation letter of appointment from Broll as the parking management service provider within the campus.

Quarter 3

Compliance to MISS and PFMA (CCTV system) – Price negotiations with service provider (PHESA Technologies) were successful with the project (installation of camera in building block “F”) scheduled to be completed on the 20th of December 2022. The CCTV camera system for CIPC Cape Town SSC was repaired and is functioning accordingly. Repairs at Johannesburg SSC are scheduled for the 15th of December 2022.

Compliance to MISS and PFMA (Physical Security) (OPS) – The timeline for implementation of the SAPS security assessment report (Access Control Security Measures) project was adjusted by the “the dtic” to April 2023.

Appointment of security guarding service (Johannesburg): Service provider was appointed in Q2.

Appointment of security guarding service (Pretoria SSC) – YV Security was appointed to render security guarding services for a period of 12 months, amounting to **R579 999.96**.

Appointment of security guarding service (Cape Town) – The procurement process was unsuccessful due to non-compliance or a lack of response from bidders. A new procurement process was initiated and underway.

Compliance to OHS Committee - All Safety Committee Members were trained in their respective duties, and monthly awareness programme are being conducted.

Compliance with facilities and accommodation services JHB SSC): - Nsudeng Cleaning service was appointed to render cleaning services within the JHB SSC for a period of 36 months, effective from the 01 August 2022 to 31 July 2023 at an amount of **R 898,013.99**.

Compliance with facilities and accommodation services (Pretoria SSC): - Nsudeng Cleaning service was appointed to render cleaning services within the JHB SSC for a period of 14 months, effective from the 01 December 2022 to 31 January 2024 at an amount of **R328 515.00**.

Katanga Parking Contract: A 24 months' procurement process was finalized and approved and service level negotiations are underway. The contract is expected to end on the 31 September 2023 amounting to **R460,004.52**.

2.2.7 Media analysis/campaign/strategies

Quarter 1

The CIPC has been making efforts to build and maintain its reputation as a credible and reputable registrar and regulator of companies. Efforts to build and protect our reputation are related to media management.

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

Proactive news sharing

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

April 2022

1. THE CELEBRATION OF WORLD INTELLECTUAL PROPERTY DAY ON 26TH APRIL 2022

The CIPC, NIPMO, the dtic, DSI, the University of Mpumalanga (UMP), TIA and SEDA hosts the World Intellectual Property Day on the 26th of April 2022 celebrations.

May 2022

2. CIPC HOSTS THE SADC COMPANIES REGISTRIES' AND IP ENFORCEMENT AGENCIES CONFERENCE

The Companies and Intellectual Property Commission (CIPC), responsible for company registrations and the protection of Intellectual Property hosts a Southern Africa's Development Community (SADC) Companies Registries' and Intellectual Property enforcement agencies' virtual Conference on Tuesday, the 17th of May 2022, under the theme: ***the agility of Companies and IP Registries within the context of the Covid-19 pandemic.***

June 2022

3. CIPC REMINDS BUSINESS PRACTITIONERS OF THEIR DUTY TO FILE AFS THROUGH XBRL

The CIPC reminds business entities and business practitioners of the requirement to file their Annual Financial Statements (AFS) through eXtensible Business Reporting Language (XBRL).

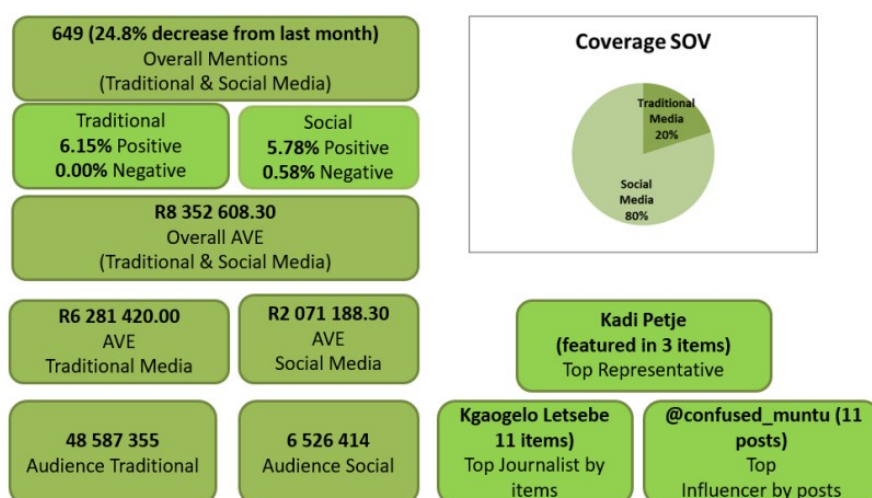
Media coverage: April to June 2022

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

Media monitoring includes “traditional” media such as print, broadcast and online as well as “new” media such as blogs, social media sites, etc. Table 22 below, illustrates media coverage in April 2022.

Figure 16: Media Coverage Overview

1. Media Coverage Overview



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

In the period under review, coverage in both traditional and social media was mostly neutral in tone. As expected, company registration matters had the most neutral mentions across social and traditional media platforms. There were also social media mentions linked to the CIPC website being down.

The World Intellectual Property Day celebrations drove discussion in both traditional and social media. Other positive coverage in traditional media involved the CIPC's partnership with the National Small Business Chamber (NSBC).

Negative remarks only came from social media: @DalitsoChandi who complained about problems with filing of AFS.

There is no media monitoring coverage for May as the department was transitioning between service providers. The term for the previous provider ended at end April and the new provider started in June.

June media coverage

Traditional Media

In June 2022, the Companies and Intellectual Property Commission generated 168 traditional media items with a combined advertising value equivalent (AVE) of R13 164 110 and an estimated reach of 10 478 773.

Print media generated 84 articles (50%); broadcast generated 2 media clips (1%) and online 82 articles (49%). Of these, 9% (15 items) were positive, 87% (147) were neutral and 4% (6) were negative.

Social Media generated 955 items with a combined advertising value equivalent (AVE) of R2 832 197 and an estimated reach of 5 649 809. Of these items, 27% (255 clips) were positive, 66% (629) were neutral, 0% (2) were mixed and 7% (69) were negative.

Prominent coverage highlights were:

- How to play in the township economy. "SSMEs, cooperatives, and start-ups must be registered with the Companies and Intellectual Property Commission"
- What important points to look at if a trust holds a CC membership. "Because a trust is not a legal person, the trustees will be the member of the close corporation, not the trust. In the case of multiple trustees, an originally signed special power of attorney by each of the trustees appointing one of them as the representative of the trustees for purposes of holding and dealing with the members' interests in the CC has to be lodged with CIPC"
- To create a world-class supply chain, the SA logistics industry needs a better, faster Know Your Customer. "Businesses in the logistics sector can action CIPC and credit searches, verify whether individuals appear on the worldwide PEP and sanctions lists – and have all this information integrated into one convenient report"
- When should a company consider business rescue? "The decision to seek business rescue can either come from within the company, such as a decision by the board or directors, or from outside advisors or lenders. When a company makes this decision, they will usually start by going to their attorneys who will guide them through the rest of the process and draft a resolution which will be filed with the Companies and Intellectual Property Commission (CIPC)".

Quarter 2

Media Report: July – September

The CIPC has been making efforts to build and maintain its reputation as a credible and reputable registrar and regulator of companies. Efforts to build and protect our reputation are related to media management.

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

1. Proactive news sharing

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

CONTRAVENTION OF SECTION 33 OF THE COMPANIES ACT BY PUBLIC COMPANIES

Filing of Financial Accountability Supplements instead of Audited Annual Financial Statements during the period 01 April 2020 to 31 March 2021

On 01 July 2018, the Companies and Intellectual Property Commission (CIPC) mandated Extensible Business Reporting Language, which is a digital financial reporting mechanism for companies to file audited annual financial statements (AFSs) in an electronic format.

COMPLIANCE NOTICE ISSUED TO NOVA PROPGROW GROUP HOLDINGS LTD

Inter-Regulator Investigation Following Failure to Satisfy the Commission from a Notice to Show Cause Regarding Reckless Trading or Trading Under Insolvent Circumstances.

Nova Propgrow Group Holdings Ltd, Reg. No. 2011/003964/06 (herein after referred to as NOVA) has been a subject of an investigation for identified and possible contraventions of the Companies Act 71, of 2008 (as amended) (herein after referred to as 'the Companies Act').

COMPANIES REGULATOR HOSTS THE BIZPORTAL ENHANCEMENT LAUNCH ON THE 19TH OF AUGUST 2022

The Companies and Intellectual Property Commission (CIPC), responsible for the registration and maintenance of companies as well as the protection of Intellectual Property will host, in partnership with the World Bank Group and InvestSA, a launch of additional services to its BizPortal company registration platform on the 19th of August 2022 at the Regency Hotel in Menlyn, Pretoria from 8:30 (for 9:00) until 12:00 midday.

Radio Interviews

Patents and Designs Unit participated in an X-K FM program and focused on "Understanding the Patent System" on 27 August 2022 through an invitation. X-K FM is a local SABC radio station targeting the San people of Platfontein in the Northern Cape to preserve the !Xu and Khwe cultures, uplifting, developing and informing the communities.

2. Media Monitoring

Media monitoring also enables the organisation to determine the Advertising Value Equivalent (AVE) for the CIPC. Advertising Value Equivalent (better known as AVE) is the monetary value of what it would cost to place your editorial content as an advert. It was created to give Public Relations (PR)

professionals a measurable context in the communications and marketing sphere, originally comparing it against brand advertising. An arbitrary multiplier is often applied, justified on the basis that editorial content has greater credibility and is valued more by consumers than advertising space.

Media monitoring includes “traditional” media such as print, broadcast and online as well as “new” media such as blogs, social media sites, etc.

July – September media analysis report

In July to September 2022 quarter, the Companies and Intellectual Property Commission generated 331 traditional media items with a combined advertising value equivalent (AVE) of R26 million and an estimated reach of 19 million.

Print media generated 86 articles, online 242 articles, and 3 broadcast clips. Of these, 21% were positive, 78% were neutral and 1% were negative.

Social Media generated 4 424 items. Of these items 8% were positive, 83% were neutral and 9% were negative.

Prominent coverage highlights were:

- 2021 CIPC independent review survey
- CIPC returns to the Finance Indaba 2022
- Luxury golf estate faces criminal charge for not playing by Companies Act rules
- Cabinet also approved the appointment of Advocate Rory Voller as the commissioner for the Companies and Intellectual Property Commission
- Are you a foreigner intending on establishing a business presence in South Africa?
- Treasury tables bill to tackle money laundering
- Investor confidence gets fillip with arrests of more Transnet former execs
- Registration labour and tax: The most important compliance requirements for new small businesses
- Accelerate your small chemicals business to success
- Court will decide on BATTLE between Nova and Sharemax
- South Africans called on to apply for funding to build South Africa’s hydrogen economy.
- SIU investigating dodgy Lottery grants worth over R1.4bn
- Parliament Seeks Comment on Anti-Money Laundering Bill
- Last chance to accelerate your small business
- The legal and regulatory requirements of offshore trust reporting
- Why SA courts are quick to declare dishonest directors of NPCs delinquent

- Four accused appear in court for R61 million fraud
- #ImStaying is still around – but the money's gone
- Tourism KwaZulu – Natal enterprise development programme applications open.

Quarter 3

The CIPC has been making efforts to build and maintain its reputation as a credible and reputable registrar and regulator of companies. Efforts to build and protect our reputation are related to media management.

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

October media coverage

Traditional Media

In October 2022, the Companies and Intellectual Property Commission generated 110 traditional media items with a combined advertising value equivalent (AVE) of R6 938 218 and an estimated reach of 6 088 980.

Print media generated 28 articles (25%) and online 82 articles (75%). Of these, 12% (13 items) were positive, 87% (96) were neutral and 1% (1) was negative.

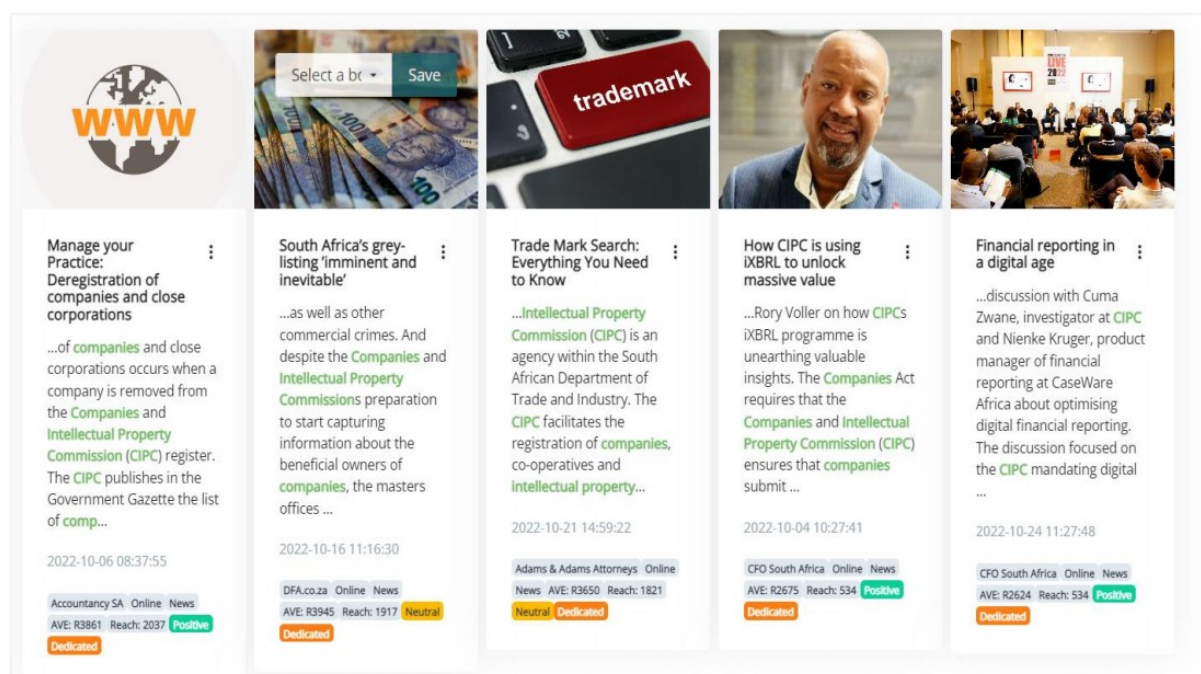
Social Media

Social Media generated 1 278 items with a combined advertising value equivalent (AVE) of R3 822 176 and an estimated reach of 5 553 677. Of these items 14% (184 clips) were positive, 79% (1 010) were neutral, 1% (7) were mixed and 6% (77) were negative.

Prominent coverage highlights were:

- Bain's banning: Inconsistency creates confusion lack of meaningful accountability
- Company liquidations soar 45% as many too slow to benefit from business rescue
- R27 Million Paid to Suspected ANC Front Company Established On 1 July 2022
- Mandatory registration requirement in money-laundering and terrorist financing bill will badly hurt SA non-profits
- Collapsed RCL BEE deal forces R230m bailout
- State wants integrated data system on beneficial ownership
- 751 black livestock farmers fast-tracked to commercial status
- Tongaat Hulett forced into business rescue.

Figure 17: CIPC Media Coverage



November media coverage

Traditional Media

In November 2022, the Companies and Intellectual Property Commission generated 108 traditional media items with a combined advertising value equivalent (AVE) of R6 299 900 and an estimated reach of 5 836 474.

Print media generated 20 articles (19%) and online 88 articles (81%). Of these, 4% (4 items) were positive and 96% (104) were neutral.

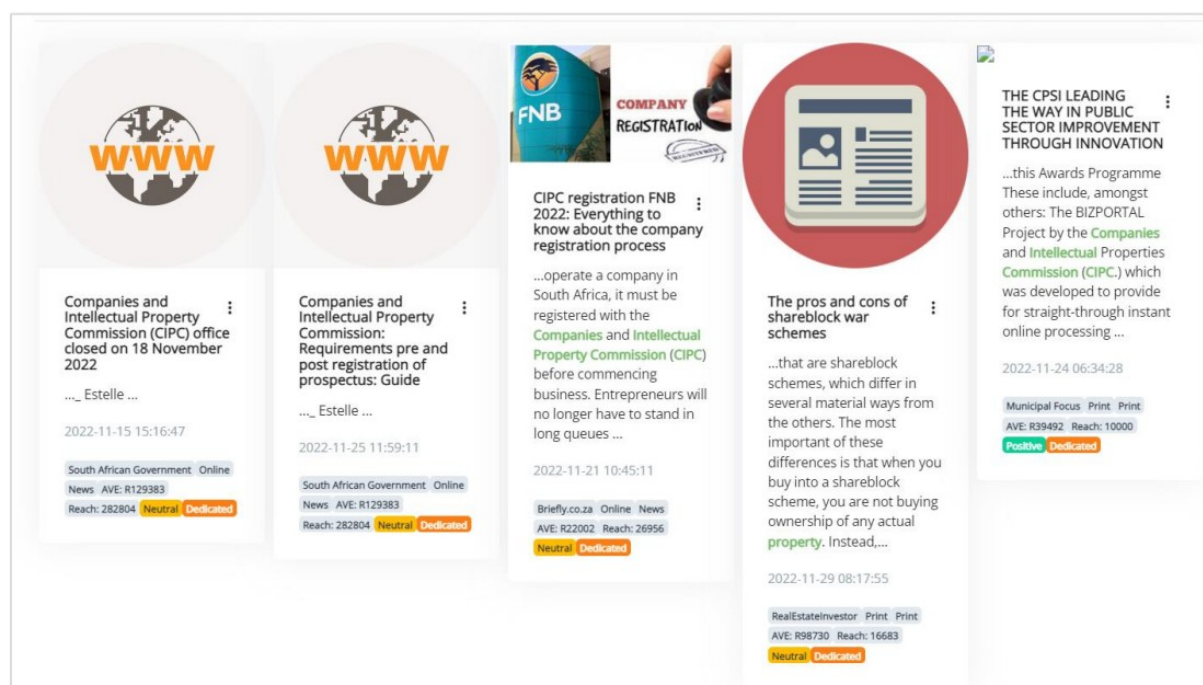
Social Media

Social Media generated 1 176 items with a combined advertising value equivalent (AVE) of R3 551 413 and an estimated reach of 5 316 228. Of these items 3% (41 clips) were positive, 94% (1 109) were neutral, 1% (4) were mixed and 2% (22) were negative.

Prominent coverage highlights were:

- Army of fake companies used to defraud the Lottery
- How companies could protect themselves against hijacking
- NA gives green light to Anti-Money Laundering Bill
- Background checks are worth their weight in gold in the mining sector
- Business rescue is 'not the end' for 130-year-old company's operations
- Gold Fields announces termination of Arrangement Agreement with Yamana
- Markus Jooste has yet to pay the piper.

Figure 18: CIPC Media Coverage



December media coverage

Traditional Media

In December 2022, the Companies and Intellectual Property Commission generated 68 traditional media items with a combined advertising value equivalent (AVE) of R2 823 266 and an estimated reach of 3 091 2494.

Print media generated 5 articles (7%) and online 63 articles (93%). Of these, 19% (13 items) were positive and 81% (55) were neutral.

Social Media

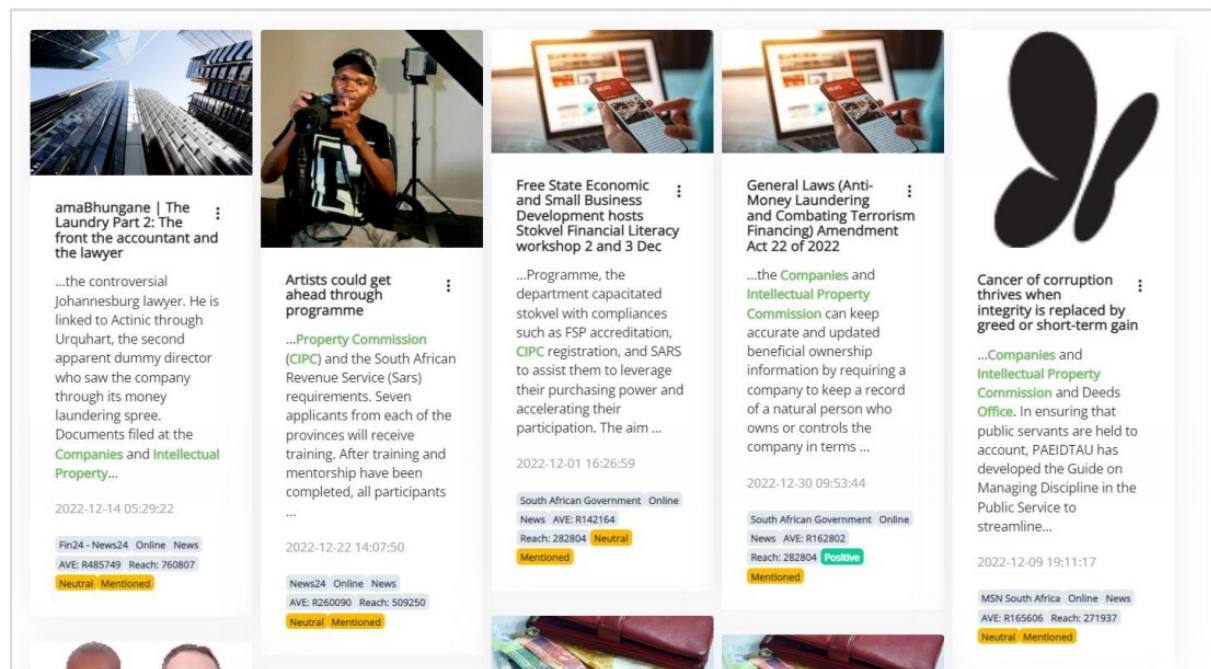
Social Media generated 492 items with a combined advertising value equivalent (AVE) of R1 585 234 and an estimated reach of 3 050 254. Of these items 15% (84 clips) were positive, 84% (471) were neutral and 1% (5) were negative.

Prominent coverage highlights were:

- The Nova bubble bursts
- Parliament Passes Anti-Money Laundering Bill
- COSATU welcomes Parliament's passing of the General Laws Amendment (Money Laundering and Combatting Terrorism Financing) Bill
- THE LAUNDRY Part Two: the front the accountant and the lawyer
- Fear of grey listing is no excuse for bad law
- Cancer of corruption thrives when integrity is replaced by greed or short-term gain

How scammers can hijack a whole business in South Africa – and what to do to prevent it.

Figure 19: CIPC Media Coverage



2.2.8 New challenges and risks identified in the quarter

Quarter 1

Expiry of contracts

Due to the expiry of the StreamYard contract, we were not unable to host webinars on corporate education and voluntary compliance during the quarter.

Eskom Load Shedding

During the hosting of webinars load shedding makes it difficult for attendees to log in.

Quarter 2

No challenges reported.

Quarter 3

The roll out of the E-services experienced several technical challenges which impacted on the performance the CIPC.

2.3 New Policy and Legislative Changes

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

Quarter 1

None.

Quarter 2

None.

Quarter 3

Beneficial ownership – development of General Laws Amendment Bill, together with Companies Act Amendment Bill Regulations – major impact on CIPC activities. Legislative changes will require building of systems to accommodate Beneficial Ownership information, processing of BO data and making such information available to Law Enforcement Agencies (LEA) globally.

2.4 Progress towards achievement of institutional Impacts and Outcomes

For the five (5) year strategic period 2021/22 – 2025/26, the CIPC focuses on 4 Impact Statements and as shown below:

2.4.1 Impact Statement #1: A world-class modern regulator (Short Description)

Impact Statement #1: Building the required competencies and capabilities to become **a world-class modern regulator** that is fit-for-purpose, agile, adaptive, relevant, and ahead of the curve making a strategic contribution towards SA's improved competitiveness and growth.

Table 30: Impact Statement #1 – Performance Table

Outcome	Outcome Indicator	Baseline	Five year target (2025/26)	Progress 2022/23		
				Quarter 1	Quarter 2	Quarter 3
<i>Organisational competencies and capabilities</i>	Organisation Design (OD)	Service Provider appointed, and a Steering Committee established	OD completed	Gap analysis concluded. Solution design underway were the Commissioner is having one on one meeting with the Executives.	To-Be Organisational Structure is underway; the Office of the Commissioner is looking at it.	To-Be Organisational Structure is underway; the Office of the Commissioner is looking at it.
	Organisational Structure Implementation	Old Organisational Structure in place	Implementation of the new organisational structure completed	New Organisational structure is still being finalized.	New Organisational structure is still being finalized.	New Organisational structure is still being finalized.
	Number of staff with appropriate competencies	Skills audit to determine skills gap	All staff with appropriate competencies	Skills audit is completed waiting for consultation and approval.	Skills audit is completed waiting for consultation and approval.	Skill Audit report has been adopted by EXCO. Skills Development Programme intervention will be implemented with the assistance of a Service Provider.
	Policies reviewed to align to the CIPC Vision 2030 Strategy	11 policies were approved in 2020 including Voluntary	All relevant policies reviewed to align to	A policy register is kept and	39 out of 52 policies are up to date and there are	40 out of 52 policies are up to date and

Outcome	Outcome Indicator	Baseline	Five year target (2025/26)	Progress 2022/23		
				Quarter 1	Quarter 2	Quarter 3
		Early Retirement Policy approved and implemented, Telecommuting policy approved, and training to prepare for implementation is underway	the CIPC Vision 2030 Strategy	monitored. 42 out of 52 policies are up to date.	3 new planned policies. Policies are reviewed at least after three years.	there are 3 new planned policies.
	Number of ICT systems modernized (migration to modern platforms)	Migration to K2 and IPAS underway	All ICT systems modernized (migrated to modern platforms – K2 & IPAS)	29 services were planned to be released during Q1. Services was not released due to incomplete testing by business as well as the instability of connections to DHA that support these services	29 services planned for release in Q1 was rolled over to Q2. DHA connectivity still has not been resolved; however, additional resourcing has been allocated for reviewing development for any errors as well as Business UAT. As a fast-tracking mechanism, 32 services have been identified to be released as part of a soft launch on 14/10/2022. This will be done subsequent to completed development and UAT	No report
	Percentage of processes automated	29% automated (excluding internally focused processes)	100% processes automated	7 processes fully automated PI score calculator Location of records AFS Downloads Foreigner Assurance	ICT systems for BRR BRR Development completed. UAT completed. Pending release to production - PI Score calculator - AFS Downloads	No report

Outcome	Outcome Indicator	Baseline	Five year target (2025/26)	Progress 2022/23		
				Quarter 1	Quarter 2	Quarter 3
				Private Company Registration Non-profit company registration Company Director Amendments CC Member Amendments	• Foreigner Assurance Awaiting UAT • Company Director Amendments • CC Member Amendments Not started • Private Company Registrations • NPO Registration ICT systems for the IP Business Unit: - Internal Memo submitted, requesting such projects to be managed by the ICT. - Configuration of the backend IPAS system at least 90%. - The last version of WIPO File presented by the WIPO development team appeared not to match CIPC requirements. The IP has proposed re-engineering of the	

Outcome	Outcome Indicator	Baseline	Five year target (2025/26)	Progress 2022/23		
				Quarter 1	Quarter 2	Quarter 3
					existing e-services platform as a replacement of WIPO File. In the process of developing functional specification for Phase 1 of the Frontend system to link to the IPAS backend.	
	Out of 10 customer and stakeholder score	7.4	8	8 (2020/21 Survey)	No report	8
	Financial Sustainability	To be determined	Good financial standing	No report	No report	No report

2.4.2 Impact Statement #2: Ease of doing business in SA (Short Description)

Impact Statement #2: 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.

Table 31: Impact Statement #2 – Performance Table

Outcome	Outcome Indicator	Baseline	Five year target (2025/26)	Progress 2022/23		
				Quarter 1	Quarter 2	Quarter 3
Reduced administrative compliance burden for companies and IP owners	Turnaround times for key services	See Table on Services available 24/7	See Annexure A – Key services and turnaround times	See Table 1	See Table 1	See Table 1
	Number of services available 24/7	To be determined	All services available 24/7	See Table 18	See Table 18	See Table 18
	Number of transacting channels operational 24/7	3 (CIPC Website, Mobile App, BizPortal)	Website, Mobile App, BizPortal, and any other existing	6 transactional channels are operational E-services	6 transactional channels are operational E-services	6 transactional channels are operational E-services New E-services

Outcome	Outcome Indicator	Baseline	Five year target (2025/26)	Progress 2022/23		
				Quarter 1	Quarter 2	Quarter 3
			channels at the time operational 24/7	New E-services BizPortal Mobile App SST Website	New E-services BizPortal Mobile App SST Website	BizPortal Mobile App SST Website

2.4.3 Impact Statement #3: Investor confidence in SA businesses and innovations (Short Description)

Impact Statement #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, contributing to business growth and sustainability.

Table 32: Impact Statement #3 – Performance Table

Outcome	Outcome Indicator	Baseline	Five-year target (2025/26)	Progress – 2022/23		
				Quarter 1	Quarter 2	Quarter 3
Reputable business and IP regulation environment	Stage of development of the business ownership register	To be determined	Register functional	Internal Multi-Disciplinary Steering Committee Set up and approved; Business Case translated and registered as a Project; Training and capacitation of Steering Committee; Best practice requirements document sourced as feedback from Open Ownership; Internal and	Functional Specification approved, which includes Business Processes. Multis-stakeholder engagements continuing to gain input from other authorities, viz. Masters Office , SARS, FIC, inter alia	Scope of Work Document Approved, Project Plan Approved Functional Specification approved and confirmed. Circulated to other stakeholders.

Outcome	Outcome Indicator	Baseline	Five-year target (2025/26)	Progress – 2022/23		
				Quarter 1	Quarter 2	Quarter 3
				External Engagement with international experts		
	Stage of development and implementation of investigations and enforcement strategy	To be determined	Development of the investigations and enforcement strategy completed, implemented.	CGSE will not focus only on the case received from public, but will be extended the focus on investigation on the Corporate Governance, Pro-active Surveillance and Enforcement. Three sub-units investigation strategy is being developed. Corporate Governance strategy; Pro-active Surveillance strategy and Enforcement strategy currently being benchmarked from best practice.	Initial meeting was held between the Corporate Compliance Disclosure Regulation unit and Corporate Governance Surveillance Enforcement Unit to discuss the combined Enforcement Strategy development. A follow up meeting will be held with the Commissioner and the two respective Enforcement Units so that we can align with the expectations of the Executive members. Desktop Benchmarking exercise had begun.	Consultations are underway with the two Enforcement units, Corporate Compliance Disclosure unit and the Corporate Governance Surveillance and Enforcement unit.
	List of compliance surveillance and enforcement capabilities developed	To be determined	Partnerships Business Intelligence Data analytics	Initial meeting was held internally within CIPC to source the Case	It was resolved that a case management system needs to be procured externally. Before the	Benchmarking process is still underway on the three sub – units extended by the Organisational Design. Five CIPC units are interested in the Case Management System- Companies division, Corporate

Outcome	Outcome Indicator	Baseline	Five-year target (2025/26)	Progress – 2022/23		
				Quarter 1	Quarter 2	Quarter 3
			Integrated case management (automated) Training and Exposure	Management System. Plans are underway to improve intelligent reporting on the surveillance capability of the Compliance Checklist Tool.	procurement of the Case Management System, we need to assess internally if other units are interested in the similar Case Management system so that CIPC can procure one system for various units but they might have different access rights. Internal Communication was sent out to MANCO members to respond of their requirements needs. A part of the proposed OD CGSE structure, it was agreed that one of the vacant post will be of a Business Intelligent Data Analysts as part of the persons who will assist in the Compliance Surveillance capabilities. The Business Intelligent Analyst will assist In the research and analysis of different	Legal, Corporate Compliance Disclosure Regulations unit, Corporate Governance Surveillance Enforcement unit and Governance Risk & Compliance unit. Meeting to be scheduled by the units so as to start the process of RFP and the RFI so as to obtain enough knowledge about what is on the market with respect to Case Management Systems.

Outcome	Outcome Indicator	Baseline	Five-year target (2025/26)	Progress – 2022/23		
				Quarter 1	Quarter 2	Quarter 3
					data sets, profiling, dashboard and reporting to support in the initiation of pro-active investigation in terms of the Companies Act.	
<i>Strengthening the validity of granted IPR (patents designs and copyright), and in doing so reduce litigation costs for the client</i>	The stage of Substantive Search Examination implementation	Patent examiners training underway	Substantive Search Examination implementation	Examiners commenced with the Experiential Learning Program (ELP). Each examiner produced an average of 6 reports. Some of the non-binding reports were issued to the participating law firms.	Implementation of Substantive Search and Examination (SSE) Experiential Learning Program (ELP). Each examiner produced an average of 6 non-binding examination reports were issued to the participating law firms.	SSE Experiential Learning Program (ELP) ongoing. In Q3, each examiner produced an average of 6 non-binding examination reports (NBER). The NBER for approved applications were issued to the participating law firms.
<i>Businesses (and potential business owners) and innovators supported (including reducing IP filing costs)</i>	List of Programmes to support businesses (and potential business owners) and IP creators and owners supported	Programmes in place: 1. Webinar information sessions in collaboration with SEDA and others 2. IP for SMMEs 3. Inventor Assistance Programme (Reduce filing costs)	Programmes to support business and innovators in place.	The unit participated in 16 webinars on invite from stakeholders such as the Presidency, SEDA, NYDA and ProudlySA. -Facilitated appointment of service provider to support the eLearning programme.	Education and awareness programme implementation continues The IAP program continues to assist SMME and individual applicants to file for the protection of their inventions. One screening committee meeting was held in Q2 and one application was	One IAP screening committee meeting was held in Q3 and three (3) applications were referred for pairing with pro bono patent attorneys. IAP promotional event hosted by CIPC and WIPO to improve number and quality of applications.

Outcome	Outcome Indicator	Baseline	Five-year target (2025/26)	Progress – 2022/23		
				Quarter 1	Quarter 2	Quarter 3
				The IAP program continues to assist SMME and individual applicants to file for the protection of their inventions. Two screening committee meetings were held in Q1 and one application was referred for pairing with pro bono patent attorney.	referred for pairing with pro bono patent attorney.	
	Number of businesses supported	To be determined	To be determined	Depends on resource availability and influx of invites.	Depends on resource availability and influx of invites.	Depends on resource availability and influx of invites.
	Number of persons supported	To be determined	To be determined	Depends on resource availability and influx of invites.	Depends on resource availability and influx of invites.	Depends on resource availability and influx of invites.
Increased awareness of business and IP protection laws, regulations, and processes	Number of education and awareness programmes	Programmes in place: 1. Education and awareness of relevant ACTS, regulations, and amendments 2. IP for Kids, for Schools, and for Institutes of Higher Learning	Education and awareness programmes in place	-Collaborate with Presidency focusing on Women Owned Businesses. -Working with municipalities to access people in rural areas. -Participated in the dtic Deputy Minister Outreach Programme event.	Education and awareness programmes for both IP and Corporate Regulation Continues.	Education and awareness programmes for both IP and Corporate Regulation Continues.

Outcome	Outcome Indicator	Baseline	Five-year target (2025/26)	Progress – 2022/23		
				Quarter 1	Quarter 2	Quarter 3
	Number of persons reached	To be determined	To be determined	Depends on resource availability and influx of invites.	Depends on resource availability and influx of invites.	

2.4.4 Impact Statement #4: Supported third party decision making.

Impact Statement #4: Support third party decision making by leveraging knowledge assets and networks, extracted maximum value for the CIPC and its customers.

Table 33: Impact Statement #4 – Performance Table

Outcome	Outcome Indicator	Baseline	Five year target (2025/26)	Progress 2022/23		
				Quarter 1	Quarter 2	Quarter 3
CIPC Data and system Integrity - Data accuracy - Data security	Data inaccuracies (errors, inconsistencies, unusable data, duplicated data)	90% of historic data of the Past 10 years Data (2011 to 2021) cleansed (Baseline as at 30 June 2022)	90% of historic data of the Past 50 years Data (1971 to 2025) cleansed	90% of historic data of the Past 10 years Data (2011 to 2021) cleansed	30% of historic data of the past 20 years (2022-2001) cleansed	60% of historic data of the past 20 years (2022-2001) cleansed.
	Data security (Implementation of the Information Security Management Framework)	Approved Information Security Management Framework (Baseline as at 30 June 2022)	Implement Initiatives as per the approved ISM Framework's roadmap	Approved Information Security Management Framework	ToR to advertise tender is being finalized.	Business case and ToR approved. Submission to advertise tender submitted to SCM.
Data sharing strategy - IPR Enforcement Data/Information Integration (All stakeholders) - Collaborate on data exchange to maximize benefits from data collected such triangulation	Data gathering tools - Mobile App - Data repository & data exchange (Collaboration)	To be determined	To be determined	Mobile App Launched	Planning and process mapping to get the App live	The cell- phone App ran into challenges because the officials form SAPS did not have a cell phones for official use a and also did not have data. We are exploring sponsorships form MTN and VODACOM to see how we can assist to remedy the situation.

3. Performance against the APP

3.1 Progress made against unachieved targets in the previous quarter.

3.2.1 Programme 1: Service Delivery and Access

Output	Indicator/Measure	2022/23 Annual Target	2nd Quarter Milestones	Actual Performance	Reasons for Variance	Progress
Implement Organisation Design Outcome (Review of Performance Management Policy)	Performance Management Policy Document	Performance Management Policy reviewed	Policy reviewed and submitted for approval	Not achieved	MANCO requested that the policy be revised to be like other public entities.	A benchmark exercise was carried out. The revised policy was presented again to MANCO. The policy was approved by EXCO and will be going to the Labour Bargaining Body in Q4
Automated Company Registration	Number of services (Company Registration) migrated	56	29 (0)	0 (0)	Development and UAT to be concluded on Name Reservations before release can be done	Release is prioritised for early January 2023
	Number of new services (Company Registration) developed	19	17 (3 – BizPortal)	17(0)	Development and UAT to be concluded on Name Reservations before release can be done	Release is prioritised for early January 2023

Output	Indicator/Measure	2022/23 Annual Target	2nd Quarter Milestones	Actual Performance	Reasons for Variance	Progress
Automated business intelligence report	Number of automated business intelligence report (Reports to be specified by business)	15	7 (4)	4 (0)	3 Reports have been developed and released to the production environment to be tested by business however reports have not been formally signed off. Scope of Phase 2 reports still to be determined	Prioritise for Q4 Completed/ In prod - 0. In progress (UAT) - 3 1.Name Reservations Report 2. Companies Registration Report 3. Co Ops Report In progress (Technical Testing) - 2 1. Director Amendments 2. Member Amendments In progress (Dev) - 2 1. Address Change 2. Change of Shares

3.2.2 Programme 2: Innovation & Creativity Promotion

All targets were achieved.

3.2.3 Programme 3: Business Regulation and Reputation

Output	Performance Indicator/Measure	Baseline	2022/23 Annual Target	2nd Quarter Milestones	Actual Achievement	Reasons for Variance	Progress
CIPC Learning Academy	Business case	Steering Committee in place Conceptual Framework in place Nominated WIPO trainees. Nominated WIPO Project Manager (IP)	Approved Request for Proposal (RFP) for the development of the CIPC Learning Academy Business Case Approved	Specifications Committee – Approves TOR - Commissioner approves the Advertising of the Tender (RFP) (Q2)	Not achieved	Competing priorities and resource constraints from PMO	PMO re-prioritized its activities to cater for the TOR

3.2 Progress made against current quarterly milestones.

3.2.1 Programme 1: Service Delivery and Access

Figure 20: Programme 1 - Quarter 3 Performance

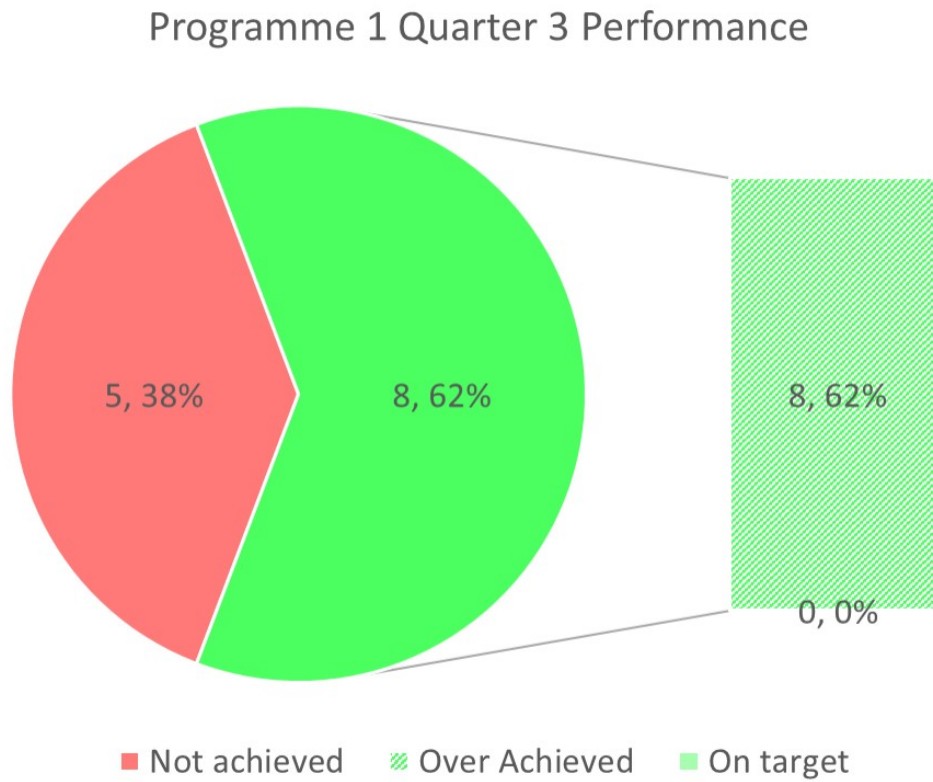


Table 34: Programme 1: Service Delivery and Access Quarterly Performance

Output	Indicator/Measure	Baseline	2022/23 Annual Target	3rd Quarter Milestones	Actual Performance	Reasons for Variance	Planned Action
Implement Organisation Design Outcome (Review of Performance Management Policy)	Performance Management Policy Document	OD process completed	Performance Management Policy reviewed	Orientate Stakeholders on the approved policy	Not achieved. EXCO approved the policy during this period.	MANCO had several issues to be addressed, the draft policy had to be tabled at MANCO several times	Bargaining Forum to ratify
Clean audit report	AG Audit Outcome	Clean audit	Clean Audit	N/A	N/A	N/A	N/A
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	8	N/A	N/A	N/A	N/A
Customer satisfaction at the call centre	% Average call centre customer satisfaction	7.5	7.7	7.6	7.9	Continuous training and development on customer query resolution	N/A
e-Engagement satisfaction	% Customer satisfaction on e-engagement	60%	70%	70%	74%	High levels of accuracy and the speed of response contributed to the performance	Not applicable
SSCs customer satisfaction	% Customer satisfaction on SSCs	75%	75%	77%	89%	On-going customer awareness and training	Get workaround to verify customers with Home Affairs and get systems stable.
QRS – resolve queries within the set turnaround time - 10 working days	% of queries received through the QRS resolved within the set turnaround time – 10 working days	90%	90%	92%	93%	N/A	N/A

Output	Indicator/Measure	Baseline	2022/23 Annual Target	3rd Quarter Milestones	Actual Performance	Reasons for Variance	Planned Action
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	90%	96%	96%	83%	The rebalancing of priorities towards Twitter queries affected the performance	Available resources and scheduling will be reorganised to compensate for the missed quarterly target.
Twitter - resolve queries within the set turnaround time - 1 working day	% Of queries received through Twitter resolved within the set turnaround time - 1 working day	60%	65%	63%	73%	The prioritization of Twitter queries has delivered results over this quarter.	Not applicable
Automated Company Registration	Number of services (Company Registration) migrated	New indicator	56	54 (25 Self Service Centres)	0%	Due to the delay in finalising Q1 deliverables, this impacted the release schedule in terms of Q3 deliverables	Release is prioritised for early January 2023
	Number of new services (Company Registration) developed	New indicator	19	17 (0)	0%	Due to the delay in finalising Q1 deliverables, this impacted the release schedule in terms of Q3 deliverables	Release is prioritised for early January 2023

Output	Indicator/Measure	Baseline	2022/23 Annual Target	3rd Quarter Milestones	Actual Performance	Reasons for Variance	Planned Action
Automated business intelligence report	Number of automated business intelligence report (Reports to be specified by business)	New indicator	15	11 (4)	0%	Reports are in progress. UAT of completed reports was placed on hold due to tall resources required for the finalisation of the E-services project.	Prioritise for Q4 Completed/ In prod - 0 In progress (UAT) - 3 1. Name Reservations Report 2. Companies Registration Report 3. Co Ops Report In progress (Technical Testing) - 2 1. Director Amendments 2. Member Amendments In progress (Dev) - 2 1. Address Change 2. Change of Shares
Reduced turnaround time to resolve queries received through the QRS – 10 working days	Average turnaround time to resolve queries received through the QRS	5	7	6	5.3	Emphasising importance of resolving queries as soon as possible	Not applicable
Reduced turnaround time to resolve queries received through	Average turnaround time to resolve queries received through Facebook (hours)	24	12	12	4h25	Officials are scheduled to respond to queries throughout the day (office hours)	Not applicable

Output	Indicator/Measure	Baseline	2022/23 Annual Target	3rd Quarter Milestones	Actual Performance	Reasons for Variance	Planned Action
Facebook (working days)							
Reduced turnaround time to resolve queries received through Twitter	Average turnaround time to resolve queries received through Twitter (hours)	24	12	12	5h46m	Officials are scheduled to respond to queries throughout the day (office hours)	Not applicable

3.2.2 Programme 2: Innovation & Creativity Promotion

Figure 21: Programme 2 - Quarter 3 Performance

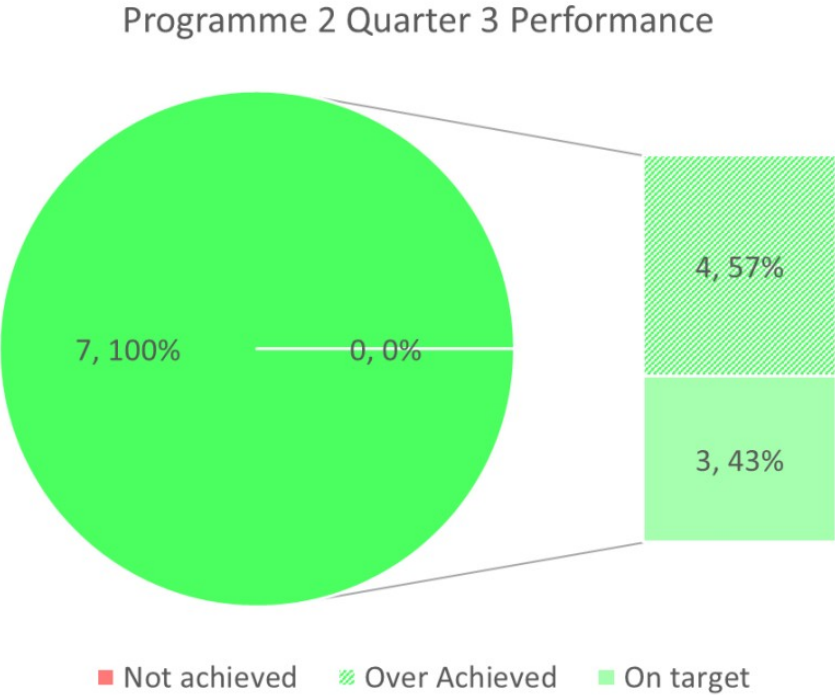


Table 35: Programme 2: Innovation & Creativity Promotion Quarterly Performance

Output	Performance Indicator/Measure	Baseline	Annual Target	3rd Quarter Milestones	Actual Achievement	Reasons for Variance	Planned Action
Substantive search examination (SSE) Experiential Learning	Number of non-binding work products issued per examiner (work product includes Search Report and a Written Opinion on patentability such a work product will in future be issued to an applicant) in line with SSE Experiential Learning	16 SSE trained patent examiners and 28 interns under training	24	18 (6)	18 (6)	N/A	N/A
	Number of SSE Training initiatives undertaken	New Indicator	4	3 (1)	3 (1)	N/A	N/A
Inventor Assistance Programme Implemented	Number of IAP Review Committee meetings to screen applications	New Indicator	4	3 (1)	3 (1)	N/A	N/A
Compliance with Regulations by Accredited Collecting Societies	Number of education and awareness events to promote compliance to regulations by Collecting Societies conducted by the CIPC including collaboration with its partners	New Indicator	4	3 (1)	5 (2)	There was a request to have capacity building session on Performers Protection Act, 1967	N/A

Output	Performance Indicator/Measure	Baseline	Annual Target	3rd Quarter Milestones	Actual Achievement	Reasons for Variance	Planned Action
IP education and awareness events conducted by the CIPC, also in collaboration with partners	Number of IP education and awareness events conducted by the CIPC, including collaboration with partners	40	36	27 (7)	63 (24)	More requests on IP training sessions were made by the industry sectors and the public	N/A
IP enforcement public education and awareness events conducted by the CIPC, also in collaboration with partners	Number of IP enforcement education and awareness events conducted by the CIPC, including collaboration with partners	15	9	7 (1)	9 (2)	Collaboration partnerships resulted in achieving higher targets. Physical workshops are easier as COVID restriction are lifted.	N/A
Increase capacity in Law Enforcement Agencies on IPR	Number of Law Enforcement training sessions	4	4	3 (1)	5 (2)	Physical workshops are now easier, and the demand is high. We could not deliver on this KPI during COVID	N/A

3.2.3 Programme 3: Business Regulation and Reputation

Figure : Programme 3 - Quarter 3 Performance

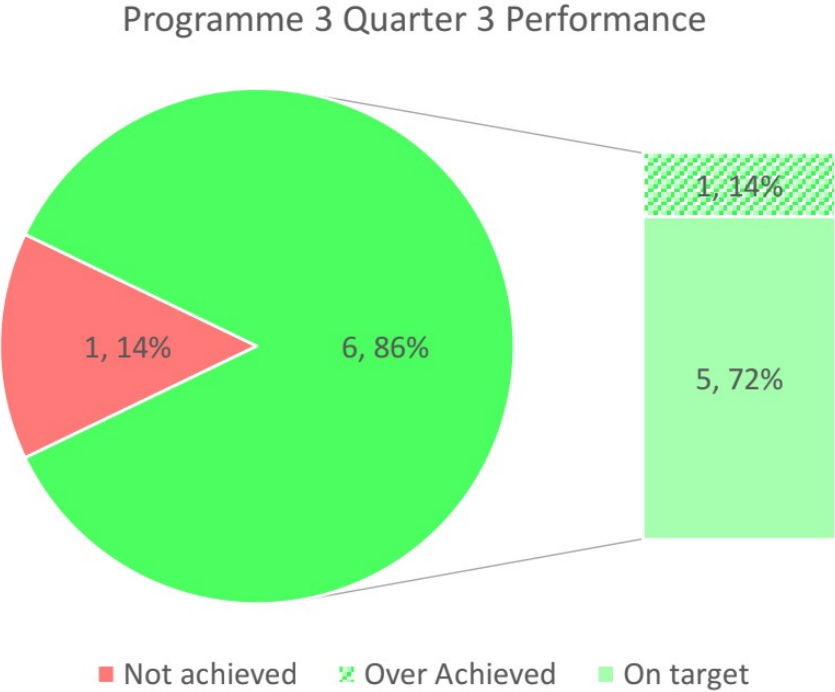


Table 36: Programme 3: Business Regulation and Reputation Quarterly Performance

Output	Performance Indicator/Measure	Baseline	2022/23 Annual Target	3rd Quarter Milestones	Actual Achievement	Reasons for Variance	Planned Action
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.	1	1	1	1	N/A	N/A
Reduction in the average number of days to approve applications for registering a co-operative from the date of receipt of a complete application.	The average number of days to approve applications for registering a co-operative from the date of receipt of a complete application.	1	1	1	1	N/A	N/A
CIPC Learning Academy	Business case	Steering Committee in place Conceptual Framework in place Nominated WIPO trainees. Nominated WIPO Project Manager (IP)	Approved Request for Proposal (RFP) for the development of the CIPC Learning Academy Business Case Approved	Bid Evaluation	Paperwork for request for proposal drafted and documents yet to be sent to Supply Chain for the public invitation to tender	Reprioritization of organization's projects and the focus was on the implementation of the new registration platform	Initiate the tender process to procure a service provider for the development of the Business Case
Corporate education and awareness events conducted by the CIPC, also in collaboration with partners	Number of education and awareness events conducted by the CIPC, also in collaboration with partners	40	30	25 (5)	55(15)	Participated in 12 events / webinars on invite and hosted 3 webinars. A high number of requests to participate in	N/A

Output	Performance Indicator/Measure	Baseline	2022/23 Annual Target	3rd Quarter Milestones	Actual Achievement	Reasons for Variance	Planned Action
						webinars and events were received.	
Automated Beneficial Ownership Register (Strengthened financial system and ownership transparency for SA registered entities)	Beneficial Ownership Register Establishment Phase	Approved Business Case	Beneficial Ownership Register Establishment System (Phase 1)	Functional Specification Definition Systems Requirements Definition and Approval	Functional Specifications Approved, Scope of Work Document signed off, Project Plan Signed Off	E-services Works Package was prioritized during late Q3 for formal roll out. However, still on track	Continue as per Business Plan
Pro-active Investigations in response to contraventions of Companies Act No 71 of 2008 on Companies identified on State Capture Commission Report	Number of Pro-Active Investigations in response to contraventions of Companies Act No 71 of 2008 on Companies identified on State Capture Commission Report Started	New Indicator	2	Analysis report from Intelligent-gathering phase-Study and reading of the state capture report	Analysis report from the Intelligent-gathering phase.	N/A	N/A
Targeted Pro-active Investigations	Number of Pro-Active Investigations in response to contraventions of Companies Act No 71 of 2008 on Companies identified from XBRL and Companies Tribunal (Social and Ethics committee decisions) started.	New Indicator	3	Analysis report from Companies Tribunal identifying entities in contraventions of the Act (Social and Ethics Committee decisions).	Analysis report from the XBRL Rotation of auditors' business intelligent non-compliance reports	N/A	N/A

4. Governance, Risk and Compliance Quarterly Report (01 July – 30 September 2022)

PURPOSE

The purpose of this report is to provide a summary of the work carried out by the GRC division during the 3rd quarter of the 2022/23 financial year.

HIGHLIGHTS

Summary of achievements for the quarter.

- Reviewed Strategic and Operational Risk Registers
- Reviewed Risk Appetite Statement and Tolerance Thresholds
- Business continuity management draft process mapping
- Finalisation of the declaration of interest high-level verification process
- Reviewed Risk Management and Fraud Prevention Plan (2023/24)
- Organisational ethics awareness sessions.

MATTERS FOR RECOMMENDATION/APPROVAL

There following matters are included for approval by the Risk and ICT Committee.

- 1.1 Reviewed Strategic Risk Register (2023/24)
- 1.2 Reviewed Risk Appetite and Tolerance Statement
- 1.3 Risk Management and Fraud Prevention Plan (2023/24)

GOVERNANCE AND ETHICS

Implementation of the Governance Framework

The implementation of the governance framework is ongoing. All governance meetings are held and as scheduled.

Ethics and Declaration of Interest

Implementation of the Code of Ethics and Conduct Policy is progressing well. The objective is to heighten awareness on organisational values, organisational culture and conduct expected of employees of the CIPC.

Roll out of the planned ethics campaign took place from 31 October-04 November 2022, both dates included. The objective of the campaign, which targeted all employees of the CIPC, was to raise awareness on ethical issues and their impact on the employment relationship.

Declaration of Interest

Implementation of the declaration of interest policy is an ongoing process. As part of the process, proactive verification of declared information was performed.

- As of 31 December 95% of employees had submitted their declaration forms. The total is inclusive of interns.
- Key issues identified during the verification process:
 - Inconsistent completion of declaration forms by employees, i.e.
 - Employees declared “potential conflict” and “no conflict” on same issues.
 - Employees declared only activities in which they engaged, as potential conflict only when these (activities) are linked to formally registered entities and others declaring informal activities as well.
 - 31% of the forms sampled contained information that does not match the data in the publicly available database of the registered properties i.e., mismatch in the number of properties owned or properties declared.
 - Five of the six (5/6) employees who declared receiving remuneration outside of the CIPC, did not receive prior approval as per the approved policy.
 - Incomplete forms – some employees complete certain portions of the leaving other sections blank. Some sections lack all the required information.
 - The declaration form does not include other assets such as vehicles.

Status of compliance as at 31 Dec 2022	All employees	%
Compliant	458	95 %
Non-compliant	22	5%
Total	480	100%

Category of declaration	# of staff
Directorship and Partnership remunerated	70
Directorship and Partnership remunerated	06

Conclusion on the verification findings

- Measures should be implemented to address red flags identified in the declaration process.
- There is a need to heighten education awareness to provide clarity on the declaration process and completion of forms.
- A benchmark with other organisations should be conducted to compare requirements in the declaration forms.

Status of Policies as of 31 December 2022

The number of up-to-date policies remained the same with a slight improvement in the number of policies “due for review”. Custodians of policies “due for review” and “in progress” were sensitised to the risk of non-compliance, which if not addressed could result in audit findings.

Comparison	No of policies	Up to date	Due for review	New Policies	In progress
Q2	52	38	10	2	2
Q3	52	38	8	3	3
Division	No of policies	Up to date	Due for review	New Policies	In progress
HR	15	11	1	0	3
BISG	11	7	3	1	0
Finance	8	8	0	0	0
Facilities and security	5	2	3	0	0
Client engagement	1	1	0	0	0
GRC	7	7	0	0	0
Strategy	5	2	1	2	0
TOTAL	52	38	8	3	3

RISK MANAGEMENT

Overview

This section provides progress on the management of strategic risks during the reporting period. Implementation of strategic mitigating actions for Q3 is summarised under 5.2 and 5.3 below.

Strategic Risk Dashboard

The strategic risk dashboard below provides a summary of strategic risk ratings as at 31 December 2022.

# of risk indicators	Q3 indicator outcome			
	😊 = well managed	😬 = partially managed	😞 = Mitigations may be ineffective	x=Not measured during the period.
26	23	3	0	0
100%	88%	12%	0%	0%

The residual ratings remained unchanged. Implementation of mitigations continues. The OD project remains one of the key controls that have a potential of reducing many risks identified. The impact of control improvement actions that are implemented in phases can only be assessed once the project/control has been implemented in full.

The risk indicator dashboard recorded an upward improvement in that indicators categorised as “well managed” and “partially managed” from 85%- 88% and 8%- 12% respectively. This confirms management’s commitment to minimise risks to an acceptable level. *See Strategic Risk and Appetite Dashboard annexures for details.*

Risk Movement Dashboard

A quarter-on-quarter residual risk rating movement is illustrated below:

Key: Improved = ↑ : Regressed = ↓: No Change = ↔		Residual rating	Q1 progress	Q2 progress	Q3 Progress
Risk Name		01/04	30/06	30/09	31/12
1. Inadequate availability and accessibility of channels	High	↔	↔	↔	↔
2. Inadequate ICT infrastructure	High	↔	↔	↔	↔
3. Lack of Stability of IT systems (CIPC, Partners and 3rd party providers)	High	↔	↔	↔	↔
4. Inability to effectively manage stakeholder relations and expectations	High	↔	↔	↔	↔
5. Inadequate information & cyber-security	Extreme	↔	↔	↔	↔
6. Inadequate data integrity	High	↔	↔	↔	↔
7. Ineffective governance and oversight over finance and supply chain management	Medium	↔	↔	↔	↔
8. Financial sustainability	Medium	↔	↔	↔	↔
9. Lack of optimal and professional organisational culture	High	↔	↔	↔	↔
10. Ineffective people management	Medium	↔	↔	↔	↔
11. Inadequate Accessibility of Intellectual Property (IP) services Programme	High	↔	↔	↔	↔
12. Ineffective implementation of the substantive search and examination programme	High	↔	↔	↔	↔
13. Ineffective and inefficient enforcement	High	↔	↔	↔	↔
14. Labour relations and stability thereof	High	↑	↔	↔	↔

Residual risk movements shown in the above table to measure progress quarter over quarter. The ratings remained unchanged from the previous quarter.

Emerging Risks

This section aims to provide a view of emerging risks identified during the reporting period. The objective is to look past existing risks to tomorrow’s emerging trends and devise strategies around these risks as well as seize available opportunities.

Emerging risks are newly developing risks that cannot yet be fully assessed, but that could in the future affect the execution of CIPC's strategy.

- **Interruptions to operations-** (re-emergence of Covid)-During quarter 3, increasing incidents in China and other countries pose a threat to the country and in turn the CIPC. The likelihood and severity of the strain and the readiness of the organisation to deal with associated disruptions requires further assessment.

PROGRESS ON IMPLEMENTATION OF RISK AND FRAUD PLAN

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

Activities	Planned	Q1	Q2	Q3	Comments
1. Risk Management					
1.1 Risk management plan development and approval.	a				
1.2 Revision of risk management policy.					
1.3 Strategic risk register annual review	a				
1.4 Risk appetite and tolerance statement review	a				
1.5 Conduct operational & strategic operational root cause					
1.6 Quarterly strategic risks monitoring, review & reporting	a				
1.7 Operational risk review for all divisions	a				
1.8 Develop a third party risk management framework					
1.9 Conduct risk management awareness	a				
1.10 Development of a business continuity plan	a				In progress
1.11 Review of BCM Risk register	a				
2. Fraud Prevention					
2.1 Fraud prevention plan review & approval	a				
2.2 Fraud Risk Register review	a				
2.3 Implementation of the ethics plan in line with the	a				
2.4 Fraud data analysis and reporting	a				
2.5 Fraud awareness and education	a				
2.6 Facilitate the declaration of interest process	a				
2.7 Maintain an effective fraud complaints case database	a				
2.8 Conduct investigations	a				
2.9 Quarterly reporting on fraud prevention to governance	a				

Key:

Complete		In progress	Not done	Not planned for the period
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A total of 17 activities were planned for completion in quarter. As at 31 December 2022, 16 had been completed, representing 94% performance. Progress on the activity that is in progress will be included in the next reporting cycle.

FRAUD PREVENTION

This section provides information and progress on fraud related complaints and cases. It further outlines channels through which complaints were received and presents a summary of the nature of allegations received during the reporting period.

Complaints received.

01 Sep – 31 Dec 2022

Balance 01/09/22	Calls logged	Feedback Requests	Resolved	Balance 31/12/22
142	53	(0)	(29)	166

The total allegations reported is on the increase quarter by quarter. This influences the administration and management of cases. Case analysis remains a concern for the unit and as it is at the heart of delays in resolving reported allegations.

The increasing backlog aggravated by the December freeze period and other unforeseen circumstances beyond the officials' control, requires a deliberate effort and attention. The inability to anticipate the nature, type and complexity of allegations remains an issue for any investigation process, however, initiatives such as secondment of staff from other divisions and the utilisation of external service providers are being implemented.

Status of Open Cases: 31 December 2022

Total	Under investigation	Pending investigation
166	(20)	146

The above table shows the status of complaints which remained unresolved at the end of the review period. Of the 166 outstanding complaints, 20 were under investigations leaving 146 pending investigations at the time of reporting. The total number of pending investigations represents the backlog. The GRC division is conducting some analysis of the reported allegation to determine the extent of investigation and resources required to resolve the matters.

Summary – Reporting Channels

#	Channel	Received Cases
1	Hotline	44
2	Emails	9
Total		53

The hotline remains the preferred channel for reporting, presumably because it provides an option for anonymity of whistle-blowers if they so wish.

Summary - Nature of Cases

#	Types of cases	Q1		Q2		Q3	
		No. of Cases	%	No. of cases	%	No. of cases	%
1	Fraudulent removal or addition of directors	08	10%	11	28%	16	30%
2	Misuse of Clients Accounts	03	4%	3	7%	3	6%
3	Fraudulent use of customer details to register a company	38	49%	11	28%	9	17%
4	Implicating CIPC employees	01	1%	0	0%	0	0%
5	Other: general category	21	27%	8	20%	25	47%
6	Other: Feedback request/ additional information	07	9%	7	17%	0	0%
Total		78	100%	40	100%	53	100%

The table provides various categories under which complaints received are categorised. In the past, complaints relating to fraudulent direct changes or “company hijacking” have been the main reasons for the complaints. This trend remains but seems to be steadily declining. Controls implemented overtime to curtail the loop holes in the CIPC systems seem to be working well. The ICT division is addressing the issue around the usage of the “special function” mechanism to process transactions.

The quarter recorded an increase in the number of general category of queries, some of these queries relate to matters not related to fraud. This may be indicative of an issue around other query resolution channels, as it seems that customers resort to the fraud hotline when they are not satisfied with the

response from business units. There is a need to increase customer education to create awareness around the usage of the hotline.

COMPLIANCE MANAGEMENT

Legislative Compliance

Compliance assessment for the quarter had not been concluded at the time of reporting, no report is provided as a result.

An internal audit on the compliance management process was conducted and a report issued, with some areas of improvement identified. Implementation of the recommendations has begun. The report will be tables for consideration by the Audit Committee.

Compliance with and Risk Management Policies

No incidents of non-compliance with risk management and related policies were reported during the period.

PROGRESS ON BUSINESS CONTINUITY

The process of developing a corporate business continuity plan is underway. An external service provider was appointed to assist with the development of the plan. Meetings with relevant managers to consider the existing technical BIAs (focused on IT systems) were held in September and October 2022 to discuss and agree on areas not current covered for the purpose of the corporate business continuity. Business continuity risks were reviewed as part of the process.

The methodology and a draft plan have been developed for discussion with managers. Scenario testing for three areas scheduled for the beginning of December 2022 could not take place as relevant managers and officials requested for a postponement due to the many activities around the November/December period. Testing is now schedules for February 2023.

CHALLENGES AND RECOMMENDATIONS

The following remain challenges facing for the GRC Division.

No.	Challenge	Recommendation
1.	Capacity challenges	• Utilisation of external resources • Filling of positions identified critical • Secondment of resources to the GRC division (1 resources has been seconded to GRC from the IP division)
2.	Competency & skills gap	• In-house training and rotation of staff • Utilisation of external resources
3.	Inability to anticipate volume	• Implementation of revised strategy • Secondment of resources from other divisions

	of whistle-blowing reports	
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FOCUS FOR THE NEXT QUARTER

- Finalisation of the Corporate Business Continuity Plan
- Ongoing implementation of risk maturity assessment recommendations
- Ongoing implementation of risk management and fraud prevention plan

Implementation of the reviewed strategic risk register and appetite

5. Audit Report

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

AUDIT FINDINGS TRACKING SUMMARY REPORT FOR THE QUARTER ENDED 31 DECEMBER 2022

Purpose of the Report

This report provides a high-level summary of progress made with regard to the implementation of corrective actions to address previously reported audit findings. The report covers findings emanating from the audit conducted by the Auditor General (AG) for the 2021/22 financial year as well as findings and observations from internal audits conducted in the 2019/2020, 2020/2021 and 2021/2022 financial years. Details of progress are contained in the respective registers attached to this report.

Summary of all Unresolved Internal Audit Findings

Audits assignment Involved = **14**

Total findings at the beginning of Q3 of 2022/2023 = 19

Total findings resolved/addressed/ Risk accepted = 4

Total findings in progress/Partially addressed = 12

Total findings not addressed = 3

Auditor General Findings 2021/22

Total findings = 34

Resolved / Risk Accepted in previous quarters = 11

Opening findings balance at beginning of Q3 2022/2023 = 23

Resolved in Q3 of 2022/2023 = 10

In progress = 10

Not addressed = 3

Audit Assignment	Q3 2021/2022 opening balance	Addressed and risk accepted in Q3 of 2022/2023	In progress	Not Addressed
AG: Management report findings	23	10	10	3
% Total	100%	43.5%	43.5%	13%

2.2 Internal Audit Findings

2.2.3 2019/2020

	Audit Assignment	Total outstanding findings at beginning of Q3 2022/2023	Addressed and risk accepted - Total	Partially Addressed	Not Addressed - Total
1	Disclosure	1	0	1	0
2	Penetration test	1	0	1	0
	TOTAL	2	0	2	0
			0%	100%	0%

2.2.4 2020/2021

	Audit Assignment	Total outstanding Findings at beginning of 3 of 2022/2023	Addressed and risk accepted - Total	Partially Addressed	Not Addressed - Total
1	Communications	2	0	2	0
2	Training	3	0	3	0
3	Financial Statement Reporting	1	0	1	0
4	Q2 Performance Information	1	0	0	1
5	Revenue	1	0	0	1
	TOTAL	8	0	6	2
			0%	75%	25%

2.2.5 2021/2022

	Audit Assignment	Total outstanding Findings at beginning of Q3 of 2022/2023	Addressed and risk accepted - Total	Partially Addressed	Not Addressed - Total
1	Recruitment	2	0	2	0
2	IT Infrastructure	1	0	1	0
3	Social media	2	2	0	0
4	Budget follow up	1	0	1	0
5	Expenditure audit	1	1	0	0

Audit Assignment		Total outstanding Findings at beginning of Q3 of 2022/2023	Addressed and risk accepted - Total	Partially Addressed	Not Addressed - Total
6	Telecommuting	1	0	0	1
7	Risk Management	1	1	0	0
TOTAL		9	4	4	1
			44%	44%	11%

5.2 Progress made regarding Combined Assurance Plan

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

6. Financial Report

The report is sent separately.

7. PFMA and TR compliance checklist

No report.

8. Copyright and IP Enforcement Report

Quarter 1

Strategic Direction: To combat trademark counterfeiting and copyright piracy.

Crucial activities included relooking at the future of the CIPC's enforcement structures tools and offerings. CIPC is one of the main players that ensure proper alignment of strategic direction throughout IP enforcement agencies.

Training sessions are provided at the request of partners as well as proactive. Proactive sessions are usually hosted to highlight identified trends and priority areas, such as the creative sector and pharma crime. These sessions mainly target the judiciary, law enforcement, and custom officials. CIPC has been involved in training for countries in Africa, including SADC, SACU and other West African countries during this quarter.

Operational activities increased during the weeks after the training and operations took place in Gauteng. One of the highlights of the quarter was the search and seizure operations that were done to celebrate World Anti-Counterfeiting Day, 10 June.



Market Conduct Enforcement Operations



A significant portion of counterfeit goods circulating in South Africa is imported from China and other foreign countries. Although South African Customs and Border Police are effective at detecting and detaining containers and small consignments of counterfeit goods at the various ports of entries, some do filter through undetected. An important element in initiating and maintaining an effective enforcement programme is to provide training to all Law Enforcement partners to create awareness within the enforcement community. It is imperative that brand holders participate in as many training events as possible to increase the prospects of detention.

Capacity Building and Training

From the 9th to the 13th of May, CIPC in collaboration with the USPTO and the U.S. Department of Justice hosted a training workshop on investigating and prosecuting IP crime. The program was extended from our usual three days to a five-day full week training workshop. This allowed time to include additional international speakers in the program. Experts from the USA joined local participants and networking opportunities were plentiful. Delegates included the strategic decisions makers and operational officials from the South African Police Service, the South African Revenue Service, and the National Prosecuting Authority, as well as industry associations. Three inspectors of SAPHRA also participated. The focus of the training was counterfeit pharma and counterfeit automotive spare parts. 17 Local participants were trained and received certificates. 14 International counterparts that represented the USA, Botswana, Lesotho and Eswatini also partook.



Delegates at the 2022 Regional IPR Investigative Methods Workshop



Groups discussed a Desktop Case Study



Panel discussion on strategic approach to fight IPR crime in South Africa



The resource persons and organizing team



Delegate receiving certificate.



The attendees

In June 13 to 17, CIPC participated in an Africa Regional Workgroup Meeting, in Dakar Senegal. The physical meeting that was hosted in French and English had attendees coming from 16 African countries including Botswana and Namibia. The focus was again on public health issues and the sale of counterfeit medicine in Africa. We presented South Africa's strategic approach and collaboration efforts. There was also a lot of interest in the work we are doing on sustainability and upcycling of counterfeit goods. As new opportunities are opened up by globalisation and the power of the internet, it is increasingly important for businesses of all sizes to understand the full range of tools at their disposal to protect themselves against IP crime. Many of the topics dealt with internet enforcement. Counterfeiting is, unfortunately, on the increase and the international criminal gangs who profit from this trade respect neither borders nor legality.

Counterfeiters are always ready to prey on the vulnerable and take advantage of any lack of coordination. South Africa plays an important role in the IPR enforcement space to ensure coordination on the African Continent. Such close cooperation and collaboration especially in the training and capacity building space speak to the objectives of AfCFTA.



Education and Awareness

The harm caused by IP crime hits company profits, tax revenues and endangers the public as has been shown so graphically by the rise in fake medicines and personal protective equipment in the wake of the Covid-19 pandemic. This means that enforcement authorities working together effectively, preferably with IP crime returning to become a priority in the fight against international crime, must attack the problem.

The crucial role of the CIPC to create awareness on the harms of counterfeiting manifested in four education and awareness events hosted in Q1. These included celebrating the following events:

World IP Day on 26 April as part of a collaboration project with the DUT, being part of the

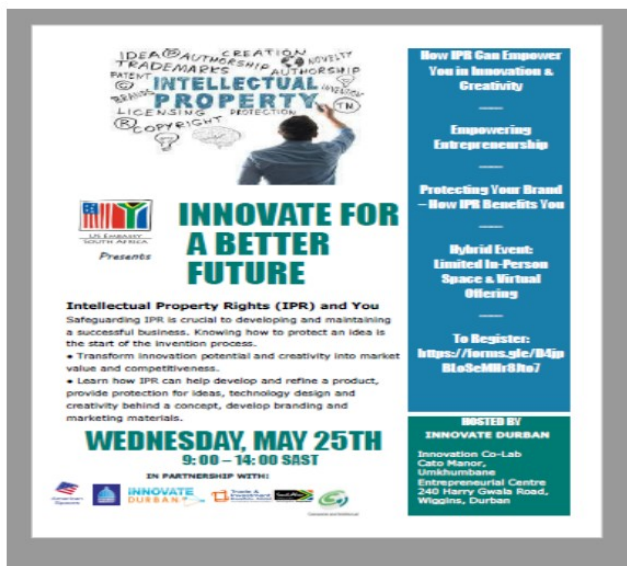
SADC Virtual IP Office conference on 17 May, facilitating an

IP Day targeting the youth to build on their innovative ideas on 25 May, and hosting

The first of six sessions to bring IP to entrepreneurial students in partnership with UNISA, on 21 June.

The reach of these sessions exceeded our expectations and physical attendees were recorded as more than 600. The theme of World Intellectual Property Day this year was "IP and Youth: Innovating for a Better Future." In the spirit of contributing to intellectual property (IP) literacy, we presented and shared information on fundamental aspects of different types of intellectual property rights and protections: patents, trade marks, copyright, industrial design and trade secrets. We also thoroughly covered respect for IP during these sessions.

IP for the Youth celebrated on 25 May.



IDEAS, AUTHORITY, CREATION, INVENT, TRADEMARKS, PATENT, DESIGN, LICENSING, COPYRIGHT, INTELLECTUAL PROPERTY

INNOVATE FOR A BETTER FUTURE

Intellectual Property Rights (IPR) and You
Safeguarding IPR is crucial to developing and maintaining a successful business. Knowing how to protect an idea is the start of the invention process.

- Transform innovation potential and creativity into market value and competitiveness.
- Learn how IPR can help develop and refine a product, provide protection for ideas, technology design and creativity behind a concept, develop branding and marketing materials.

WEDNESDAY, MAY 25TH
9:00 – 14:00 SAST

IN PARTNERSHIP WITH:

HOSTED BY
INNOVATE DURBAN
Innovation Co-Lab
Cato Manor,
Umkhumbane
Entrepreneurial Centre
240 Harry Gwala Road,
Wiggins, Durban



DRAFT PROGRAMME
WORLD INTELLECTUAL PROPERTY DAY
26 APRIL 2022 09H00 - 14H00 BOTANIC GARDENS

TIME	TITLE	RESPONSIBLE
09:00 - 09:45	Arrival & Registration	PA
09:45 - 10:00	Welcoming Remarks	Business Support, Training, Markets and Agri Business Unit
10:00 - 10:15	Manager of Support	Mr. Dennis Singh, Director Intellectual Property & Commercialisation, UKZN
10:15 - 10:30	IPD Day	IPD and Media Plans
10:30 - 10:45	Introduction of Topic & Panel	Mr. J. Ngwenya
10:45 - 11:00	Panelists: Theme "IP & Youth Innovation for a Better World"	
11:00 - 11:15	Panel of IP & Youth Innovation for a Better World	Amelia Luthuli, Senior Manager Copyright & IP Enforcement
11:15 - 11:30	Intellectual Property and Innovation in Youth	Mr. Luthuli, Senior Manager Copyright & IP Enforcement
11:30 - 11:45	Impact of IP	Mr. Tshabalala, Manager, Copyright & IP Enforcement, UKZN
11:45 - 12:00	Panelists: Theme "IP & Youth Innovation for a Better World"	Mr. Tshabalala, Manager, Copyright & IP Enforcement, UKZN
12:00 - 12:15	Panel of IP & Youth Innovation for a Better World	Mr. Tshabalala, Manager, Copyright & IP Enforcement, UKZN
12:15 - 12:30	Impact of IP	Mr. Tshabalala, Manager, Copyright & IP Enforcement, UKZN
12:30 - 12:45	Panelists: Theme "IP & Youth Innovation for a Better World"	Mr. Tshabalala, Manager, Copyright & IP Enforcement, UKZN
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EDUCATION, NETWORKING & LUNCH

FOLLOW US ON SOCIAL MEDIA FOR MORE DETAILS



26 April World IP Day DUT and UKZN Partners



26 April Students from DUT and UKZN



SADC 17 May



25 May IP day for the Youth

**SADC CORPORATE AND IP REGISTRARS CONFERENCE –
AGILITY OF REGISTRIES DURING AND AFTER COVID19**

- **THE NEW WAY OF WORKING**
 - USING THE INTERNET TO SUPPORT EFFECTIVE INTELLECTUAL PROPERTY ENFORCEMENT
 - FREEING UP CAPACITY, BOOSTING COLLABORATION AND EXTENDING THE REACH OF EDUCATION AND AWARENESS ACTIVITIES



SADC IP and Corporate Registrars Conference



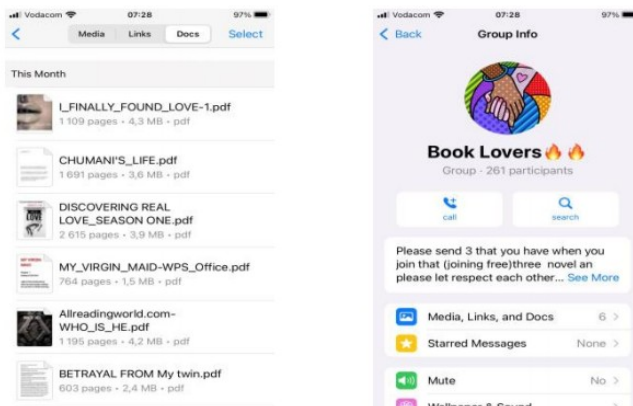
Panel discussion on IP enforcement

The virtual SADC conference was very well received and exceptionally well attended. It was the first of its kind and we hope to build on the success. We had three sessions on IP enforcement, including one from South Africa, the other two were from Kenya and Namibia. 104 delegates registered for the conference and represented most of the SADC countries. The gender representation was 60 % Male and 40% female. We are continuing to target women in IP and business working towards closing the gender gap.

Initiatives to protect Creative Industry IPR

Working closely with rights owners and their agents, CIPC prioritizes initiatives that promote respect for copyright in particular. In this area, we carry out many knowledge-building events and exchanges of best practices for judges and prosecutors. CIPC conducted numerous training and capacity building programs working with local and foreign resource persons, such as law enforcement officials from around the world to improve criminal and civil IPR protection in South Africa and our neighbouring countries.

Educating the youth about the importance of protecting IP through online sessions. Students heard directly from both the creators of intellectual property and the law enforcement officials who protect copyrighted works. Two matters are ongoing, a chat group on WhatsApp that is sharing copies of books and an investigation into persons that made promises to writers and disappeared with their written works.



The Group that is sharing full copies of popular fiction

Sustainability and upcycling of Counterfeit Goods

The CIPC has found that disposing of counterfeit goods in an environmentally friendly manner is not only possible but can also generate jobs and possible additional income for Law Enforcement. The Pilot has been extended will run to the end of 2022/2023. A competition targeting university students is envisaged for Q3. Entrepreneurs and interior designs students will be competing on ideas to give counterfeit goods a new life, the project is known as “Maisha Mapya”. A new Life.



Confiscated counterfeit Goods



New bags from counterfeit branded Jeans



Quilt sold at R6000.00

The Accurate Justifiable Statistics Cell phone Application (AJS)

The App was signed off in Q1 and it is now live. All testing is done and although the App was launched, it was still working in testing mode. Counterparts are now starting to input live data and use the application more and more. Once enough live data is captured, we will be in a position to identify trends and target enforcement operations. AJS is boosting work efficiency, making tasks simpler, and is allowing for smoother organizational operations.

The wins for CIPC as the custodian of the Counterfeit Goods Act, 1997 are:

- Proper enforcement practices are in place through continuous training and capacity building initiatives

- All officials have good knowledge and proper understanding of the value of IPR, and that
- Proper records are available to make informed decisions.

CIPC also administer the Counterfeit Goods Depots, and we are now working to expand the functionalities of the App to make the work of Depot managers also easier.

The enforcement of IPR is an International obligation that support, trade, investment and new job opportunities. Having reliable information on work done to protect IPR will greatly assist when bi- lateral agreements are concluded. It is also fundamental to all investment discussions.

Quarter 2

During Q2 operational activities increased. CIPC also coordinated and provided direction to the Head of the Department Legal and Compliance, of SA Rugby. The Sevens World Cup that was declared a protected event in terms of the Merchandise Marks Act took place from 7 to 11 November in Cape Town. CIPC provided an operational plan and acted as a focal point to channel any counterfeiting threats. CIPC also provided back-up support over the weekend to deal with IPR enquiries. The SAPS, municipal and NCC inspectors were also on standby. The work during the event demonstrated the value of cooperation to achieved effective enforcement.



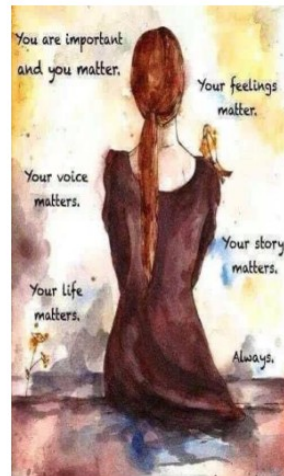
Toys and Games confiscated on 30 September



On 30 September, a joint effort initiated by NATJOC resulted in a very successful operation in Pretoria at the Montana family market. CIPC provided a guiding tool that had a dual function, one to direct all parties in regard to procedures to be followed in terms of the Counterfeit Goods Act, 1997 and two to act as a training tool to ensure procedural accuracy as required in terms of the Act. This multi-agency operation had one of its elements to combat the sale of counterfeit goods. The project was executed by the Visible Policing Section of the SAPS. All documents and intelligence that were gathered were shared with the Directorate for Priority Crime Investigations (DPCI). There are also steps taken to add the property owners for aiding and abetting various crimes. Our focus area of toys and games also delivered results.

The Green point stadium before the games started

Capacity Building and Training



On 24 August 2022, CIPC hosted an event for Women's Month 2022. The aim and objective were to promote inclusivity and equity in the IP workspace by building capacity for women entrepreneurs. Expanding on the universal theme of YOU MATTER, CIPC in partnership with the U.S. Consulate General in Durban, and American Spaces South Africa jointly hosted a very successful event to commemorate Women's Month. Participants got to share in the experiences of two speakers that have

combined experience in this field of more than 40 years. Participants got to learn about the value of IPR and how it can grow their businesses within the overarching theme of “IPR Matter”. The outcomes included “Business Strategy to Monetize Intellectual Property” the “Legal sphere to Protect IPR” and “How to enforce your IPR”. Good statistical information was also gathered through using a registration questionnaire.

127 delegates attended the event that was offered over 90 minutes. The feedback received was excellent and most participants really appreciated the value that the workshop brought. The idea is also to continue with similar topics to promote IPR to women entrepreneurs.



Geneva, Switzerland, was once again the hub for intellectual property (IP) enforcement from August 31 to September 2, 2022, when the World Intellectual Property Organization (WIPO's) Advisory Committee on Enforcement (ACE) assembled for its Annual Meeting to discuss current topics and country initiatives on IP enforcement. Delegates were pleased to resume in-person discussions after almost three years of virtual meetings, and the plenary consisted of well over 200 representatives of WIPO member states. The three-day conference focused on enforcement initiatives on the administrative, governmental, and judicial level and included important topics such as online infringements, the role of online intermediaries, new technologies, IP infringement—and national programs to address these important issues.

CIPC, as an invited delegate attended the meeting in person and the Africa Group nominated Ms. Lotheringen, of CIPC as Vice Chair. The meeting confirmed her appointment.

Raising awareness in forums such as the WIPO ACE plenary is a valuable opportunity for CIPC to share the work South Africa is doing towards better protection of IP rights and to encourage harmonization of enforcement mechanisms and processes.



The delegates interacting with International Guest Speakers

Education and Awareness

Ensuring dissemination of relevant information on intellectual property rights forms the cornerstones of effective IPR enforcement. During this quarter, five education and awareness sessions were hosted. The aim was to bring the value of IPR to entrepreneurial students in partnership with UNISA, DUT and other tertiary education institutions. Education activities increased due to effective use of online platforms. CIPC formed strategic alliances with the United States Trade Mark and Intellectual Property Office (USPTO) and the International Computer Hacking & Intellectual Property Attorney Advisor (ICHIP) for Internet Fraud and Public Health. The focus of the work is on Women in IP and Pharma Crime. Capacitating partners for both the public and private sector are a strategic priority.

Focusing on building respect for students, entrepreneurs and SMME's through a basket of IP offerings has also increased the demand for information on the value of IP in the business environment.

Copyright enforcement is a high priority and the best results are currently obtained through education and awareness. A high profile awareness campaign in partnership with the Swiss IP office is underway.

Sustainability and the Green Economy

CIPC is driving a project that focus on sustainability and the green economy. This project is envisaged to repurpose confiscated counterfeit clothing items through an artistic effort. Displaying the results will coincide with a conference planned with the Delegation of the European Union to South Africa, AfriPI EU IP Africa SME Helpdesk/ IP Awareness that will have a launch event in March 2023 as an awareness raising session for interested SMME's.

Quarter 3

8.1 Strategic Direction: To combat trademark counterfeiting and copyright piracy

The workload increased significantly during Q3 as travel opened up after the COVID pandemic kept us office bound for almost two years. Expectations for physical events increased. Working virtually also created unlimited opportunities to collaborate with like-minded individuals and agencies. These relationships are now growing into deeper connections that led to physical interactions.

Capacity Building and Training

Two main events were planned and hosted to build capacity and train enforcement partners. The first event, **Investigating and Prosecuting IP Crime**, took place over two days, **31 October and 1 November** under a main theme of Trademark Counterfeiting and its Role in Illicit Trade in the Pharmaceutical Industry.

The objective was derived from the knowledge that high quality pharmaceutical brands are losing market share due to the excessive inflow and manufacture of second-rate illicit counterfeit medicine and lifestyle products. Ensuring sufficient law enforcement capacity to deal with the influx is a strategic priority for the CIPC. As part of this capacity building event the formulation of a strategic approach to collaborate amongst each other and with private industry was a priority. 35 inspectors working in the medicines control area for the South African Health Products Regulatory Authority (SAHPRA). The training workshop supported collaboration efforts that facilitate effective enforcement and align industry and government strategies to win against a common threat. The collaboration came from a partnership that also supports enforcement on the African Continent. Each participant also received a certificate of participation.

The enforcement of Intellectual Property Rights (IPR) is one of the crucial cornerstones of economic growth. This interactive session contributed to highlighting challenges in the Pharmaceutical Industry and provided remedies that are available and how to access them.

The second event, **Africa Pharma Crime task Team** that was conducted **from 2 to 4 November** included participants from 22 African countries. Both English and French speaking. The Pharma Crime Task Group is an initiative of the Office of Overseas Prosecutorial Development Assistance and Training (OPDAT) Global Cyber and Intellectual Property (GCIP) International Computer Hacking and Intellectual Property (ICHIP) Africa. These offices are all part of the United States global initiatives to prevent and combat illicit trade in public health related goods. CIPC hosted the meeting in behalf of South Africa. The work done as part of this task team contributes greatly to combat counterfeit medicine not only in South Africa but on the African continent.

International capacity building programs, such as this training, are critical to South Africa and the international community's efforts to combat threats identified in the intellectual property environment, including the increasing health and safety risks posed by counterfeit goods, especially counterfeit automotive components.



Africa Pharma Crime task

Education and Awareness

One should never underestimate the importance of creating awareness to ensure that the general public is protected against the harms of counterfeit goods. South African consumers as all countries have seen an increase in the quantities of counterfeit goods, and to protect our economy and our consumers we must be able to adopt agile dynamic enforcement strategies that will allow us to stay a step ahead of the illicit supply chains. CIPC in collaboration with the International Trademark Association (INTA), and Adams & Adams, hosted a hybrid Anti-counterfeiting **Policy Dialogue on 7 November 2022**.

The discussions focused on the prevalence of counterfeited toys, board games and liquor in our marketplaces. The policy dialogue contributed to ensure a good basis for directing policy decision in this space.

Similar events in high priority area are envisaged to be hosted. The objectives are to focus on establishing synergies to support effective enforcement. 30 in person guests were invited and attended. Virtual participation was facilitated by a MS Teams Link.

During the discussion, the participants highlighted the need to:

- conduct trainings for customs officials
- further engagement with the judiciary,
- the importance of increasing sensitization among consumers, policymakers and other relevant stakeholders, and
- the need to advocate for landlord liability in connection with the illicit activities of their tenants.

The need for policy/legislation update was also raised. At the conclusion of the meeting, the participants concurred to step up their engagement with policymakers to foster cross collaboration within government agencies.

To work closely with local Municipalities is a CIPC and a dtic priority, and Kwa-Zulu Natal through their SMME support programmes are leading in this space. CIPC arranged a workshop for the eThekweni Municipality. It targeted the beneficiaries of their incentive platform. The workshop that focused on awareness and education to SMME's in ensuring compliance with IP Laws was held on 30 November. The session boasted 30 entrepreneurs that are also beneficiaries of the Municipality's incubation programme. Two guest speakers join the meeting remotely. The patent Division covered the inventor assistance programme and NIPMO demonstrated the Innovation Bridge.

Sustainability and the Green Economy - Upcycling of Counterfeit Goods

The Upcycling of counterfeit goods is gaining momentum and a launch of the work done by CIPC is envisaged in March 2023. A pilot project was conceptualized with 20 pairs of shoes, 20 bags and 20 denim jeans, all destined for destruction. CIPC facilitated the delivery to various artists that will have "carte-blanche"

to upcycle the products. The program provides job creation benefits, and special emphasis has been on recruiting women to participate. It is still in the pilot phase, and we are working to secure endorsement from the relevant rights holders for the program.

This program shows promise in addressing an environmentally unfriendly practice, that is, destroying seized counterfeit products like clothing and bags. Further collaboration with the clothing and textile industry and the dtic officials managing the clothing desk resulted in industry involvement. The footwear manufacturers can address the problems that scale pose and will also assist to exit people from poverty, create inclusion from cradle to work, and care for our planet. A partnership with Clothes to Good (CTG) support the diversion of counterfeit goods from landfill and incineration. Up-cycling into shoes is being investigated. All the waste material will be used in toys if possible and down cycling to other products if not.

Women in IP Offices

CIPC has been active to promote equity and inclusion of women employees, especially in the IP area. Topics covered included mentorship programs, staff exchanges, employee groups, and the collection of demographic data. Bridging networks with other organisations, for example IP Law Firms is also investigated to determine viability.



The delegates interacting with International Guest Speakers



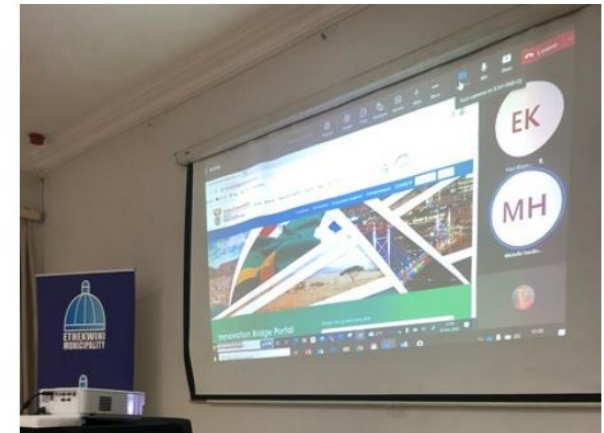
Certificates of participation were handed out.



Presentation on the Innovation Bridge a portal for SMME's.



Patents and the Inventor Assistance Programme was done.



9. Joint Indicators Report

<i>J-KPI</i>	<i>Focus Area</i>	<i>5-year Commitment</i>	<i>Q1 Progress</i>	<i>Q2 Progress</i>	<i>Q3 Progress</i>
<i>Delivery/Capable State</i>	<i>Entity Staffing</i>	Organisation Design and New Structure	OD in its final stages Gap analysis concluded. Solution design underway were the Commissioner is having one on one meeting with the Executives.	To-Be Organisational Structure is underway; the Office of the Commissioner is looking at it.	o-Be Organisational Structure is underway; the Office of the Commissioner is looking at it.
		Build appropriate staff competencies and capabilities	Skills audit is completed waiting for consultation and approval.	Skills audit is completed waiting for consultation and approval.	Skill Audit report has been adopted by EXCO. Skills Development Programme intervention will be implemented with the assistance of a Service Provider.
		Substantive and Search Examination Capacity	Examiners training & Experiential Learning	Examiners training & Experiential Learning	Examiners training & Experiential Learning
	<i>Governance Capacity</i>	Policies regularly reviewed	A policy register is kept and monitored. 42 out of 52 policies are up to date.	39 out of 52 policies are up to date and there are 3 new planned policies. Policies are reviewed at least after three years.	40 out of 52 policies are up to date and there are 3 new planned policies.
		Clean Audits	N/A	Clean Audit for 2021/22	N/A
	<i>Quick-Response</i>	Reduce average turnaround times to less than a day	Companies and Co-operatives registration – 1 day, Queries – 3 days	Companies and Co-operatives registration – 1 day, Queries – 3 days	Companies and Co-operatives registration – 1 day, Queries – 3 days
		Modernise systems and automate processes	29 services were planned to be released during Q1. Services was not released due to incomplete testing by business as well as the instability of connections to DHA that support these services	29 services planned for release in Q1 was rolled over to Q2. DHA connectivity still has not been resolved, however additional resourcing has been allocated for reviewing development for any errors as well as Business UAT. As a fast tracking mechanism, 32 services have been identified to be released as	29 services planned for release in Q1 was rolled over to Q2. DHA connectivity still has not been resolved; however, additional resourcing has been allocated for reviewing development for any errors as well as Business UAT. As a fast tracking mechanism, 32 services have been identified to be released as

<i>J-KPI</i>	<i>Focus Area</i>	<i>5-year Commitment</i>	<i>Q1 Progress</i>	<i>Q2 Progress</i>	<i>Q3 Progress</i>
<i>Transformation</i>				part of a soft launch on 14/10/2022. This will be done subsequent to completed development and UAT	part of a soft launch on 14/10/2022. This will be done subsequent to completed development and UAT
	<i>DDM</i>	Extend CIPC Services to the 52 Districts/Metros	Virtual channels to extend access throughout South Africa and abroad	Virtual channels to extend access throughout South Africa and abroad	Virtual channels to extend access throughout South Africa and abroad
		Education and awareness programme	Education and awareness events over 40	Education and awareness events over 50	Education and awareness events over 60
	<i>Integrated Delivery</i>	Collaboration with identified strategic partners	Continued with collaboration	Continued with collaboration	Continued with collaboration
		BizPortal	Services added on the platform	Services added on the platform	Services added on the platform
	<i>B-BBEE promotion and review (black industrialists , women, youth and PWD)</i>	Number of enterprises that are at least 51% black youth owned that have been supported directly or indirectly	0	1	3
		Number of enterprises that at least 51% Black Women Owned enterprises supported directly or indirectly	57	2	1
		Number of enterprises that are at least 51% black people with disability owned that have been supported directly or indirectly	7	0	0

J-KPI	Focus Area	5-year Commitment	Q1 Progress	Q2 Progress	Q3 Progress																											
Industrialisation		Number/percentage of SMMEs supported	0	10	10																											
	Localisation	Simplify processes to contribute to localisation and formalization of local firms	Continued to simplify the registration and business maintenance function through digitisation to contribute to improved localisation and formalization of local firms. See Table 1.	Continued to simplify the registration and business maintenance function through digitisation to contribute to improved localisation and formalization of local firms. See Table 1.	Continued to simplify the registration and business maintenance function through digitisation to contribute to improved localisation and formalization of local firms. See Table 1.																											
		Education and awareness of business and IP regulation and benefits thereof.	Continued with education and awareness for SMMEs, institutes of higher learning, and school kids to educate about the role of intellectual property (IP) in the economy and to encourage the registration of inventions; as well as improving compliance with the Company Act No. 71 of 2008, such as the annual returns filing, the submission of the audited financial statements etc. See Performance Tables for the number of education and awareness events.	Continued with education and awareness for SMMEs, institutes of higher learning, and school kids to educate about the role of intellectual property (IP) in the economy and to encourage the registration of inventions; as well as improving compliance with the Company Act No. 71 of 2008, such as the annual returns filing, the submission of the audited financial statements etc. See Performance Tables for the number of education and awareness events.	Continued with education and awareness for SMMEs, institutes of higher learning, and school kids to educate about the role of intellectual property (IP) in the economy and to encourage the registration of inventions; as well as improving compliance with the Company Act No. 71 of 2008, such as the annual returns filing, the submission of the audited financial statements etc. See Performance Tables for the number of education																											
		Focus on growth and sustainability of SMMEs evident in local filings through teaching them the value of intellectual property rights has led to an increase in awareness and interest in the	<table><tr><th>IP Area</th><th>Local filings</th><th>Foreign Filings</th></tr><tr><td>Patents</td><td>425</td><td>3 126</td></tr><tr><td>Designs</td><td>190</td><td>250</td></tr></table>	IP Area	Local filings	Foreign Filings	Patents	425	3 126	Designs	190	250	<table><tr><th>IP Area</th><th>Local filings</th><th>Foreign Filings</th></tr><tr><td>Patents</td><td>437</td><td>3137</td></tr><tr><td>Designs</td><td>147</td><td>245</td></tr></table>	IP Area	Local filings	Foreign Filings	Patents	437	3137	Designs	147	245	<table><tr><th>IP Area</th><th>Local filings</th><th>Foreign Filings</th></tr><tr><td>Patents</td><td>347</td><td>2761</td></tr><tr><td>Designs</td><td>214</td><td>287</td></tr></table>	IP Area	Local filings	Foreign Filings	Patents	347	2761	Designs	214	287
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J-KPI	Focus Area	5-year Commitment	Q1 Progress		Q2 Progress	Q3 Progress														
		services of CIPC. We also focus on disadvantaged groups including women. Our efforts aim to promote the value of protecting IP rights and having respect for it.																		
	Investment	The CIPC administer Chapter 4 of the Companies Act No. 71 of 2008, as amended, which provides for public offer regulation of securities transactions . In essence, no public offer of securities may be made by a company unless the disclosure requirements in Chapter 4 have been complied with (unless exempted). The disclosure document is known as a Prospectus. To demonstrate the value and impact of this exercise, we directed companies to provide verified formal reports on the amount of capital raised from the public	<table><tr><th>CAPITAL RAISED REPORTED DURING MAY 2022</th><th>Reported Capital Raised for Q1</th></tr><tr><td>BAILEY EP 12 LIMITED 2021/619442/06 NO 56 OF 2021</td><td>R 15 222 350.00</td></tr><tr><td>DESTINATA EQUITY FUND LIMITED 2019/193661/07 NO 57 OF 2021</td><td>R 1 069 000.00</td></tr><tr><td>RENCCELL II LIMITED 2018/195619/06NO 60 OF 2021</td><td>R 1 658 000.00</td></tr><tr><td>AREIT PROP LIMITED 2021/837953/07 NO 63 OF 2021</td><td>R 167 863 120.00</td></tr><tr><td>BALLITO HILLS EP 16 LIMITED NO 2021/620568/06 NO 66 OF 2021</td><td>R 16 029 042.80</td></tr><tr><td>MEDIA MILL EP 17 LIMITED 2022/236833/06 NO 8 OF 2022</td><td>R 4 935 762.83</td></tr></table>		CAPITAL RAISED REPORTED DURING MAY 2022	Reported Capital Raised for Q1	BAILEY EP 12 LIMITED 2021/619442/06 NO 56 OF 2021	R 15 222 350.00	DESTINATA EQUITY FUND LIMITED 2019/193661/07 NO 57 OF 2021	R 1 069 000.00	RENCCELL II LIMITED 2018/195619/06NO 60 OF 2021	R 1 658 000.00	AREIT PROP LIMITED 2021/837953/07 NO 63 OF 2021	R 167 863 120.00	BALLITO HILLS EP 16 LIMITED NO 2021/620568/06 NO 66 OF 2021	R 16 029 042.80	MEDIA MILL EP 17 LIMITED 2022/236833/06 NO 8 OF 2022	R 4 935 762.83	See the table below	See the table below
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MEDIA MILL EP 17 LIMITED 2022/236833/06 NO 8 OF 2022	R 4 935 762.83																			

<i>J-KPI</i>	<i>Focus Area</i>	<i>5-year Commitment</i>	<i>Q1 Progress</i>	<i>Q2 Progress</i>	<i>Q3 Progress</i>
		The CIPC contributes to promotion of investment through training of law enforcement officials. Capable law enforcement officials effectively deal with the scourge of counterfeit products in our market places therefore ensuring a reputable business environment conducive for investment. The CIPC continuously trains the officials from organisations such as the South African Revenue Services (SARS), the South African Police Services (SAPS), and the National Prosecution Authority (NPA).	2 events	1 event	2 events
		On Substantive Search and Examination (SSE), the CIPC is at advanced stages of preparing the	Examiners training & Experiential Learning	Examiners training & Experiential Learning	Examiners training & Experiential Learning

<i>J-KPI</i>	<i>Focus Area</i>	<i>5-year Commitment</i>	<i>Q1 Progress</i>	<i>Q2 Progress</i>	<i>Q3 Progress</i>
		examination team for the envisaged implementation of SSE. Official implementation of the SSE is dependent on the proposed legislative reforms. The broader impact of implementing SSE is to ensure that artificial monopolies created by patent rights are justified and not unjustifiably hindering industrialisation and investment.			

	Reported Capital Raised
<i>RALTECH LIMITED 2020/092284/06 NO6 OF 2022</i>	R 0
<i>CAPITAL RAISED REPORTED DURING NOVEMBER 2022</i>	Reported Capital Raised
<i>SILVERLEAF INVESTMENTS LIMITED 2018/374812/06 NO 15 OF 2022</i>	R 4 478 000.00
<i>CILO CYBIN HOLDINGS LIMITED 2022/320351/06 NO14 OF 2022</i>	R 20 469 256.00
<i>WESTBROOKE YIELD PLUS PLC 2-3-1/COR46.5/ WYPP NO 7 OF 2022</i>	R12 581 913.17
<i>GO GETTA LIMITED 2018/462487/06 NO 3 OF 2022</i>	R 0.00
<i>CAPITAL RAISED REPORTED DURING DECEMBER 2022</i>	Reported Capital Raised
<i>FYNBOS EP 22 LIMITED 2022/235321/06 NO20 OF 2022</i>	R 8 076 823 .33
<i>OLD MUTUAL BULA TSELA RETAIL SCHEME LIMITED 2021/474341/06 NO17 OF 2022</i>	205 326 842 SHARES