

CHAPTER-V

CONCLUSION AND RECOMMENDATIONS

The irregularities noticed during the review of the Transport Department have been discussed in the preceding chapters. The conclusions arrived at and summary of recommendations are mentioned in the succeeding paragraphs.

5.1 Conclusion

Despite instructions of GOI in 2002 to implement the standard software applications 'VAHAN' and 'SARATHI', little progress could be achieved by the State Government. By March 2009, only 19 RAs out of 26 RAs were using the 'VAHAN' package while only nine RAs were using 'SARATHI' for issuing driving licenses. Thus, the IT system had restricted geographical coverage. The RAs were not linked up and thus, no progress could be made in implementing a state wide area network to ensure that the entire state wide data of motor vehicles was available at a central server. Consequently, the State register of Motor Vehicles could not be prepared which in turn impacted on the preparation of a National Register of Vehicles. Even after a lapse of six years from the date of commencement of computerisation, all the modules are not yet operational and some of the applications are still being done manually. A locally developed software was being used in a few RAs for accounting purposes and such an application carried risks from the control point of view. Thus, the objectives of computerising the system of registration and taxation of vehicles and issuing of driving licenses could not be fully achieved.

The Department did not have an IT strategy or an IT plan leading to absence of direction in the IT implementation. The system was further compromised when complete information was not captured in the database and deficient input controls and validation checks, non-mapping of business rules and probability of manual interventions made the data unreliable. Lack of adequate supervision resulted in erroneous data capture thereby resulting in data redundancy. The IT procedures and management of changes were not satisfactory and records and relevant documentation describing the impact and testing of IT changes did not address all recent changes to the business rules. Legacy data was not weeded out from the database rendering it unreliable. The Department had not formulated and documented any security policy and had not issued any guidelines for protection of hardware and software of the system. Preventive and detective measures like installing and updating antivirus software, user's id and passwords were left to the discretion of the RAs, thus putting the assets at risk.

The Department was not able to extract useful information from the system regarding defaulters and has thus failed to exploit the full potential of the IT system. The system as a management information system (MIS) was inadequate.

No Manual detailing the working of and the process of collection of motor vehicle taxes, fees and fines was prepared by the Transport Department. The Department did not have an Internal Audit Wing and no internal audit was ever conducted, as a result of which the weaknesses in the functioning of the Department remained undetected.

5.2 Summary of recommendations

The Government may consider taking the following steps to enhance the efficiency and effectiveness of the Transport Department:

- developing an IT strategy and an IT plan to avoid ad-hoc implementation of the computerisation efforts;
- setting a time frame for early completion of all functions and in all RAs;
- establishing a State wide area network with interconnectivity of all offices to integrate the database so that the data being captured at RA level can be integrated at the state level in order to establish the State Register of vehicles;
- incorporating stringent input and validation controls into the system to ensure that unauthorised, invalid and non-existing data is not fed into the system to enhance data reliability and completely eliminate manual intervention;
- maintaining a well documented change management procedure for ensuring transparency and effective internal controls;
- drawing up an IT security policy with adequate documentation with a credible threat assessment mechanism and disaster recovery and business continuity plan for harnessing optimum output from the system;
- generating periodical reports from the system as a tool of management information system to aid the management to monitor the revenue collection and take suitable corrective measures; and

- establishing an internal audit wing for conducting periodical audit of the Department and preparing a manual detailing the internal control mechanism in the Department.

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