# SYSTEM STUDY, GOVERNMENT PROCESS RE-ENGINEERING (GPR) STUDY AND SYSTEM AUDIT FOR e-MOTORING PROJECT

**Final GPR Report**

September 2009

Government Process Re- Engineering (GPR) Assignment
for Department of Motor Traffic, e-Motoring Project.

**Confidential Final Report**

**Table of Content**

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## ACKNOWLEDGEMENTS

**REMOVED BY THE PROCUREMENT ENTITY**

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## ABBREVIATIONS - USED ACROSS THIS REPORT

| | |
|---|---|
| DMT | *Department of Motor Traffic* |
| VID | *Vehicle Identity Card* |
| CR | *Certificate of Registration* |
| CUSDEC | *Customs Declaration* |
| DS | *Divisional Secretariat* |
| DDO | *DMT District Office* |
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Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

# 1.0
# EXECUTIVE SUMMARY

## 1.0    EXECUTIVE SUMMARY

### INTRODUCTION

The e-Motoring project was initiated in February 2009, with the objective of defining the re-engineered business processes that could facilitate the introduction of a new IT based system that could enhance the service standards and improve the cycle times offered to the citizens. This Government Process Re-engineering study will also form the basis of the ICT solution to be implemented at the Department of Motor Traffic (DMT).

The Department of Motor Traffic (DMT) established over 100 year ago with the purpose of maintaining a register of vehicles and monitoring its usage. This involved the issue of unique registration number to identify vehicles and in act laws and regulations to effectively manage the motor traffic. Even today most of the responsibilities assigned to the department are being carried out centrally.

The DMT is also the authorized agency for issuing Driving Licenses to the Public. However, as there had been a separate project to implement a new and efficient system to issue and renew Driving Licenses, all processes related to Driving Licenses is outside the scope of this assignment.

The first registration of vehicles is commonly undertaken by either the importer or the manufacturer of the vehicle – and the owner of the vehicle is rarely directly involved with the process.

Due to the centralized nature of operations at the DMT our study was mainly confined to the operations of the DMT and their stakeholders.

Prior to studying the processes at DMT, detailed interviews were conducted with the Senior and Middle Level Management to establish a better understanding on the Vision, Mission

and Objectives of the Department of Motor Traffic. The observations of the consultants were that there was a high degree of convergence between the Senior and Middle Level Management with regard to the Vision and Mission of the organization, which is highly commendable.

The consultants thereafter studied in detail all the existing processes of the organization. The detailed understanding of the process was obtained through interviews conducted with the staff that actually process the applications and participate in the process. The consultants followed each type of application processed by the department.

The methodology that was followed is explained in more detail in Chapter 4 of this report but a primary objective was to ensure as many employees as feasible be involved with the re-engineering process. The rationale for involving as many as possible – while taking additional time on one hand was to ensure greater ownership of those within the department towards the new system, especially to facilitate a smooth implementation of the future system.

Due to the high degree of change envisaged in the re-engineered processes – it was decided to conduct the re-engineering workshops at two levels. Initially, the Policy Level Re-engineering and thereafter the Operational Level Re-engineering.

The report identifies a summary of the policy decisions made at the workshops, which was later validated with the management during various stages of the walkthroughs or operational re-engineering workshops.

The re-engineered processes have taken into consideration the ICT infrastructure that would be introduced to the Department of Motor Traffic and its District Offices as well as the interfaces required by the Divisional Secretariat offices – who would continue to accept documents on behalf of the DMT.

The administrative and financial procedures of the department are outside the scope of this study.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

The Re-engineered System has assumed the current information on the vehicles registered would be available and the documents required to be maintained will be captured onto the system – when the proposed system is being implemented.

## CROSS-FUNCTIONAL CORE PROCESSES

The Department has currently been structured and operations organized around a combination of different types of applications and functional activities. New applications are divided into 2 sections based on the class of vehicle and transfers are handled by 6 sections also based on the class of vehicle. In addition other functional divisions such as Technical, Number Plate Distribution, IT, Accounts, Record Room, Investigations and Administration support the main divisions supporting the customer.

Following detailed study of the processes of the department the Policy Re-engineering team, which comprised of approximately 50 members of the staff from the Department (including the senior management) with the assistance of the GPR Specialists as the facilitators identified the following **Core Cross Functional Processes:**

## Core Cross-Functional Processes of the DMT

**A:**      **Registration of Importers/Manufacturers and Vehicles.**

**B:**      **Registration of 1st Owner.**

**C:**      **Registrations of Changes to Ownership and Vehicle Attributes.**

**D:**      **Managing Revenue Collection of Authorized Entities and 3rd Party Information Providers.**

**E:**      **Managing of Queries/Complaints and Investigations.**

**F:**      **Document Management.**

The Core Cross Functional Processes identified span across the entire department irrespective of the functional department or division.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**GENERAL OBSERVATIONS**

1. In general, the opinion of the Public is that the Department has improved it efficiency in the recent past due to the many changes undertaken within the department and the commitment of the staff to serve the public.

2. Despite this increased efficiency the public are reluctant to carry out their transactions and solicit the support of 3$^{rd}$ parties to undertake the transactions with the DMT on their behalf.

3. Despite the increase in efficiency there are occasions where the processing of applications have taken over 1-2 years with the applicant having to visit the Department on multiple occasions.

4. The DMT relies heavily on the information transferred from the Customs to validate the accuracy of the vehicles imported into the Country.

5. The information provided by the Customs is NOT directly generated through the ASYCUDA System.

6. Despite the laws and regulations, vehicles continue to run on 'Open Papers'.

7. Instances of the vehicles changing its classification from the point of importation to the point of registration with the DMT have been reported.

8. Instances of Duplicate Chassis Numbers being registered have been reported.

9. The Certificate of Registration is a controlled document but reconciliation of the documents are not carried out on a periodic manner.

10. The number of applications/customers not been served on their first visit due to insufficient documents/information is very high (considering the straight forward nature of the requirements).

11. The motor bikes registered in the District Offices are not captured onto the system.

12. The applications received from the Divisional Secretariats were incomplete and the amounts charged were inaccurate.

13. The updating of the DS staff on the procedures of the Department with the object of improving the awareness had not been undertaken in a regular and structured manner, which may have lead to the above situation.

14. The time taken to process applications without errors is quite efficient as most systems at the DMT are already computerized.

15. Most of the leasing companies utilize pre-signed MTA 6/8 applications forms to transfer the seized vehicles, instead of the Section 12(4) application, which may deprive an owner of his rights.

16. Most one day transfers are done on the basis of the documents submitted by the owner – and these papers are often filed separately from the original file.

17. No clear procedure is defined to withdraw objections that have been placed on vehicles.

18. No clear procedure to reconcile the monies received with the services provided – except for the direct link between the bank and the DMT system is currently in place.

19. Information on the monies collected as Diesel Tax and Luxury Tax are not readily available for verification.

20. Response to queries are being undertaken – but the procedure does not ensure all queries have been responded to and in a timely basis.

21. Due to a lack of a knowledgebase the responses to similar queries may be different (and dependent upon the individual).

22. The area available for maintaining files is inadequate and locating files is very difficult.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**CRITICAL SUCCESS FACTORS (CSF)**

| Process | Critical Success Factors |
|---|---|
| **A: Registration of Importers/ Manufacturers and Vehicles** | ▪ To ensure all vehicles are imported or manufactured based on a valid Prototype Certificate<br><br>▪ To ensure **all** vehicles imported / manufactured are registered and Vehicle ID issued.<br><br>▪ Ensure the chassis number is inspected prior to issue of the Vehicle ID.<br><br>▪ The registration is done at the speed of clearance / manufacture (**zero** complaints from on vehicle registrations). |
| **B: Registration of 1ˢᵗ Owner** | ▪ To ensure all vehicles sold to 1ˢᵗ owner is accurately registered within the time specified in the Act.<br><br>▪ To ensure the CR and Number Plates are handed over to the owner within – xx days.<br><br>▪ To ensure the DMT Is aware of the importer/owner of all the vehicles in Sri Lanka. |
| **C: Registrations of Changes to Ownership and Vehicle Attributes** | ▪ To ensure all transfers are registered within the time frame specified by the act.<br><br>▪ To ensure all changes to any attribute of the vehicle is captured within one year.<br><br>▪ To ensure duplicate documents are only issued to the registered owner. |
| **D: Managing Revenue Collection of Authorized Entities and 3ʳᵈ Party Information Providers** | ▪ To ensure all monies are accurately collected by Revenue Collectors.<br><br>▪ To ensure all monies collected are received by the DMT or GOSL.<br><br>▪ To ensure all information from service providers are gathered and updated. |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

| Process | Critical Success Factors |
|---|---|
| **E: Managing of Queries/Complaints and Investigations** | ▪ To ensure all investigations are completed within a specified time frame.<br>▪ To ensure all queries are answered within a specified time frame. |
| **F: Document Management** | ▪ To ensure all day-to-day transactions could be carried out based on the electronic files available within the system.<br>▪ Availability of files during stock-take. |
| **Overall Departmental CSF** | ▪ To build more effective information exchange with the Customs, Treasury and Department of import and Export.<br>▪ Ensuring the agents are responsible for processing all prototypes.<br>▪ Effective information sharing with the Provincial Motor Traffic Department, Insurance Companies and Banks.<br>▪ Negotiating with both state banks to accept payment from any branch for DMT Services and submitting schedules in electronic format.<br>▪ Ensuring all District Offices are equipped to carry-out all transactions of the Department.<br>▪ Ensure alternate methods of communication are available when systems are down and the citizen is not inconvenienced. (Including power outages at District Offices & Head Office).<br>▪ Well trained, motivated and citizen centric staff.<br>▪ Training of DS, Nanasala and Internet Café staff to support citizens in obtaining DMT Services. |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**STRETCH GOALS**

| Process | Stretch Goals |
|---|---|
| **A: Registration of Importers/ Manufacturers and Vehicles** | ▪ To ensure **100%** of vehicles imported or manufactured are issued with accurate Vehicle ID issued.<br>▪ Ensure **zero** complaints from the port on delays in vehicle registrations. |
| **B: Registration of 1st Owner** | ▪ To ensure **100%** vehicles sold to 1st owner is accurately registered within the time specified in the Act.<br>▪ To ensure the CR and Number Plates are handed over to the owner within a day |
| **C: Registrations of Changes to Ownership and Vehicle Attributes** | ▪ To ensure **100% of** ownership changes are registered within the time frame specified by the act.<br>▪ To ensure **100%** of changes to any attribute of the vehicle is captured within one year.<br>▪ To ensure customers visiting DMT more than once due to short comings in documentation is less than **10%** of all customers serviced.<br>▪ To register voluntary ownership changes within **1** day. |
| **D: Managing Revenue Collection of Authorized Entities and 3rd Party Information Providers** | ▪ To ensure Revenue Collectors collect **100%** of the revenue collectable.<br>▪ To ensure **100%** all monies collected is received by the DMT. |
| **E: Managing of Queries/Complaints and Investigations** | ▪ To ensure **100%** investigations are completed within a specified time frame.<br>▪ To ensure **100%** queries are answered within a specified time frame. |
| **F: Document Management** | ▪ To ensure **100%** of day-to-day transactions could be carried out based on the electronic files available within the system.<br>▪ Moving into a **100%** electronic document based organization within 3 years. |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**PROCESS OWNERS**

| Process | Process Owners |
|---|---|
| **DMT Project Owner** | Removed by the Procurement Entity<br>▪ |
| **Overall Champion of the Project** | ▪ |
| **A: Registration of Importers/ Manufacturers and Vehicles** | ▪ |
| **B: Registration of 1st Owner** | ▪ |
| **C: Registrations of Changes to Ownership and Vehicle Attributes** | ▪ |
| **D: Managing Revenue Collection of Authorized Entities and 3rd Party Information Providers** | ▪ |
| **E: Managing of Queries/Complaints and Investigations** | ▪ |
| **F: Document Management** | ▪ |

In order to ensure adequate attention was placed on all processes it was felt that each process should have an identified process owner. The process owners were identified very early in the re-engineering exercise and briefed on their responsibilities.

**RESPONSIBILITIES OF THE PROCESS OWNERS**

The responsibilities of the Process Owners were identified and agreed as follows:

- To guide his/her group during the operational re-engineering workshops.
- Identify others members who should be involved later when undertaking the Operational Re-engineering.
- Agree on the Best Process based on team consensus.
- Identify & Change or Develop Input/Output documents & reports formats.
- Agree on the Process.
- Ensure what is agreed is what is finally delivered.

**RECOMMENDATIONS**

A detailed description of decisions made based on our recommendations is given in Chapter 8 of our report.

However, stated below are a summary of the more important decisions taken and the recommendations agreed upon.

The following policy level decision have been made and agreed with the Commissioner General of the Department of Motor Traffic – However, some of these decisions may require ratification.

- Decentralize the operations of the DMT initially to District Level DMT offices and thereafter to Divisional Secretariat (DS) Level with coordination through District offices.

- All transactions with the public could be done through the internet. Those without such facilities may visit the DS, District Office or Head Office and obtain the required support to interact with the system.

- Any new owner will be required to visit the DMT office and place his signature. For those incapacitated – a certified signature card would be an alternative.

- The current form of the VIC will be abolished and a Vehicle ID (VID) will be issued at point of import. This card will contain only vehicle details and will not change with – change of ownership.

- All vehicles will be inspected prior to the issue of the VID.

- Import / manufacture of vehicles would be limited to those with a valid prototype for the specific vehicle.

- Where duplicates chassis numbers are identified – a CMT chassis number will be engraved on such vehicles.

- At the point of transfer the owner is required to register the sale and obtain an acknowledgement from the DMT – instead of the MTA 6.

- Every applicant will be required to confirm the availability of the documents and obtain an appointment prior to visiting the DMT. Those visiting the DMT directly

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

could make the appointment on arrival at the DMT after certifying the completeness of the documents.

- Payment Instructions will be issued in advance and the applicant permitted to effect payment at any branch of a bank nominated by DMT.

- The Provincial Motor Traffic Department is requested to suspend the issue of licenses for black listed vehicles – until the issue is resolved with the DMT.

- Information will be provided to identified organizations and authorized public.

- The system will be required to cater to the new Registration Number format proposed by the DMT.

- All chassis numbers issued by the DMT will conform to the international WIN format adopted for chassis numbers.

- Changes to the legislature have been discussed in general at the operational re-engineering workshops – however this issue would have to be studied in greater detail and the necessary amendments in-acted prior to implementation of the system.

- All Revenue Collection Entities (e.g. Insurance Companies) must issue receipts generated through the DMT system.

- All day-to-day transaction of the DMT will be based on electronic documents and the physical file once deposited will not be removed from the record room.

- The DMT will ensure its document management systems will be audited and compliance with the e-Transaction Act certified within 3 years of implementing the system.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

Confidential Final Report

# 2.0
# BACKGROUND

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## 2.0 BACKGROUND

The Department of Motor Traffic (DMT) was established in the early part of the 20th Century with the objective of having a record of the vehicles used in Sri Lanka. Later with the growth of the number of vehicles the DMT was also tasked with the responsibility of regulating the vehicles and to pass the necessary laws to ensure same. The DMT is also responsible for the issue of driving licenses.

The DMT has a computer based system that supports the operations of 1st Registration and Transfers. The system has been in operation for over 15 years. Due to the increasing complexity of the business processes the system is finding it difficult to support the needs of the users.

Although a system is available the operations of the DMT are yet structured around the manual documents that were introduced during the early stages of the department.

Documents required for the day-to-day operations of the department yet remain in physical files and the DMT is in the process of evaluating options with regards to the digitizing of these documents. Due to the high number of files maintained within the DMT the space required to maintain the documents is very high.

Despite the great improvements in the internal operations of the department the public requiring the services of the department have to visit the organization on multiple occasions. The main reason being inadequacy in the documentation when submitting the papers.

The public are also facing a great deal of inconvenience when applications are handed over to Divisional Secretariats for effecting the transfer – as the documentation is incomplete and the amounts charged are not consistent with the tariff specified by the DMT. In addition the locating of documents is an issue until it is received at the DMT and taken into the system.

It was permitted to register and transfer vehicles (motorbikes) through the district offices. This was done to facilitate greater convenience to the public. However, the downside of this decentralization is the information not being available on the centralized computer system of the DMT.

There were instances of duplicating the Certificates of Registration. However, with the security features introduced in the new Certificate of registration the instance of such duplication and forgery has been minimized.

The information regarding the accuracy of the documents cannot be checked by the public due to a policy of not sharing information. This has led to unsuspecting public purchasing vehicles with issues and/or objections and being saddled with the issue and being unable to transfer the vehicle in their name.

The class of the vehicle is modified from the point the vehicles are cleared to the point of registering the vehicle. Once again this is done based on modifications done to the customs documents. Although the DMT bases most decisions on the information provided by the Customs – this information is not a direct extraction from the Customs ASYCUDA system. In order to comply with the DMT information requirements the data is re-entered by the officers at the Customs onto a computer system that provides the information to the DMT.

It was based on this back drop the re-engineering initiative was initiated at the DMT.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

# 3.0
# SCOPE OF THE ASSIGNMENT

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## 3.0 SCOPE OF THE ASSIGNMENT

The **BPR Study Report** shall address the following areas.

a) **Business Area Description.** Identify and describe the business area, its major functions and interfaces with other business areas, customers, and locations where operational activities take place.

b) **Current Business Processes.** The current operations of the department and the "as is" business processes will be studied in detail in order to understand the operations of the department as well as the issued faced.

c) **Opportunities for Improvement.** Identify areas in the current business process where deficiencies can be eliminated and improvements can be made, including analysis of alternative material and non-material solutions. Quantify the improvements, if possible.

d) **Improved Business Processes.** Describe the new "to-be" concept of operations and business processes. The level of detail for the "to-be" business processes should adequately detailed for the Systems Analysts to develop functional requirements for the new or modified automated information system.

e) **Performance Indicators.** These will be the Critical Success Factors and Stretch Goals that will be identified. Examples could include: the accuracy of the documents issued by the DMT or ensuring timeliness of the registration ,etc.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

# 4.0
# METHODOLOGY

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

# 4.0 METHODOLOGY

### 4.1 UNDERSTANDING THE OVERALL OBJECTIVES OF THE DEPARTMENT

The initial activity was to get a good understanding on the Vision, Mission & Objectives and Business Areas of the Department and how the organization is structured.

### 4.2 UNDERSTANDING THE PROCESSES UNDERPINNING THE OPERATIONS

An overall understanding of the operations of the Department was obtained in order the consultants are familiar with the activities & nomenclature of the Department. The area covered included;

- Understanding the key responsibilities of the management.

- The activities/processes as currently structured.

- The key players within these processes.

- The flow of activities across functional boundaries.

- Issues encountered in relation to speed, service, information requirements, etc.

- Managements Vision for the relevant processes.

### 4.3 IN DEPTH ANALYSIS OF THE CURRENT PROCESSES

The current processes were studied in detail and input was obtained from those directly involved with the process. At this stage the issues / problems encountered and the probable reasons for such issues were also identified. The consultants also studied the issues related to documentation and control within the process. The study was also extended to reviewing the Records & Registers being maintained and ascertaining their use and necessity.

### 4.4 "PINNING" TO THE APPLICATIONS

As part of the Methodology the process was tracked by 'pinning' to the various types of applications / documents received by the Department from start to end. This provided the consultants a good understanding of the Cross-Functional nature of the process and the issues encountered by those involved with the process. The overall cycle time for the process was identified through documentation review.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**4.5** **RE-ENGINEERING WORKSHOPS**

The re-engineering workshops were broken up into 4 phases as stated below;

- Training program on the principles of re-engineering.

- Defining the overall scope of the re-engineering project.

- Policy-Stage re-engineering.

- Operational-Stage re-engineering.

**4.6** **POLICY – STAGE RE-ENGINEERING**

- Agreement on the Departmental Vision, Mission & Objectives.

- Decide on the Core Processes.

- Decide on the Process Owners & Objectives.

- Agree on the Stretch Goals

- Conduct High Level Re-engineering of the Process.**OPERATIONAL – STAGE RE-ENGINEERING**

- To validate the decisions taken during the Policy – Stage Re-engineering workshops.

- Walkthrough and validate the re-engineered process.

- To define the Inputs & Reports required for the process.

**4.8** **FINAL DOCUMENTATION**

The final documentation was prepared based on the findings and conclusions of each sage.

**TOOLS UTILIZED**

A combination of tools stated below was use during the project:

- One to One interviews.
- Group interviews.
- Customer Surveys.
- 'Pinning' to the Application / Document.

- Document flow analysis.
- Document usage analysis.
- Information requirement analysis.
- Brain Storming Sessions.
- BPR Workshops.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

The following officers of the department were interviewed in addition to those involved with the processes:

- Removed by the Procurement Entity

In addition to interviewing the internal staff of the DMT, interviews were conducted with the external stakeholders of the DMT which included;

- Banks

- The Sri Lanka Customs

- The Department of Import & Export

- Leasing Companies

- Insurance Companies

- Provincial Motor Traffic Department

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

- Vehicle Importers

- Manufacturers

- Sri Lanka Police

- Treasury – Excise Duty

- Number Plate Manufacturing Company

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

# 5.0
# RE-ENGINEERING THE PROCESS

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

28 of 236

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## 5.0 RE-ENGINEERING THE PROCESS

### 5.1 VISION OF THE DEPARTMENT

Excellence in Motor Traffic Regulating For Highest Public Appreciation.

### 5.2 MISSION OF THE DEPARTMENT

Through team work of motivated staff and modern technology executing the rules and regulations entrusted by the Motor Traffic Act and others in an efficient manner for high public appreciation.

### 5.3 OBJECTIVES OF THE DEPARTMENT

- To fully decentralize the operations of the Department to the District level.
- To ensure that the department is fully aware of all vehicles within the country.
- Ensure DMT offers a convenient & courteous service to all citizens obtaining our services.
- To ensure that there is a secure method to register the vehicles and issue Vehicle IDs.
- To ensure the information maintained of the vehicle is current.
- To ensure the accurate information is maintained and represented in the documents issued by the DMT.
- Ensure all transfers are registered as specified in the Motor Traffic Act.
- To offer fast service for those who require clarifications regarding a vehicle.
- To maintain all records/information of vehicles in a confidential and secure manner.
- To maintain a single number for each vehicle through its life-time (changes only for the older numbers).

### 5.4 ASSUMPTIONS

It has been agreed that the GPR will be undertaken based on the assumption that the following will be available prior to the implementation of this system.

- **Lanka Government Network(LGN) :** This would ensure that all Divisional Secretariat offices and the Department of Motor Traffic and its Distric Offices are

connected electronically where large amounts of data could be transferred at high speeds. (The report has identified that there would be a need for the system to operate in situations where LakGovNet is not operational).

- **DS (Divisional Secretariat):** The DS will support the operations of the DMT and an Officer of the DMT will be assigned to the Divisional Secretariat Office to support the public – in matters related with their Motor Vehicles.

- **Nanasala Program:** This programs will enable citizens the access to internet that would be essential in offering a superior service to the citizens.

- **Training Programs for Dept. Staff:** The training of the DMT staff on ICT and other soft skills would be vital for the success of the project.

- **ICT Infrastructure & support:** It is assumed that the required ICT infrastructure and support at the DMT Office and all District Offices will be available for this project and the Officer at the DS will also be provided with the required infrastructure to discharge his responsibilities.

- **Export of existing Data:** The data already within the System will be available for the new process.

- **Digitizing of the Current Files:** The current files will be available at the time of implementation in electronic format.

- **Legal Issues:** All legal issues will be addressed prior to the implementation of the system.

- **Stakeholder Support:** Where 3$^{rd}$ party support is required these matters will be discussed with a group and agreed prior to implementing the system.

### 5.5    IDENTIFIED CUSTOMERS/STAKE-HOLDERS OF THE DEPARTMENT

- All importers and manufacturers of motor vehicles

- All owners and future owner of motor vehicles

- Institutions supporting the purchase of vehicles (Leasing Companies, Banks).

- Institutions supporting the operation of vehicles (Insurance Companies, Provincial Motor Traffic Department, etc.)

- Other service providers (Number Plate Manufacturers, VET Companies, etc.)

- Government Departments needing information verification (e.g., Sri Lanka Customs, Police Department, Import & Export, Inland Revenue Department, etc.).

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

- Citizens requiring information
- Information seekers for legal proceedings

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## 5.6 THE AGREED CORE-PROCESSES OF THE DEPARTMENT

Stated below are the Core-Processes identified together with the boundaries of each Core-Process.

**A:** *Registration of Importers, Manufacturers and Vehicles:* From the point of registering Importers & Manufacturers and issue of Garage Number Plates, to approving of prototypes, to issue of prototype certificate, to Issue of Chassis numbers, to validating/capturing vehicle information at port, to issue of Vehicle ID at point of import or manufacture and the Management of the Importers and Manufacturers. (This process should also consider one-off importers).

**B:** *Registration of 1st Owner of Vehicle:* From the point of monitoring the vehicles issued with VIC, to the point the vehicle is sold to the 1st owner and the 1st owner registers his details with the DMT, to assigning a Registration Number to the Vehicle, to preparing the CR (Certificate of Registration) and issue of number plates and sharing the information with the Provincial Motor Traffic Department for issuing the Revenue License and other relevant organizations.

**C:** *Registration of Changes to Ownership and Changes in Attributes:* From the point receiving intimation by the owner of his intent to transfer ownership to the point of ensuring the new owner is registered and new CR/Number Plates are issued, to monitoring any changes to attributes and registering same, to the issue of duplicate Number Plates/CR to registered owner to De-registration and Re-export & Re-Import.

**D:** *Managing Revenue Collection Agencies and Service Providers:* From the point a Revenue Collection Entity or Service Provider is registered until the information on the revenue is captured and reconciled and the information gathered by the Service Providers and gathered – associated with the relevant vehicle, corrective action taken where required and appropriate stakeholders updated with information gathered.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

E: ***Complaints, Investigations & Query Management Process:*** From the point of identifying a need for an investigation to monitoring the investigation, up to the point of completing the investigation and deciding on the action to be taken and updating the knowledgebase or receiving a query from a stakeholder to the point of providing the required information.

F: ***Document Management Process:*** From the point of receiving documents that should be maintained to opening a file and creating the electronic file to depositing the Physical File in the Record Room and capturing the location of the file to updating the file with new documents and facilitating the stock-take and handing over of files at point of transfer.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

### 5.7 OBJECTIVES OF THE CORE-PROCESSES

**A:** *Registration of Importers, Manufacturers and Vehicles:* To ensure **all** importers & manufacturers are registered and conform to the guidelines specified by the DMT (including issue of Garage Number Plates & Chassis Nos.) and to capture information and register all vehicles – at point of import or manufacture in an effective and efficient manner.

**B:** *Registration of 1ˢᵗ Owner of Vehicle:* To ensure all vehicles imported or manufactured are constantly monitored and the 1ˢᵗ owner is registered within the specified time frame and any changes to the shape/structure is captured prior to issuing of the CR and Number Plates, and capturing any movement restrictions and Issue of Temporary Registration Certificates for vehicles to be re-exported.

**C:** *Registration of Changes to Ownership and Changes in Attributes:* To ensure all transfers of ownership are registered within the time frame specified by the ACT and to register changes to any other attribute related to the Vehicle or Owner and/or issue of duplicate CR/Number Plates and/or the de-registration & Re-export of Vehicles.

**D:** *Managing Revenue Collection Agencies and Service Providers:* To ensure all Revenue Collection Entities are registered and the collections are effectively monitored and the information from service providers are collected and managed.

**E:** *Complaints, Investigations & Query Management Process:* To ensure all complaints/investigations and/or queries are registered and progress monitored until its completion and to update the knowledgebase with the findings or responding to the query.

**F:**    ***Document Management Process:*** To ensure the required information to undertake the day-to-day operations of the department are maintained electronically while the physical file is maintained in an orderly manner to facilitating easy access of the physical file.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

| PROCESS | OBJECTIVES |
|---|---|
| **A: Registration of Importers/ Manufacturers and Vehicles** | <ul><li>Register all Importers and Manufactures of Motor Vehicles.</li><li>Approval & Issue of Master Prototype.</li><li>Issue a Specific Prototype for each vehicle imported or manufactured.</li><li>Validate information of Vehicle, capture CUSDEC and photograph.</li><li>Registration of Vehicles imported or manufactured @ port or factory.</li><li>Issue of vehicle identity – which will always be static, unless the vehicle is modified.</li><li>Manage importers and manufacturers.</li></ul> |
| **B: Registration of 1$^{st}$ Owner** | <ul><li>To ensure the 1$^{st}$ Owner of the vehicle is registered within the period specified in the Motor Traffic Act.</li><li>To ensure the right vehicle is registered to the right owner.</li><li>To ensure no changes to the shape/structure have taken place to the vehicle from point of import to point of registration.</li><li>To ensure the CR and Number-plates are prepared and handed over to the owner.</li><li>To ensure minimum hassle to the owner.</li></ul> |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

Confidential Final Report

| PROCESS | OBJECTIVES |
|---|---|
| **C: Registrations of Changes to Ownership and Vehicle Attributes** | ▪ To ensure all change of Ownership is registered within the time specified in the Motor Traffic Act.<br><br>▪ To ensure DMT is aware of any sale of vehicle being undertaken.<br><br>▪ To ensure registration of voluntary transfers only when requested by owner.<br><br>▪ To ensure the new owner is accurately registered.<br><br>▪ To ensure any change to any attribute of the vehicle or its use is registered.<br><br>▪ To ensure duplicates (CR & Number Plates) are provided only on authentic requests and to the owner.<br><br>▪ Transfer of vehicles in the event of death or the owner is incapacitated |
| **D: Managing Revenue Collection of Authorized Entities and 3rd Party Information Providers** | ▪ To ensure all Revenue Collection Entities are registered with the DMT.<br><br>▪ To ensure all service providers are registered.<br><br>▪ To ensure all Revenue collected on behalf a vehicle is updated on the DMT System.<br><br>▪ To ensure all monies collected are received by the DMT or GOSL.<br><br>▪ To ensure any information gathered by the Service Providers are communicated with the DMT System and the relevant vehicle details updated.<br><br>▪ To ensure Revenue License details are captured into the DMT System. |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

| PROCESS | OBJECTIVES |
|---|---|
| **E: Managing of Queries/Complaints and Investigations** | ▪ To ensure all Investigations and/or queries are attended to and concluded.<br>▪ To monitor any investigations/queries that are not concluded.<br>▪ To develop a knowledgebase using the outcome of the investigations/queries for future reference.<br>▪ To ensure the outcome of the investigation is linked with the specific vehicle/owner. |
| **F: Document Management** | ▪ To ensure all documents required for processing further applications are maintained in electronic format.<br>▪ To minimize the use of the Physical File – thus minimizing the movement of the Physical File.<br>▪ To ensure the Physical File is only removed under exceptional conditions.<br>▪ To ensure the documents are inserted to the file while it is in its current location.<br>▪ To facilitate a stock-take of Physical Files as well as a structured process for handing over and accepting files at time of transfer. |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

Confidential Final Report

## 5.8 PROBLEMS / ISSUES IDENTIFIED IN THE PROCESS

| PROCESS | PROBLEMS / ISSUES |
|---|---|
| **A: Registration of Importers/ Manufacturers and Vehicles** | ***Process Related***<br><br>1. The importers & manufacturers are registered – but the vehicles they import are not associated with the importer.<br><br>2. The DMT copy of the CUSDEC not used within the system.<br><br>3. No monitoring of the vehicles sold until the new owner registers the vehicle with the DMT.<br><br>4. Any changes to the shape/structure of the vehicle from the point of import to the point of registration cannot be managed.<br><br>5. The chassis no. of the vehicle not verified by DMT prior to registration of the vehicle.<br><br>6. The classification of vehicles in the Customs Harmonized System and DMT are different.<br><br>7. Prototype approval process mainly assists the data capture process for main agents.<br><br>8. Usage of duplicate chassis numbers – yet continue.<br><br>9. Vehicles sold by auction at customs do not come through the CUSTOMS LINK.<br><br>10. The information in the LINK and ASYCUDA System are not identical.<br><br>11. Unused chassis numbers could exist in downloaded file from Customs.<br><br>***System Related***<br><br>12. The 'Import' information through the LINK with customs is not complete and additional data has to |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

| PROCESS | PROBLEMS / ISSUES |
|---|---|
| | be included from time to time (information on Motor Bikes are entered at DMT). |
| | 13. If there was an inaccurate chassis no that number will continue to be in the system even after the new number is entered. |
| | 14. The system does not support the monitoring of the shape/structure of the vehicle in graphical form. |
| | 15. Similar vehicles may have information updated in different fields. |
| | 16. The physical file is also required to obtain additional information to finalize some transactions. |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

Confidential Final Report

| PROCESS | PROBLEMS / ISSUES |
|---|---|
| **B: Registration of 1st Owner** | ***Process Related***<br><br>1. The transactions at DMT are based on Documentary Evidence – No physical inspection.<br><br>2. Process does not support the identification of any change to shape/structure at the point of Registering the 1st owner.<br><br>3. Most owners (other than Motor Bikes) have to visit the DMT.<br><br>4. Agents are permitted to operate on behalf of vehicle importers (but not registered).<br><br>5. Current process does not ensure the correct vehicle is registered to the correct user.<br><br>6. The process does not monitor all vehicles imported are registered.<br><br>7. Process does not ensure the CR is actually received by the owner.<br><br>8. At times more than one Original CR is issued.<br><br>***System Related***<br><br>9. Although the same owner has other vehicles registered with us – we call for all the details once again.<br><br>10. Details of individuals are available with us – based on the DL System – such information is not utilized and additional documents requested.<br><br>11. The information stated in the CR is not consistent across all vehicles of similar type.<br><br>12. Prototypes are associated with a specific vehicle and that specific number must be known to re-use the |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

| PROCESS | PROBLEMS / ISSUES |
|---|---|
| | data. |
| | 13. Details of Motor Bikes registered at the Districts not available on the System. |
| | ***Information*** |
| | 14. Information on the CR is not always accurate (including chassis number). |
| | 15. Information on the CR is rarely validated. |
| | 16. No detailed information of the applications that are pending registration. |
| | ***Infrastructure*** |
| | 17. The organization is facing space constraints with regards to maintain files. |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

Confidential Final Report

| PROCESS | PROBLEMS / ISSUES |
|---|---|
| **C: Registrations of Changes to Ownership and Vehicle Attributes** | ***Process Related***<br><br>1. The MTA 6 form received directly is not utilized within the process.<br><br>2. Documents accepted at Divisional Secretariats not received at the DMT (or difficult to validate).<br><br>3. The supporting documents, fees collected by the DS is most often incorrect and the process is then complicated.<br><br>4. Cannot confirm all monies collected from the DS is received at DMT.<br><br>5. There are delays in issuing documents for over 6 months.<br><br>6. Transfers effected on the information provided by the New Owner and not the Old.<br><br>7. One Day transfers are done without reference to the current owner while only for Normal a MTA 165 is required from the current owner – even here confirmation is not required.<br><br>8. Change of address of the current owner is not tracked.<br><br>9. Inability to verify the original file to authenticate the signatures prior to transfer.<br><br>10. System does not identify a transfer being registered while a duplicate is being processed.<br><br>11. New files are opened with every NEW transfer undertaken (either one day or when the original document cannot be found).<br><br>12. No method to track if the Number Plate being used is actually the duplicate or the original when |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

| PROCESS | PROBLEMS / ISSUES |
|---|---|
| | duplicates have been issued. |
| | **_System Related_** |
| | 13. The changes to the number of seats every time a change is registered.. |
| | 14. When a CR or VIC cannot be printed – the officers insert a 'DOT' and take new printouts. |
| | 15. CR/VIC destroyed or damaged during printing are not controlled and managed. |
| | 16. The system does not track the documents that have been received and not processed. |
| | 17. The data entry and the data confirmation is done using the relevant commissioners 'password' while he/she does not do that work. |
| | 18. The system does not track how many duplicate number plates have been issued. |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

Confidential Final Report

| PROCESS | PROBLEMS / ISSUES |
|---|---|
| **D: Managing Revenue Collection of Authorized Entities and 3<sup>rd</sup> Party Information Providers** | ***Process Related***<br><br>1. The collections for 2009/10 are being collected - no Receipt Books available.<br><br>2. No procedure to ensure all receipts are accounted – cancelled receipts are not sent back.<br><br>3. Cannot ensure all vehicles from a given insurance agent have paid their dues.<br><br>4. Insurance Agents issuing certificates with collection of the dues.<br><br>5. Information on Insurance Certificates issues, Revenue Licenses issues and VET Certificates issued are not captured to the system.<br><br>6. Receipts issued in names other than that of the Registered Owner.<br><br>7. Insurance Companies could validate the owner if the ID Card details are available on the CR.<br><br>8. The insurance company may be able to identify discrepancies but no opportunity to report.<br><br>9. Cancellation of insurance in notified no purpose served at present.<br><br>10. Condemned vehicles are transferred as normal vehicles.<br><br>11. No method to update the DMT System. with lost vehicles (when recovered already transferred).<br><br>12. Would have no problem updating the information on to a WEB PORTAL.<br><br>13. Any discrepancies identified could also be captured through a WEB PORTAL (re: chassis no./engine no., owner details, etc.) |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

| PROCESS | PROBLEMS / ISSUES |
|---|---|
| | 14. Forged receipts in circulation. |
| | 15. No clear procedure defined to report issues to the DMT. |
| | ***System Related*** |
| | 16. The sent by the Insurance Companies are not accurately captured. |
| | 17. Historical records not available with both the Insurance Company and the DMT. |
| | 18. The data sent from the Companies are re-entered – while electronic upload is possible. |
| | 19. The comparing of the vehicles and the collections have to done manually and quite difficult. |
| | 20. Last year Insurance Company had encountered 2 vehicles with same chassis no. – corrected by DMT informing it was there error. |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

| PROCESS | PROBLEMS / ISSUES |
|---|---|
| **E: Managing of Queries/Complaints and Investigations** | ***Process Related***<br><br>1. The investigations undertaken are not registered.<br><br>2. The information/knowledge on investigations are concentrated among a few employees.<br><br>3. The Operational Officers tend to send queries to the Investigations branch – in the absence of a clear guidelines (knowledge base).<br><br>4. Output/performance of the division not well monitored.<br><br>5. The procedure to be followed is not clearly defined – but has probably evolved over the years.<br><br>6. Difficult to locate physical files.<br><br>7. Similar issues are addressed regularly to investigations branch.<br><br>***System Related***<br><br>8. The information on the system is not adequate to make decisions and the necessity refer the physical file.<br><br>9. Progress monitoring of complaints/ Investigations are not on the system.<br><br>10. No knowledge base is available within the system to support decision making. |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

| PROCESS | PROBLEMS / ISSUES |
|---|---|
| **F: Document Management** | ***Process Related***<br><br>1. Since physical documents/files are required to finalize a transaction, there is a high movement of files from the Record Room.<br><br>2. No method to track and ensure the files issued are returned.<br><br>3. The index card system adopted to issue a physical files is stored in a separate Index Card Holder and not updated when the files are returned.<br><br>4. The One Day service creates temporary files, such files are not attached to the Original File.<br><br>5. When we have discrepancies in the chassis no. and the file is not available the vehicle has to be inspected by a Motor Vehicle Examiner (This would increase with the new VET system).<br><br>6. The files are not now been handed over to the Record Room in structured manner – the files are being kept without in space available without supervision.<br><br>7. No records are maintained of Temporary Files received at the Record Rooms.<br><br>8. No procedure for maintaining files due to lack of space.<br><br>9. No verification process for files when offices are transferred.<br><br>***System Related***<br><br>10. The system adopted in the Record Room only documents the files issued and not updated when the files are returned. |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

| PROCESS | PROBLEMS / ISSUES |
|---|---|
| | 11. The system does not maintain all the required information thus making the Physical File important at the time of finalizing a contract. |
| | 12. No major support is available from the system to manage the physical records/files. |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

# 6.0
# POLICY DECISIONS MADE AT
# POLICY / OPERATIONAL RE-ENGINEERING WORKSHOPS

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

Confidential Final Report

## 6.0 POLICY DECISIONS MADE AT POLICY/OPERATIONAL RE-ENGINEERING WORKSHOPS

| Decisions Made | Recommended by Team |
|---|---|
| ***General*** | |
| 1. The DMT will operate full functionality branch offices in every District. | Agreed |
| 2. Every DMT District Office (DDO) will have the complete DMT System. | Agreed |
| 3. Every Divisional Secretariat (DS) will be assigned an officer from the DMT. | Agreed |
| 4. The DS will have the DMT-System@DS, which is a subset of the DMT System. | Agreed |
| 5. The Vehicle ID (VID) and the Certificate of Registration will have a photograph of the Vehicle. | Agreed |
| 6. Access to DMT services will be provided through the Internet, from DMT District Offices, from Nanasala and Internet Cafes and DS Offices. | Agreed |
| 7. All services will be provided based on prior appointments. | Agreed |
| 8. Appointments will be given only upon confirmation that the required documents are available. | Agreed |
| 9. The current VIC will be discontinued. | Agreed |
| 10. All documents received will be scanned into the System. | Agreed |
| 11. Payments for services provided by the DMT could be made at any branch of a nominated bank, District Secretariat Office, Divisional Secretariat Office or the Bank at the DMT Head Office. | Agreed |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

Confidential Final Report

| Decisions Made | Recommended by Team |
|---|---|
| 12. Payment instructions will be issued through the system on confirmation of availability of all required documents. | Agreed |
| 13. Where required documents are NOT available the applicant will be required to visit the DMT Office (or DDO) and agree upon the alternate documentation. | Agreed |
| 14. Acknowledgement will be issued for all documents accepted by the DMT. | Agreed |
| 15. Most services will be provided on the same day (except for transfers under section 12(4) and documents accepted at the DS Offices). | Agreed |
| 16. The charges will be simplified – and there will be no 'one-day service'. | Agreed |
| 17. All documents accepted at the DS will be processed at the DDO supervising the DS. | Agreed |
| 18. An officer at the DDS will be responsible to collect and handover documents to and from the DS. | Agreed |
| 19. Reference number on Number Plates is captured onto the DMT System (only until the DMT is responsible). | Agreed |
| 20. The DMT will negotiate with the Banks to ensure the details of DMT related receipts are transferred electronically. | Agreed |
| 21. A signature card has to be provided when the applicant cannot visit the DMT to transact the business. | Agreed |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

Confidential Final Report

| Decisions Made | Recommended by Team |
|---|---|
| **_Process A_** | |
| 22. All importers are required to register with the DMT. | Agreed |
| 23. All vehicles will be imported or manufactured based on an authorization provided by the DMT – by way of a Specific Prototype Certificate. | Agreed |
| 24. The Agent is required to provide all information required for processing Master Prototype Applications – whether the vehicle is imported by them or not. | Agreed |
| 25. There will be no charge for processing of Prototype Applications and issuing of certificates. | Agreed |
| 26. Information on all approved prototypes will be available on the DMT website. | Agreed |
| 27. The importers will be required to submit their documentation through the Web Interface. | Agreed |
| 28. Vehicles with duplicate chassis numbers will be issued a Vehicle ID only after engraving a CMT Chassis Number. | Agreed |
| 29. The chassis number of every vehicle will be inspected and photographed prior to issuing a Vehicle ID. | Agreed |
| 30. All stakeholders imposing any special condition on a vehicle will be provided a Web Interface to communicate such condition with the DMT. | Agreed |
| 31. Importers will be responsible for the vehicle until Notice is given to the DMT of the sale. | Agreed |
| 32. The DMT will adopt a 17 digit number for chassis to comply with international numbering standards. | Agreed |
| 33. The DMT will define and approve a method to | Agreed |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

| Decisions Made | Recommended by Team |
|---|---|
| engrave chassis numbers. | |
| 34. It may be required to engrave chassis numbers in the districts as well. (e.g., hand tractors). | Agreed |
| 35. Vehicles imported in bulk will be inspected at the point of unloading the vehicles. | Agreed |
| 36. While the data will be captured at the Port or Factory the approval for registration could be centralized. | Agreed |
| 37. All special conditions imposed on the vehicle at the point of import will be stated on the Vehicle ID. | Agreed |
| 38. Every owner of a vehicle will be required to have the Vehicle ID, when using the vehicle. | Agreed |
| 39. Arrangements should be made to ensure all current vehicles are issued with a Vehicle ID at the next renewal of the Revenue License. | |
| 40. The registration of the vehicle will be based on the DMT copy of the CUSDEC issued by the Customs. | Agreed |
| 41. Information from the Customs Link will be cross checked once available through a Web Service. | Agreed |
| 42. Only the Official Agent will be permitted to import chassis and such chassis will always be new. | Agreed |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

Confidential Final Report

| Decisions Made | Recommended by Team |
|---|---|
| **Process B** | |
| 43. All importers/manufacturers will be required to inform the DMT of the sale and obtain an acknowledgement. This would be provided through the Web Interface. | Agreed |
| 44. No sale would be valid without an acknowledgement issued by the DMT System being signed by the present owner being given to the New Owner. | Agreed |
| 45. The period provided by the Act to register the 1<sup>st</sup> Owner of the vehicle would be computed from the date of the acknowledgement issued by the DMT. | Agreed |
| 46. The 1<sup>st</sup> Owner is required to visit the DMT office (or DDO) to register the ownership (as the 1<sup>st</sup> Owner's signature requires verification). | Agreed |
| 47. Where the 1<sup>st</sup> Owner is not able to visit the DMT office (or DDO) he is required to submit a 'Signature Card' certifying his signature. | Agreed |
| 48. The 1<sup>st</sup> Owner will be required to sign the Transfer Documents in the presence of the DMT officer. | Agreed |
| 49. No personalized Number Plates will be issued. | Agreed |
| 50. The owner is permitted to bid for the number plate of his choice and awarded to the highest bidder. | Agreed |
| 51. The Certificate of Registration will contain all current information (including conditions placed on the vehicle) as well as a photograph of the vehicle. | Agreed |
| 52. Only agents will be permitted to import Chassis. | Agreed |
| 53. The DMT will issue an Approval – which should be the | Agreed |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

| Decisions Made | Recommended by Team |
|---|---|
| basis of issuing an import license to the agent. | |
| 54. The vehicle will be placed on 'Black List' status until the vehicle inspected after replacing the chassis. | Agreed |
| 55. Such approval will be granted only after the examination of the vehicle. | Agreed |
| 56. The newly imported chassis must be replaced and informed to the DMT and obtain a 'Chassis Engraving Authorization'. | Agreed |
| 57. The chassis number engraved in the discarded chassis must be returned. | Agreed |
| 58. On completion of the engraving the vehicle will be inspected and a new CR issued. | Agreed |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

Confidential Final Report

| Decisions Made | Recommended by Team |
|---|---|
| **Process C** | |
| 59. Every owner of a vehicle who intends to transfer his ownership is required to inform the DMT and obtain an acknowledgement. | Agreed |
| 60. Such acknowledgement will be issued through the system after validating the person entering the information. | Agreed |
| 61. Preprinted applications such as MTA 6/8, 5/7, etc will not be required. | Agreed |
| 62. The New Owner is required to visit the DMT office (or DDO) to register the ownership (as the New Owner's signature requires verification). | Agreed |
| 63. Where the New Owner is not able to visit the DMT office (or DDO) he is required to submit a 'Signature Card' certifying his signature. | Agreed |
| 64. Vehicles blacklisted by the DMT will not be issued a Revenue License at the time of next renewal until the DMT modifies the status of the vehicle. (Subject to the availability of the eRL system). | Agreed |
| 65. All travel restrictions imposed on a vehicle will be stated in the Revenue License. (Subject to the availability of the eRL system). | Agreed |
| 66. Transfers when the owner has died will only be permitted to the lawful heirs or a party defined by the court. | Agreed |
| 67. All leasing companies will be required to transfer the vehicle into their name based on the section 12(4). | Agreed |
| 68. Section 12(4) applications could be submitted as soon | Agreed |

| Decisions Made | Recommended by Team |
|---|---|
| as the vehicle is seized. | |
| 69. Vehicle dealers will be required to register the vehicle in their name – if ownership has passed on to them. | Agreed |
| 70. Information will be shared with all 3<sup>rd</sup> parties who have been authorized access to the defined information through web services. | Agreed |
| 71. The word 'Duplicate' will not be stated on the additional copy of the CR issued as the Reference Number is unique. | Agreed |
| 72. An objection placed on a vehicle will only be valid for 2 weeks – unless such objection is supported with a court order. | Agreed |

| Decisions Made | Recommended by Team |
|---|---|
| **_Process D_** | |
| 73. All Revenue Collection Agents (RCA) will be registered and connected to the DMT System through the internet. | Agreed |
| 74. All receipts will be generated by the RCA through the DMT System. | Agreed |
| 75. All insurance companies will be required to review the DMT system and ensure the monies due are collected prior to issuing the Insurance Certificate (3$^{rd}$ Party or Comprehensive). | Agreed |
| 76. Insurance Companies will be required to share information on the vehicles they have insured with the DMT. | Agreed |
| 77. DMT will identify other information they require from their stakeholders and agree to receive the information electronically. | Agreed |
| 78. All information received from other stakeholders will be uploaded onto the DMT System and associated with the relevant vehicle. | Agreed |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

| Decisions Made | Recommended by Team |
|---|---|
| ***Process E*** | |
| 79. It will be possible to verify the validity of a CR over the internet by entering the vehicle number, CR Reference Number and Date of Issue. | Agreed |
| 80. An applicant may view the progress of an application by using the Application Reference Number. | Agreed |
| 81. The system will automatically initiate investigations in the event of an exception. | Agreed |
| 82. All complaints received are documented and acknowledged. | Agreed |
| 83. Feedback from customers are obtained and analyzed. | Agreed |
| 84. The system will follow-up on all queries/complaints until it is confirmed as resolved. | Agreed |
| 85. Knowledgebase will be maintained to capture information on policy decisions made in response to queries, complaints or investigations. | Agreed |
| 86. The information in the knowledgebase will be used as a guideline for addressing future scenarios of a similar nature. | Agreed |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

| Decisions Made | Recommended by Team |
|---|---|
| **_Process F_** | |
| 87. All documents to be retained will be bar coded. | Agreed |
| 88. Once a file is created in the record room the file will not be permitted to be removed. | Agreed |
| 89. The record room staff responsible for the file will add the new documents into the existing file. | Agreed |
| 90. Periodic stock takes will be conducted to ensure the availability of files. | Agreed |
| 91. When an officer responsible for files is transferred from the record room – a handing over/acceptance procedure is introduced. | Agreed |
| 92. DMT will undertake periodic audits to ensure the system complies with the e-Transactions and electronic documents Legislature. | Agreed |
| 93. Once certification is obtained the DMT will not maintain manual documents. | Agreed |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

| Decisions Made | Recommended by Team |
|---|---|
| ***Support Processes*** | |
| 1. All customers will be served based on appointments | Agreed |
| 2. The appointment will be given only after receiving confirmation all documents are available. | Agreed |
| 3. The Appointment Confirmation & Payment Instruction could be obtained through the internet. | Agreed |
| 4. Payments could be made to DMT bank, Other designated banks, District Secretariat, Divisional Secretariat, Lanka Gate – Payment Gateway. | Agreed |
| 5. All services provided will be matched with the monies received. | Agreed |
| 6. All documents received are scanned in the system. | Agreed |
| 7. The electronic documents must comply with the e-Transaction Act requirements. | Agreed |
| 8. The Digital Signature will be placed on all scanned documents. | Agreed |
| 9. An acknowledgement will be issued for all documents accepted by the DMT. | Agreed |
| 10. Documents for transfer will be accepted from the DS Offices. | Agreed |
| 11. An officer of the DMT District Office will be assigned to collect and return documents from the DS. | Agreed |
| 12. The applicant will be informed when he could collect the documents from the DS Office – when handing over the documents. | Agreed |
| 13. Documents to be returned through the DS will be retained for a specified time and posted thereafter. | Agreed |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

Confidential Final Report

| Decisions Made | Recommended by Team |
|---|---|
| 14. Only the office assigned to handle an application through the system could access the database information. | Agreed |
| 15. The system will have a workflow based on roles – which could be added as may be required. | Agreed |
| 16. When the required documents are not available – alternate documents will be identified and approved. | Agreed |
| 17. Documents will be returned through the DMT Office, District Office and DS Office. | Agreed |
| 18. The manufacturing of number plates will be moved out of DMT's direct responsibility. | Agreed |
| 19. DMT will register both manufacturers and suppliers of raw materials for Number Plates. | Agreed |
| 20. The Number Plate will follow a single Series with the vehicle classification indicated. (Classification will be similar to that followed by the Driving License). | Agreed |
| 21. The new number plate will have 3 Alpha Characters and 4 Numeric Digits. | Agreed |
| 22. Inspections will be carried out by appointment. | Agreed |
| 23. Different inspections will have different items to be checked. | Agreed |
| 24. Depending on the type of inspection the officer assigned may differ. | Agreed |
| 25. All inspection reports should be available on-line. | Agreed |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

# 7.0

# RE-ENGINEERED PROCESSES

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

64 of 236

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## 7.0 CORE PROCESS DOCUMENTATION
### 7.1 A: REGISTRATION OF IMPORTERS/MANUFACTURERS & VEHICLES PROCESS

### Objective

To ensure **all** importers & manufacturers are registered and conform to the guidelines specified by the DMT (including issue of Garage Number Plates & Chassis Nos.) and to capture information and register all vehicles – at point of import or manufacture in an effective and efficient manner.

### Process Boundary

From the point of registering Importers & Manufacturers and issue of Garage Number Plates, to approving of prototypes, to issue of prototype certificate, to Issue of Chassis numbers, to validating/capturing vehicle information at port, to issue of Vehicle ID at point of import or manufacture and the Management of the Importers and Manufacturers. (This process should also consider one-off

### Stretch Goals / Critical Success Factors

- To ensure **all** vehicles imported / manufactured are registered and Vehicle ID issued.
- The registration is done at the speed of clearance / manufacture (**zero** complaints from on vehicle registrations).

**A1** • Registration of imports/manufactures and Issue of Garage Numbers.

**A2** • Application and Approval of Vehicle Prototype.

**A3** • Initiate Registration of Vehicles and Issue of VIC

**A4** • Issue of Chassis Numbers to Local Manufacturers

**A5** • Management of imports/manufactures.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**
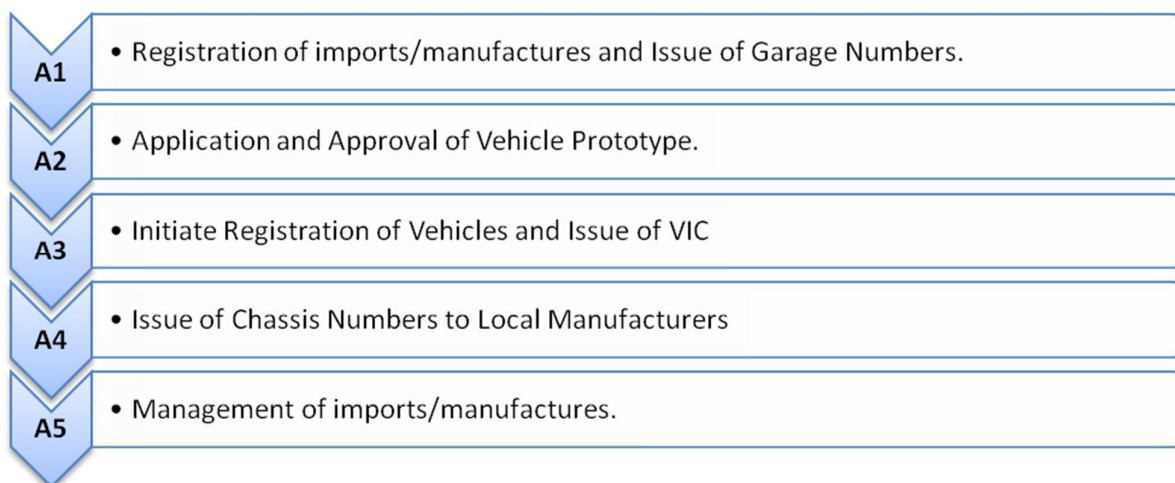
## *Process A1: Registration of Vehicle Importers, Agents & Manufacturers*

NOTE: The objective of this process is to ensure all importers of vehicles and manufactures are registered with the Department of Motor Traffic. The Agents – in addition to importing vehicles will also become the representative of the Manufacturer in Sri Lanka (who is responsible to obtain the Prototype.

Every entity (organization or individual) importing vehicles for re-sale on a regular basis will be classified as a Regular Importer of Motor Vehicles.

**Request for Registration Application (New or Annual Renewal)**

NOTE: The objective of this component of the process is to receive an Application request and to ensure a completed application is received at the department and the Customer is aware of all the documents required to process the application as well as making the payments.

A1.1. The Regular Vehicle Importer/Manufacturer (RI/M) will make an On-Line Request for RI/M Registration Application (Format AF1.1) by completing his personal information.

A1.2. The System@DMT will assign an RI/M Application Number and generate the Vehicle Importer/Manufacturer Application (Soft Copy) (Format AF1.2) based on the information submitted by the applicant. Instructions for completion of Vehicle Importer/manufacturer Application (Annexure AA1.1) will also be available on-line. The System@DMT will also generate a special password for the application – the details of which are sent to the applicant's confidential e-Mail.

A1.3. The RI/M will complete the Vehicle Importer/manufacturer Application (Soft Copy) and upload into the System@DMT[1].

A1.4. The System@DMT will validate the information in the Application based on the Validation Rules (Annexure AA1.2).

A1.5. **If the Application fails the Validation Test**: a Validation Report (Format AF1.3) is generated through the System@DMT and the Application is rejected.

A1.6. **If the Application passes the Validation Test**: the Application is accepted and a Temporary Number assigned and Application Acknowledgement (Format AF1.4) is generated through the System@DMT indicating the documents required to finalize the registration (Refer Annexure AA1.3 for a the Documents Required for each type of Application).

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**Exceptions**

*A1.1 If all information needed not provided the process will highlight the information required.*

*A1.3 Applications not received within one month to be cancelled*

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[1] **On-line Applications:** The applicant should be able to download the application to his computer and complete the application off-line. He should be able (if required) to obtain printouts of the completed application at any stage. Once completing the application it should be possible to upload the completed application. OR The RI should be able to complete the application directly on the Web – as and when he would wish to do so until the application is submitted.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**A1.7.** The Officer Responsible to Review Applications (OR-RA)@DMT will review the application and the documents requested by the system@DMT – and if additional documents are required such document details are entered onto the system@DMT – and an Additional Documents Required e-Mail (Format AF1.5) is generated through the System@DMT and sent to the RI/M.

**A1.8.** On obtaining all documents specified in Application Acknowledgement and those requested by the OR-RA@DMT, the RI/M will log into the System@DMT and update all the documents available. (**Note:** For those applications requiring a site visit – the applicant will follow the Process S9)

**A1.9.** The RI/M will be requested by the System@DMT to provide basic information related to each document confirmed as available. (Annexure AA1.4 will Identify the Information Attributes to be captured for each document type).

**A1.10.** Once all required documents are collected, the RI/M will confirm the availability of the documents and obtain a 'Payment Instruction' and 'Appointmernt Confirmation'. (Go To Process S1).

**A1.11.** The RI/M will make payment as specified in the 'Payment Instruction' and obtain a 'Receipt'. (Go To Process S3).

**A1.12.** On the date of the appointment the RI/M will visit the DMT with the Application Acknowledgement, the required documents requested by the DMT, Appointment Confirmation and Payment Instruction and Receipt confirming the payment.

**A1.13.** The RI/M will meet the Officer Responsible for Accepting Documents (OR-AD) at DMT at the designated time as mentioned in the 'Appointment Confirmation'.

**A1.14.** The OR-AD@DMT will recall the information on the System@DMT based on the Application Acknowledgement Number and accept the documents (Go To Process S3)..

**A1.15.** Thereafter the Documents are scanned – Go To Process S4.

**A1.16.** After the scanning the Application and Physical Documents are passed onto the OR-CD.

**A1.17.** The Officer Responsible for Certifying Documents (OR-CD) will review all the documents and the scanned copies of the documents and place his 'Digital Signature' as confirmation of the completeness and accuracy of the scanned documents and the system@DMT updated recommending the Application or rejecting the application with the reasons for same.

**A1.18.** The Application & all Documents are passed on to the Officer Responsible for Approving Applications (OR-AA)@DMT.

**Exceptions**

*A1.7: If additional document are NOT required the OR-RA will approve the application*

*A1.8 If any documents requested is NOT available Go To Process S6: Applicant cannot Satisfy DMT Requirements*

*A1.3: If a RI visits without an Appointment the RI could make the next available appointment at the Help Desk through the System@DMT after updating the documents available.*

*A1.14: The system@DMT should only permit the Role to access information related to his specific appointments.*

*A.17: If the OR-AD requires the documents to be re-scanned the documents are returned for re-scanning with after indicating the document and page numbers to be scanned updated on the System@DMT. Go To Process S4.*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**A1.19.** **If all Documentation and Scanning is OK:** The OR-AA@DMT will review the documents, place his Digital Signature as confirmation of the Completeness and Accuracy of the scanning of the documents on the System@DMT. Go To A1.30.

**A1.20.** **If Documents or Scanning is NOT OK** – (1) If Additional documents required Go To A1.21 or (2) If the Scanning is not complete or accurate Go To A1.28.

**A1.21.** **Deficiency in Documents:** The OR-AA@DMT will update the system@ DMT confirming the additional document requirements and the validity period of the Pending Application. (**Note:** The default period being 3 months – this could be amended by the OR-AA and is required to enter the reason for modifying the default period).

**A1.22.** The OR-AA@DMT will generate a Registration Pending Letter (Format AF1.6) through the System@DMT indicating the additional documents required and the period the application will be kept pending to permit the correcting of the errors.

**A1.23.** The System@DMT will be updated to permit the RI/M to update the availability of the additional documents. Go To A1.8.

**A1.24.** The Application and the Physical documents are passed onto the OR-CD @DMT.

**A1.25.** The OR-CD@DMT will update the system@DMT confirming the documents to be retained or returned.

**A1.26.** The OR-AD@DMT will open a pending file and retain the documents to be retained and the documents to be returned to the RI/M are passed on to the OR-RD@DMT. Go To Process S7.

**A1.27.** Go To A1.40.

**A1.28.** **Inaccurate Scanning:** When the scanning of the documents is either incomplete or inaccurate, the OR-AA@DMT will update the system@DMT confirming the document/page that requires rescanning.

**A1.29.** The Application and the Physical documents are passed onto the OR-AD @DMT. Go To A1.15.

**A1.30.** **Approved Applications:** The OR-AA@DMT will Approved the application by placing his signature on the application as well as confirming his approval on the System@DMT .

**A1.31.** Based on the approval of the OR-AA@DMT the Importer/Manufacturer Registration Certificate (I/M-RC) (Format AF1.7) and Number Plate Collection Instructions (Format AF1.8) are Printed and signed by the OR-AA@DMT confirming approval of the Application. (**Note:** Provision should be available to capture the document reference number when using pre-printed stationary as well as a System Generated unique document Reference Number, which could be used for remote validation).

**Exceptions**

*A1.22(a): The system@DMT will automatically cancel the Pending Application once the Validity Period expires.*

*A1.22(b): if an extension to the Validity Period is required – the RI will be required to follow Process S6.*

*A1.30: If any information in the Registration Certificate is NOT accurate the OR-AA may change the information - after stating the required reasons. (Report of such changes are required).*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**A1.32.** The duly signed I/M-RC and the documents are returned to the OR-CD@DMT.

**A1.33.** The OR-CD@DMT will update the system@DMT confirming the documents to be retained (with reasons for same) and returned.

**A1.34.** The OR-CD@DMT will open an Importer/Manufacturer File and insert the documents to be retained and sent to the Record Room with File Listing. Go To Process F.

**A1.35.** The documents to be returned to the RI/M are passed on to the OR-RD@DMT together with the Importer/Manufacturer Instructions of Operation (Annexure AA1.5) stating Standard Rules and Regulations applicable to the Licensee. Go To Process S7.

**A1.36.** On confirmation of the returning of the documents to the RI/M the System @DMT will instruct the printing of the Number Plates. Go To Process S8.

**A1.37.** The system@DMT will generate a user name and password for the RI/M and e-Mailed to his address. (**Note:** This User Name and Password will be used by the RI/M to log into his area of the System@DMT in the future).

**A1.38.** The Officer Responsible for Training (OR-T) @DMT will contact the RI/M and arrange for training the RI/M staff to use the System@DMT.

**A1.39.** On completion of the training the RI/M will confirm to the OR-T he is capable of using the RI/M Interface of the System@DMT by updating the 'Password Activation Request' (Format AF1.9) available on the System@DMT.

**A1.40.** The Password is thereafter activated (with the RI/M being required to change password at 1$^{st}$ log-in).

**A1.41.** END.

**Cancellation of Application**

Note: This component of the process will address the cancellation of an application at any time by the Applicant after submitting the application – until an appointment is been made with the DMT.

**A1.42.** The applicant will log onto the System@DMT and recall the application.

**A1.43.** The system@DMT will validate the user and if accepted the user will be permitted to cancel the application (or if the Validity Period of the Application has expired).

**A1.44.** An Application Cancellation Confirmation (Format AF1.10) is generated through the sytem@DMT.

**A1.45.** END

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**Exceptions**

*A1.25/A1.33: Standard reasons could be suggested by default – only retention of special documents need to be updated.*

*A1.42 If the user is NOT Validated the system @DMT will not permit the application to be cancelled and a message is generated (e-Mail) informing of the attempt to cancel.*

### Renewal of the Regular Importer/Manufacturer License

Note: This component of the process will address the annual renewal of the Importer License.

**A1.46.** The RI/M will update the 'RI/M Renewal Application' (Format AF1.11) for the renewal of a RI/M License and submit to the System@DMT.

**A1.47.** The System@DMT will validate the information in the Application based on the Validation Rules (Annexure AA1.6).

**A1.48.** **If the Application fails the Validation Test**: a Validation Report (Format AF1.12) is generated through the System@DMT and the Application is rejected.

**A1.49.** **If the Application passes the Validation Test**: the Application is accepted and a 'Renewal Application Acknowledgement' (Format AF1.13) is generated through the System@DMT indicating the documents required to finalize the registration (Refer Annexure AA1.12 for a Documents Required for each type of Renewal Application).

**A1.50.** On obtaining all documents specified in Application Acknowledgement, the RI/M will log into the System@DMT and update all the documents available. (**Note:** For those applications requiring a site visit – the applicant will follow the Process S9)

**A1.51.** The RI/M will be requested by the System@DMT to provide basic information related to each document confirmed as available. (Annexure AA1.4 will identify the Information Attributes to be captured for each document type).

**A1.52.** Once all required documents are collected, the RI/M will confirm the availability of the documents and obtain a 'Payment Instruction' and 'Appointmernt Confirmation'. (Go To Process S1).

**A1.53.** The RI/M will make payment as specified in the 'Payment Instruction' and obtain a 'Receipt'. (Go To Process S3).

**A1.54.** On the date of the appointment the RI/M will visit the DMT with the Application Acknowledgement, the required documents requested by the DMT, Appointment Confirmation and Payment Instruction and Receipt confirming the payment.

**A1.55.** The RI/M will meet the Officer Responsible for Accepting Documents (OR-AD) at DMT at the designated time as mentioned in the 'Appointment Confirmation'.

**A1.56.** The OR-AD@DMT will recall the information on the System@DMT based on the Application Acknowledgement Number and accept the documents (Go To Process S3)..

**A1.57.** Thereafter the Documents are scanned – Go To Process S4.

**A1.58.** After the scanning the Application and Physical Documents are passed

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

onto the OR-CD.

**A1.59.** The Officer Responsible for Certifying Documents (OR-CD) will review all the documents and the scanned copies of the documents and place his 'Digital Signature' as confirmation of the completeness and accuracy of the scanned documents and the system@DMT updated recommending the Application or rejecting the application with the reasons for same.

**A1.60.** The Application & all Documents are passed on to the Officer Responsible for Approving Applications (OR-AA)@DMT.

**A1.61.** **If all Documentation and Scanning is OK:** The OR-AA@DMT will review the documents, place his Digital Signature as confirmation of the Completeness and Accuracy of the scanning of the documents on the System@DMT. Go To A1.64.

**A1.62.** **If Documents or Scanning is NOT OK:** The OR-AA@DMT will update the system@DMT confirming the document/page that requires rescanning.

**A1.63.** The Application and the Physical documents are passed onto the OR-CD @DMT. Go To A1.59.

**A1.64.** **Approved Applications:** The OR-AA@DMT will Approve the application by placing his signature on the application as well as confirming his approval on the System@DMT. (**Note:** It is assumed that renewal applications will not be rejected).

**A1.65.** Based on the approval of the OR-AA@DMT the Importer/Manufacturer Registration Certificate (I/M-RC) (Format AF1.7) and Number Plate Collection Instructions (Format AF1.8) are Printed and signed by the OR-AA@DMT confirming approval of the Application. (**Note:** Provision should be available to capture the document reference number when using pre-printed stationary as well as a System Generated unique document Reference Number, which could be used for remote validation).

**A1.66.** The duly signed I/M-RC and the documents are returned to the OR-CD@DMT.

**A1.67.** The OR-CD@DMT will update the system@DMT confirming the documents to be retained (with reasons for same) and returned.

**A1.68.** The OR-CD@DMT will open an Importer/Manufacturer File and insert the documents to be retained and sent to the Record Room with File Listing. Go To Process F.

**A1.69.** The documents to be returned to the RI/M are passed on to the OR-RD@DMT together with the Importer/Manufacturer. Go To Process S7.

**A1.70.** On confirmation of the returning of the documents to the RI/M the System @DMT will instruct the printing of the Number Plates. Go To Process S8.

**A1.71.** END.

*A1.59:* If the OR-AD requires the documents to be re-scanned the documents are returned for re-scanning with after indicating the document and page numbers to be scanned updated on the System@DMT. Go To Process S4.

*A1.64:* (a) If any information in the Registration Certificate is NOT accurate the OR-AA may change the information - after stating the required reasons. (Report of such changes are required).

*A1.64:* (b) If the application is rejected the OR-AA will update the System@DMT confirming the rejection and action to be taken to correct the application.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## *Process A2:  Application and Approval of Vehicle Prototype*

**NOTE:** The objective of this process is to approve Prototype Applications submitted by the Authorized Agent. The CMT may decide to also accept Prototype Applications from other Registered Dealers and the System@DMT should provide the required interfaces for such dealers approved by the CMT to apply for Master Prototypes.

### Receive Request & Application for Prototype Approval

**NOTE:** The objective of this component of the process is to accept requests for prototype

**A2.1.**  An Authorized Officer of the Agent (AO-A) or Dealer authorized by the CMT will log onto the System@DMT using the special pass word assigned to the Organization.

**A2.2.**  The AO-A will be Validated on the System@DMT (Agent Validation Criteria – Annexure AA2.1).

**A2.3.**  The AO-A will enter the request for obtaining an Request for Prototype Application (Format AF2.1) on to the System@DMT.

**A2.4.**  Based on the information provided on the Request for Prototype Application the System@DMT will assign an Prototype Application Number and generate a customized on-line Prototype Approval Application (PAA). (Format AF2.2).

**A2.5.**  Once the information on the Prototype Approval Application has been completed the AO-A will once again log into the System@DMT (After Validation) and upload the Application on to the Syetem@DMT.

**A2.6.**  The uploaded application is thereafter Validate by the System@DMT (Prototype Application Validation Rules – AA2.2) and an Prototype Application Validation Error Report is Generated (Format AF2.3).

**A2.7.**  For Prototype Approval Applications without an Error Report will be accepted by the system@DMT and generate a Prototype Approval Application Acknowledgement (Format AF2.4), which will indicate the additional document required for finalizing the Application.

**A2.8.**  Prototype Approval Applications received are reviewed by the Officer Responsible for Validating Prototype Applications (OR-VPA) to confirm the documents requested by the System@DMT are adequate.

**A2.9.**  **If Additional Documents are Required:** The OR-VPA will enter the additional documents required into the System@DMT – associated with the specific application.

**A2.10.**  The applicant of the Prototype Application is informed by e-Mail of the additional document requirements as specified by the OR-VPA.

### Excentions

*A2.11 If all documents are not available Go To Process S6.*

*A2.13 The System@DMT should permit the re-scheduling of the appointment date.*

*A2.19 If documents are not scanned correctly they are returned to OR-SD with after indicating the document & page details to be re-scanned. Go To Process S4.*

*A2.20 If the application cannot be recommended for approval the details of same are entered on the System@DMT and forwarded to the OR-PA.*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

### Confirmation of Documents & Making Appointment

**A2.11.** On gathering all documents (as specified in the Acknowledgement and subsequent e-Mail) the applicant will log onto the system and confirm the availability of the documents by entering the Meta Data (Critical Data Items). (If some documents are not available applicant will visit DMT and have the requirement modified). (**Note:** The System@DMT will only permit the confirmation of documents after the OR-VAP has approved document Requirements).

**A2.12.** When all documents are available, the System@DMT will request the Applicant to make an appointment with the Officer Responsible for Document Requirements (OR-DR) at DMT.

**A2.13.** The System@DMT will generate an Appointment Confirmation and – Go To Process S1.

**A2.14.** Based on the information on the Payment Instruction – the applicant will effect payment and obtain a Receipt from the Bank.

### Accepting of Documents at DMT

**A2.15.** The Officer Responsible for Accepting Documents (OR-AD)@DMT will identify the Applicant (based on the information provided by the Applicant and the ID Card or DL Reference details of the person submitting the details).

**A2.16.** The OR-AD@DMT will accept all documents as specified in Process S2.

**A2.17.** The OR-AD@DMT will thereafter generate the Prototype Approval Application through the System@DMT and obtain the signature of the Authorized Officer.

**A2.18.** The documents will thereafter be handed over for scanning. Go To Process S4.

**A2.19.** The OR-CD will review the scanned documents for Completeness and Accurately and place his Digital Signature as confirmation of same.

**A2.20.** OR-CD will thereafter review the Application and recommend the application for approval (or rejection) and passed on to the Officer Responsible for Approval of Prototype Approval (OR-PA).

### Approving of Prototype Application

**A2.21.** The OR-PA will review the Application and Recommendations and confirm the application could be approved or not.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**A2.22.** *If Application CANNOT be Approved:* The OR-PA will enter the additional requirements System@DMT and the reasons for the need for such requirements to finalize the Application. The Application will be kept in 'Pending' status for a period of 1 months – after which the application will lapse. (**Note:** It should be possible for the OR-PA to change the validity period of the pending application.)

**A2.23.** The System@DMT will generate a 'Registration Pending Note' (Format AF2.5) indicting the additional documents required for finalizing the application and the Period of validity of the Application, which is signed by the OR-PA and sent to the OR-CD. Go T0 A2.31.

**A2.24.** *If Application is Rejected:* The OR-PA decides to reject an application – the reasons for the rejection have to be entered into the System@DMT.

**A2.25.** The OR-AP will discuss the matter with the Applicant and explain the reasons for the rejection.

**A2.26.** The Rejection Request is passed onto the Officer Responsible for Approving Rejections (OR-AR) at DMT.

**A2.27.** The OR-AR will review the information and confirm the decision of the OR-PA.

**A2.28.** If Rejection is confirmed – the reasons for the Rejection are entered by the OR-AR and a 'Prototype Rejection Letter' (Format AF2.6) is generated through the System@DMT, and signed by the OR-AR and sent to OR-CD. Go To A2.31.

**A2.29.** **If Application is Approved:** The Prototype Approval Certificate (Format AF2.7) is Printed through the System@DMT. The status of the prototype is set to 'Approved pending inspection of 1$^{st}$ Vehicle'. (**Note:** Any conditions and/or restrictions are also entered into the System@DMT and printed on the Certificate).

*A2.39 If documents are NOT complete the applicant is informed to complete the documentation as per the application and re-submit.*

**A2.30.** The Prototype Approval Certificate is signed by the OR-AP and returned to the OR-CD.

**A2.31.** The OR-CD@DMT will update the system@DMT confirming the documents to be retained (with reasons for same) and returned.

**A2.32.** The OR-CD@DMT will open a Prototype Approval File and insert the documents to be retained and sent to the Record Room with File Listing. Go To Process F.

**A2.33.** The documents to be returned to the AO-A are passed on to the OR-RD@DMT. Go To Process S7 (**Note:** The documents to be returned will be collected on the following day).

**Issue of MANUAL Prototype Certificate**

**NOTE:** The objective of this component of the process is to issue a Prototype Certificate for vehicles imported for a specific purpose. Applications for such vehicles may be submitted by either the Agent or Importer. (**Note:** Importers should be informed that they should obtain the approval for such vehicles prior to shipping the vehicle).

**A2.34.** An importer may request for a Prototype Application by submitting a request in writing to the Officer Responsible for Issue of Prototype Applications (OR-IPA) by submitting the Previous Registration Certificate or the Manufacturer's Technical Specifications.

**A2.35.** Based on the request the OR-IPA will enter the details of the request into the System@DMT as well as any additional documents that may be required to process the application (Refer Format AA2.3 for details of the information to be captured).

**A2.36.** The OR-IPA will thereafter generate an application and handover to the officer making the request. (**Note:** The Application should indicate all the documentation requirements as well as the cost of issuing such a Prototype Certificate).

**A2.37.** The duly completed application together with the relevant documents will be handed over to the Officer Responsible for Accepting Special Requests (OR-ASR).

**A2.38.** The OR-ASR will review the Application and the relevant documents and decide if all documentation required is available.

**A2.39.** **If all documentation required to process application is submitted:** The OR-ASR will update the system@DMT with the documents accepted and generate a 'Document Acknowledgement' and 'Payment Instruction'. (**Note:** The System@DMT will generate a Temporary Number and the documents will be maintained in a file marked with the Temporary Number).

**A2.40.** The applicant will effect payment and obtain a receipt.

**A2.41.** The receipt is submitted to the OR-ASR and the system@DMT is updated with the receipt details.

**A2.42.** The documents will thereafter be handed over for scanning. Go To Process S4.

**A2.43.** The OR-CD will review the scanned documents for Completeness and Accurately and place his Digital Signature as confirmation of same.

**A2.44.** OR-AD will thereafter review the Application and recommend the application approval and passed on to the Officer Responsible for Approval of Prototype Approval (OR-PA).

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**A2.45.** The OR-PA will review the Application and Recommendations and confirm the application could be approved or not.

**A2.46.** *If Application CANNOT be Approved:* The OR-PA will enter the additional requirements System@DMT and the reasons for the need for such requirements to finalize the Application. The Application will be kept in 'Pending' status for a period of 1 months – after which the application will lapse.

**A2.47.** The System@DMT will generate a 'Registration Pending Note' indicting the additional documents required for finalizing the application and the Period of validity of the Application, which is signed by the OR-PA and sent to the OR-CD. Go T0 A2.57.

**A2.48.** *If Application is Rejected:* The OR-PA decides to reject an application – the reasons for the rejection have to be entered into the System@DMT.

**A2.49.** The OR-AP will discuss the matter with the Applicant and explain the reasons for the rejection.

**A2.50.** The Rejection Request is passed onto the Officer Responsible for Approving Rejections (OR-AR) at DMT.

**A2.51.** The OR-AR will review the information and confirm the decision of the OR-PA.

**A2.52.** If Rejection is confirmed – the reasons for the Rejection are entered by the OR-AR and a 'Prototype Rejection Letter' (Format AF2.8) is generated through the System@DMT, and signed by the OR-AR and sent to OR-CD. Go To A2.57.

**A2.53.** **If Application is Approved:** The 'One-Off Prototype Approval Certificate' (Format AF2.9) is Printed through the System@DMT. (**Note:** Any conditions and/or restrictions are also entered into the System@DMT and printed on the Certificate).

**A2.54.** The Prototype Approval Certificate is signed by the OR-AP and returned to the OR-CD.

**A2.55.** The OR-CD@DMT will update the system@DMT confirming the documents to be retained (with reasons for same) and returned.

**A2.56.** The OR-CD@DMT will open a Prototype Approval File and insert the documents to be retained and sent to the Record Room with File Listing. Go To Process F.

**A2.57.** The documents to be returned to the AO-A are passed on to the OR-RD@DMT. Go To Process S7.

**A2.58.** END.

**Issue of 'Specific Prototype Certificate for every imported Vehicle**

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Exceptions

**Exceptions**

*A2.60 (a) If the Master Prototype approval has not been granted – the importer is required to contact the agent and request to submit a Prototype approval. (The Agent may charge the Importer for this service).*

*A2.60 (b) If vehicle is being imported for specific purpose and thereafter for re-export – the importer will make special application to DMT.*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

NOTE: The objective of this component of the process is to obtain information from the Importer/Manufacturer and Issue a 'Specific Prototype Certificate' to the applicant.

The Specific Prototype Certificate should give all details specified in the Master Prototype.

**Exceptions**

**A2.59.** The RI/M will log into the System@DMT and select the Approved Prototype of the vehicle the importer intends to import or Manufacturer intend to sell. (Any individual importer may log onto the System@DMT by supplying his personal details as per the Individual Registration Form (Format AF2.10)

**A2.60.** There after the RI/M will enter the Chassis Number & Engine Number of the vehicle to be imported or manufactured (Format AF2.11) onto the system@DMT. (**Note:** For vehicles imported in bulk or for assembly the importer could provide a listing[2]).

**A2.61.** The System@DMT will verify the information provided to ensure similar Chassis Number & Engine Number is not previously registered with the DMT. (**Note:** The system will also validate the format of the chassis number as specified in the Master Prototype).

**A2.62.** **If the Chassis Number Exists within the System@DMT:** The System @DMT will generate a 'Duplicate Chassis Import of Vehicle' (Format AF2.12) with the details of the information provided. (**Note:** The Duplicate Chassis Import of Vehicle – will inform the importer to visit the DMT office and meet the OR-I with all relevant papers to obtain the 'Specific Prototype Certificate')[3]. Go To A2.67.

**A2.63.** **If Chassis Number NOT Previously Registered:** Based on the information provided the System@DMT will generate a 'Specific Prototype Certificate'[4] (Format AF2.13) for each vehicle imported. (**Note:** The system@DMT will generate a 'Specific-Bulk Prototype Certificate (Format AF2.14) for bulk imports).

**A2.64.** **END**

**In the case of Duplicate Chassis Numbers/Engine Numbers**

*A2.70 If the time/date is NOT suitable for the importer – he will contact the OR-I and obtain an alternate date/time – which is updated on the system@DMT with reasons for the change of time.*

*A2.73 If the owner does not visit the DMT regular reminders must be sent until the vehicle is inspected.*

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2   It should be possible to copy a List of Chassis Numbers and Engine Numbers onto the interface from another program rather than having to enter them individually.
3   For bulk imports – the restriction will be placed only for the vehicles with duplicate details while the Specific Prototype Certificate will be issued for those without an issue.
4   The Specific Prototype Certificate will have the details of the individual when application is submitted by an individual.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

> **NOTE:** The objective of this component of the process is to define the procedure when the System@DMT identifies duplicate Chassis Number and/or Engine Number.

**Exceptions**

**A2.65.** The System@DMT will place the relevant importer/agent on 'Black List'[5] status and System@DMT will initiate an Investigation by logging-in an investigation.

**A2.66.** The System@DMT will also place the already registered vehicle on 'Black List' status. (**Note:** The process will carryout Activities A2.69 and A2.74 concurrently)

**A2.67.** Based on the investigation initiated – the OR-I will appoint an inquiry officer (Officer Responsible for conducting the Investigation – OR-CI) for the investigation.

**A2.68.** The OR-I will discuss a suitable date/time with the Inquiring Officer and update the system@DMT with the date & time of the inquiry.

**A2.69.** Based on the date updated – the system@DMT will generate a message to the inquiring officer to book his time as well as inform the importer by e-mail the date and time of the inquiry. Go To Process E.

**A2.70.** On completion of the enquiry the OR-CI will update the system if the importer should be issued with a 'Specific Prototype Certificate – with Issues' (Format AF2.15) and action to be taken against the importer – if any. Go To A5.

**A2.71. If importation of the vehicle is stopped:** The OR-I will issue a letter to the importer informing him to refrain form importing the vehicle into the country. (**Note:** If vehicle is imported after instructions are issued it will be considered a n illegally imported vehicle and appropriate action taken s specified in the Motor Traffic Act).

### The Already Registered Vehicle with Same Chassis Number

**A2.72.** The OR-I through the system@DMT will generate a letter to the owner of the already registered 'Black Listed' vehicle to visit the DMT with the vehicle and have the vehicle inspected – which is posted. (**Note:** The letter should indicate the documents that need to be presented to the DMT).

**A2.73.** The System@DMT will alert the Provincial Revenue License issuing authority to suspend issuing of Revenue License for the subsequent year. (Also information is made available for any prospective buyer/ insurance company to view the status of the vehicle as being 'Black Listed')[6].

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5   When a organization is placed on 'Black List' status – they will not be permitted to import vehicles as a Regular Importer, until the status is lifted following an inquiry.
6   No transactions relating to change of ownership or approval for attribute changes will not be permitted on 'Black Listed' vehicles.

Government Process Re- Engineering (GPR)       **Confidential Final Report**
Assignment for Department of Motor Traffic, e-Motoring
Project.

**A2.74.** The owner based on the letter will visit the DMT with all relevant documents relating to the vehicle which is handed over to the Customer Service Officer (CSO).

**A2.75.** The CSO will enter the details in the documents into the system@DMT. (Refer annexure AA2.4 for the 'Details to be captured for Verification'

**A2.76.** The system@DMT will verify the data entered with the information already available on the system@DMT.

**Exceptions**

**A2.77.** **If information is consistent:** The CSO will discuss with the owner of the 'Black Listed Vehicle for a time convenient to him and set up an appointment within the system@DMT.

**A2.78.** The appointment time is entered into the System@DMT an 'Inspection Request – Duplicate Chassis/Engine Number' (Format AF2.16) is generated through the system@DMT and handed over to the owner of the 'Black Listed' vehicle. (**Note:** A customized Inspection Request should be generated with the time of the appointment). Go To A2.83.

**A2.79.** **If information is NOT consistent:** The System@DMT will initiate an Investigation and generate an 'Investigation Initiated Notice' (Format AF2.17) with details of the owner and the vehicle – which is printed by the CSO.

**A2.80.** The CSO will thereafter accompany the Owner of the 'Black Listed' vehicle to the OR-I and handover the 'Investigation Initiated Notice' and the documents handed over by the owner to the OR-I. Go To Process E. In addition OR-I could authorize the printing of the 'Inspection Request – Duplicate Chassis/Engine Number'.

**A2.81.** Based on the Inspection Request – Duplicate Chassis/Engine Number the owner will have the Officer Responsible for Inspecting Vehicles inspect the vehicle and obtain an 'Inspection Certificate' (Format AF2.18). Go To Process S9.

**A2.82.** On receipt of the 'Inspection Certificate' the OR-I will assign an Officer to conduct the investigation. (**Note:** The investigation will be referenced to the investigation of the original duplicate chassis/engine investigation). Go To Process E.

**A2.83.** On completion of the investigation the OR-I will recommend the continuance of the registration or to modify the Chassis Number. (**Note:** The cancellation could include the cancellation of the importer/manufacturer registration as well as the vehicle registration).

**A2.84.** **If Vehicle Chassis No is to be modified:** The owner will be issued a new chassis number through the system and generate a Chassis Engraving Notice (format AF2.19) (**Note:** The new chassis number should indicate the original number as well as specified in the prototype as well as the CMT Number).

**A2.85.** On modifying the chassis number the vehicle will be subject to an inspection and vehicle attribute change initiated. (Refer Annexure AA2.xx

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

for format of the final chassis number which may be a composite number, e.g., AAAAAAAAAAAAAAAAA – CMT XXXX). Go To Process C3.

**A2.86.** **If importer registration is to be cancelled:** Go To Process A5.

**A2.87.** **If NO Action is recommended:** The Officer Responsible for Removing 'Black List' Status – will remove the 'Black List' status based on the instructions of the OR-I.

**A2.88.** END.

### Vehicles where 1st Inspection has NOT been done

**A2.89.** The Agent based on the approved Prototype will make a request to the DMT giving the details of the Prototype Approval Reference, Chassis Number and the Engine Model.

**A2.90.** Based on the information received the System@DMT will generate a '1st Vehicle Import Prototype Certificate' (Format AF2.19). (**Note:** The certificate must clearly state the vehicle will be required to be inspected prior to issuing a VIC).

**A2.91.** END

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

### *Process A3: Initiate Registration of Vehicles and Issue of VIC*

**NOTE:** The Registration of Motor Vehicles will be initiated within this Process – where a 'Vehicle Identity Certificate will be issued by the DMT. This document will be a permanent certificate which will indicate the status of the Vehicle at the point of import or the point of manufacture.

**Exceptions**

**Capturing Special Conditions**

**Note**: This process will permit the capture of Special Conditions (imposed by other organizations) applicable to a vehicle and required to be monitored by the DMT.

The importer/manufacturer is required to submit the 'Specific Prototype Certificate' issued by the DMT prior to receiving the approval for any special condition.

The Applicant will have to repeat this same procedure if concessions are being obtained from multiple agencies.

The conditions on which the vehicle has been cleared must be entered into the system@DMT by the customs and a Printout obtained and certified confirming the conditions.

A3.1. The importer/purchaser ('Applicant') of a vehicle will be required to submit the 'Specific Prototype Certificate' (issued in Process A2), to the Agency (any authorized entity which could provide concessions and impose restrictions on the vehicle) from which you require to obtain Special Approval. (Refer Annexure AA3.1 for a Listing of Agencies and the Special Approvals offered by each Agency).

A3.2. Once the Agency approves a special concession (which is bound by a condition) for a specific vehicle – the Officer Responsible for Approval at Agency Issuing Condition (OR-AAIC) will be required to log onto the System@DMT.

A3.3. The OR-AAIC will update the system with the conditions applicable to the Specific Vehicle (identified by the 'Special Prototype Certificate' issued by the DMT.

A3.4. The System@DMT will generate the 'Special Conditions Certificate' (Format AF3.1) with a Condition Reference Number on Screen for review of the OR-AAIC.

A3.5. After the review of the 'Special Conditions Certificate' the OR-AAIC will be required by the system to confirm its completeness and accuracy.

A3.6. The OR-AAIC will confirm the completeness and accuracy of the Special Conditions Certificate on the System@DMT.

A3.7. Thereafter the OR-AAIC will be permitted to print the Special Conditions

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

Certificate.

**A3.8.** The OR-AAIC is required to attach the Special Conditions Certificate generated through the system@DMT to the certificate issued by the Agency providing the concession and imposing the condition. (**Note:** The DMT - Special Conditions Certificate Reference Number – should also be mentioned in the Certificate issued by the Agency.

**A3.9.** The Certificate Issued by the Agency as well as the Special Conditions Certificate should be handed over to the Applicant – with special copy for DMT.

**A3.10.** END

### Initiating Registration of Individual Vehicles

**Note**: This process will permit the issue of the 'Vehicle Identity' (VID) for vehicles cleared as individual units from the Port[7].

When clearing vehicles as individual units from locations other than those pre-identified, the DMT will have a mobile unit that would facilitate the Issue of the VID.

No vehicle should be permitted to leave the Port Premises without a Valid VID or Vehicle with Issues Note.

For vehicles Temporary De-registered for export will also be re-registered and issued with a VID.

**A3.11.** The Importer – after clearing the vehicle will bring the vehicle and the required documents (Annexure AA3.2 – Listing of the Required Documents[8]) to the DMT Office within the Port. (**Note:** When there is no permanent office – the applicant is required to request and arrange for the Mobile Office prior to clearing the vehicle).

**A3.12.** The documents presented by the Importer are – date stamped by the Officer Responsible for Accepting Documents at Port (OR-ADP) and place his signature on same.

**A3.13.** The OR-ADP will thereafter log into the System@DMT and recall the details of the specific vehicle based on the Reference Number of the 'Specific Prototype Certificate' issued by the DMT.

**A3.14.** Based on the information on the Specific Prototype Certificate, the System@DMT will generate a 'VID Issue Check List' (Format AF3.2) which

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| **Exceptions** |
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*A3.16 If all required docs are not presented – the OR-ADP will request for the balance documents and date stamp the documents.*

*A3.20 If the photographs are not representative of the vehicle the OR-VV is permitted to capture more photographs.*

*A3.22 If the Chassis Number is in a location other than that specified in the Prototype – this information should be captured onto the system @DMT and the new location indicated.*

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7  A method to obtain the electronic information from customs immediately upon clearing the cargo – will have to be discussed and agreed upon.

8  The Required Documents may include: DMT copy of CUSDEC, Specific Prototype Certificate Issued by the DMT, Documents with Other Special Conditions issued by Agencies offering concessions, Clearance details

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

is generated based on the 'Document Requirement Rules for Issue of VID' (Annexure AA3.3).

**A3.15.** OR-ADP will validate the documents received against the VID Issue Check List and update the system@DMT with the documents presented by the importer.

**A3.16.** The OR-ADP will ensure all the documents required for processing of the VID have been presented to him.

**A3.17.** The OR-ADP will update the system confirming all the documents have been received and generate the Barcode and paste them on the documents to be retained by the DMT based on the 'Document Requirement Rules for Issue of VID'.

**A3.18.** The documents so received are handed over to the Officer Responsible for Scanning of Documents (OR-SD) – Go To Process S4.

**A3.19.** While the documents are being scanned the Officer Responsible for Verification of the Vehicle (OR-VV) is issued with the instruction to verify the vehicle by the System@DMT.

**A3.20.** The OR-VV will initially capture the Photograph of the vehicle based on the specified angles. (**Note:** The photographs could be obtained through fixed as well as mobile cameras linked directly to the System@DMT and every photograph is date/time stamped as well as the details of the officer capturing the photograph – No photograph captured is removed from the system).

**A3.21.** The photographs so captured are accepted onto the System@DMT when the OR-VV places his 'Digital Signature' on the photographs.

**A3.22.** The OR-VV will thereafter capture/photograph the Original Chassis Number & Engine Number of the vehicle – from the location specified in the 'Prototype'.

**A3.23.** The OR-VV will enter the inspected Chassis number and the Engine Model, Speedometer Reading, onto the System@DMT as well as approve the photographs of the Chassis & Engine Numbers captured by placing his 'Digital Signature' on the photographs.

**A3.24.** On receipt of the confirmed photographs and the scanned copies for the specific vehicle – the OR-ADP will review the documents and photographs and place his 'Digital Signature' as confirmation of the completeness and accuracy of the information within the System@DMT.

**A3.25.** Based on the documentation and the information gathered through inspection OR-ADP will recommend the issue of VID or to release the vehicle with a 'Vehicle with Issues Notice' and to update the System @DMT with the reasons for same.

**A3.26.** The Scanned Documents, Photographs and the recommendation of the OR-ADP are forwarded to the Officer Responsible for Approving VID (OR-AVID) at DMT.

**Exceptions**

*A3.36 If the issue is due to a duplicate chassis number based on a 'Specific Prototype Certificate' (where the issue had not been identified earlier) – the system@DMT should initiate an investigation and activities from A2.74 – should also be carried out.*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**A3.27.** The Physical Documents are handed over to the Officer Responsible for the Issue of VID (OR-IVID).

**A3.28.** The OR-AVID will review the information received and update the System @DMT with the reasons for accepting the recommendations or modifying the recommendations of the OR-ADP. (**Note:** The OR-AVIC should be able to review all photographs and all scanned documents).

**Exceptions**

**A3.29.** The OR-AVIC at DMT will approve issue of VID or to release the vehicle with 'Vehicle with Issues Notice' and a VID Reference Number is assigned for both categories of vehicles. (Annexure AA3.4 will outline the Rules for Approving a VIC)

**A3.30.** Based on the approval received from the OR-AVIC at DMT, the Officer Responsible for the Issue of the VID (OR-IVIC) will generate the VID (Format A3.3) or 'Vehicle with Issues Notice' (Format A3.4) together with an Importer Acknowledgement of VID (Format A3.5). (**Note:** The Importer Acknowledgement of VIC shall also indicate the documents being returned to the importer and those being retained).

**A3.31.** The OR-IVIC will hand over the VID or 'Vehicle with Issues Notice' together with the relevant documents and request the importer to sign and return the 'Importer Acknowledgement of VID' as confirmation of receiving the VID and documents stated therein and the importer is released to remove the vehicle.

**A3.32.** The duly signed Importer Acknowledgement of VID by the Importer is scanned into the system@DMT.

**A3.33.** On a daily basis a Report is generated of all 'VIDs/Vehicle with Issues Notice issued Statement' (Format AF3.3) indicating the documents retained for each VID/ Vehicles with Issues Notice issued.

**A3.34.** The documents & acknowledgements together with the 'VICs/Vehicle with Issues Notice issued Statement' are sent to the Officer Responsible for Maintaining Records (OR-MR).

**A3.35.** The OR-MR will maintain the documents received in date order until the specific vehicle is assigned a Registration Number and thereafter amalgamated.

**Vehicles Issued with 'Vehicles with Issues Notice'**
**Note**: This process will define the procedure to handle vehicles that have issues.

*A3.46 If vehicle is cleared from the Customs Bond – the RI/M will be required to visit the DMT Office and submit the papers cleared by customs prior to scheduling the inspection.*

**A3.36.** The RI/M who has been issued a 'Vehicle with Issue Notice' will present the 'Vehicle with Issue Notice' to the CSO and obtain a 'Vehicle Inspection Request – Unregistered Vehicle with Issues' (Format AF3.4) and related 'Payment Instruction' or 'Vehicle Inspection Request – 1$^{st}$ Vehicle Import' (Format AF3.5) through the System@DMT. (**Note:** The Inspection Request will indicate the Date & Time of the Inspection and

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

an Investigation is initiated by the system@DMT – for those other than 1<sup>st</sup> vehicle imports).

**A3.37.** The RI will effect payment and obtain a Receipt prior to the date mentioned on the Inspection Request. Go To Process S2.

**A3.38.** The RI will thereafter present the Inspection Request and the Receipt to the Officer Responsible for Inspecting Vehicles and obtain an Inspection Report. Process S8.

**A3.39.** If the inspection is pertaining to the import of a 1<sup>st</sup> Vehicle: Go To A3.93.

**A3.40.** The RI will thereafter visit the DMT Office and handover the Report to the OR-I.

**A3.41.** The OR-I will recall the information pertaining to the Inspection Report and attach same to the specific investigation initiated within the system@DMT. Go To Process E.

**A3.42.** The OR-I will finalize the investigation and decide if the vehicle should be issued a VID or Not.

**A3.43.** **If VID is to be issued:** The Officer Responsible to Remove Restrictions and permit the printing of the VID. The system will generate the 'Permission to Print VIC Notice' (Format AF3.6) – which is handed over to the RI. (**Note:** The Notice must indicate the Investigation Reference Number). Go To A3.25 (where VID are issued in Office)

**A3.44.** **If the issue of VID is NOT Approved:** Vehicle that could not be issued with VID will be scrapped and chassis number returned to the DMT Office and system@DMT is updated confirming the receipt of the Chassis Number.

**A3.45.** END


**Issue of 'Bulk – Vehicle Release Notice' for Vehicles Imported in Bulk**


**Note**: This process will facilitate the issue of VID to importers of Bulk/Assembled vehicles.

**If the Vehicle is kept in a Customs Bond in a location outside the Port**: the RI will be required to inform the DMT office at port prior to removing the vehicles to the Customs Bond.


**A3.46.** Based on the 'Bulk – Prototype Certificate' the RI/M will log into the system@DMT and update the date and location for the individual vehicle Identification. - (**Note:** If all vehicles are not available for inspection the RI/M is required to pay a base fee and when the vehicle is ready for inspection an interview is fixed and inspection fee is charged).

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**A3.47.** On confirmation of the inspection date the system@DMT will generate a 'Payment Instruction'. (**Note:** The verification fee will be based distance and the number of vehicles verified).

**A3.48.** The RI/M will effect payment and obtain a receipt prior to the clearing of the vehicles.

| Exceptions |
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**A3.49.** The RI/M will hand over the 'Bulk – Prototype Certificate', CUSDEC and relevant documents (refer annexure AA3.3 for a listing of the documents required) to the Officer Responsible for Accepting Documents at Port (OR-ADP),

**A3.50.** The documents presented by the RI/M are – date stamped by the OR-ADP and places his signature on same.

**A3.51.** The OR-ADP will thereafter log into the System@DMT and recall the details of the shipment based on the Reference Number on the 'Bulk – Prototype Certificate' issued by the DMT.

**A3.52.** The details of the CUSDEC and Receipt are entered into the system@DMT.

**A3.53.** The documents so received are handed over to the Officer Responsible for Scanning of Documents (OR-SD) to scan all the documents received – Go To Process S4.

**A3.54.** Following the scanning the documents are handed over to the Officer Responsible for Releasing Bulk Vehicles (OR-RBV).

**A3.55.** The OR-RBV will initially inspect the physical documents against the scanned documents and if the scanning is complete and accurate – the OR-RBV will place his 'Digital Signature' confirming same,

*A3.65 (a) If the chassis number is in a location other than that shown in the Prototype – the location of the Chassis No is photographed and specific location indicated on the HHD.*

**A3.56.** The OR-RBV will ensure the details in the Bulk - Prototype Certificate and the information of the vehicles cleared through customs are the same.

**A3.57.** **If all the details tally:** The OR-RBV will update the system@DMT confirming there are no discrepancies in the imported vehicles and generate a 'Bulk Vehicle Release – Certificate' (**Note:** Based on this certificate the vehicles can only be transported in Bulk). Go To A3.61 (End)

*A3.65 (b) If the vehicle information is not available on the HHD – the OR-IBV is required to capture the data onto the HHD.*

**A3.58.** **If there are discrepancies in the information:** The OR-RBV will highlight the discrepancies on the system@DMT by updating the excess and shortages to the 'Bulk – Prototype Certificate'.

**A3.59.** **If there is a duplicate n Chassis/Engine Number** – that specific vehicle(s) will be marked as a 'Vehicle with issues' and generate a 'Vehicle with Issues Notice'. Go To A2.36.

*A3.71 If there are any mistakes identified the OR-IBV will be permitted to capture the new data while retaining the old and giving reasons why the mistake occured.*

**A3.60.** **If there are no discrepancies after the duplicates are removed**: Go to A3.56.

**A3.61.** **If there are discrepancies after the duplicates are removed**: The OR-RBV will issue a 'Bulk Vehicle Release – Certificate with Issues' which will

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

also indicate the excess and shortages to the 'Bulk – Prototype Certificate'.

**A3.62.** **END**

**Inspection of Bulk Vehicles/Assembled Vehicles/Vehicles Released from Customs Bond at Site**

**Note**: This process will describe how the vehicles are inspected at the vehicle yard of the importer.

**This process could also be done with the use of a Mobile Service which could have remote access to the System@DMT.**

**Exceptions**

**A3.63.** Based on the date and time agreed with the RI/M through the system @DMT will permit the Officer Responsible for Issue of VIC to nominate an Officer Responsible for Inspection of Vehicles imported in Bulk (OR-IBV).

**A3.64.** OR-IBV will be permitted to upload the required information onto a Hand Held Devise - HHD**.** (Refer annexure AA3.4 for details of the information to be entered into the HHD). (The minimum information required would be the Prototype Details & Chassis No of vehicle mentioned in the Bulk Prototype certificate or vehicles requested to be inspected).

**A3.65.** The OR-IBV will visit the location specified by the RI/M and initially confirm the date and location of the inspection and the RI/M is required to present the vehicles without VID relevant to the specific 'Bulk Import'.

**A3.66.** Thereafter – he will inspect an individual vehicle at a time and enter the chassis and other details required – the system will display the Prototype information.

**A3.67.** He will thereafter photograph the vehicle and the chassis no. which is attached to the specific chassis no. (**Note:** This is done for all vehicles).

**A3.68.** After inspection of all vehicles – the OR-IBV will confirm the completion of the data capture.

**A3.69.** The HHD will verify the data and confirm if all information has been captured and display the chassis numbers of the vehicles whose information has not been captured.

**A3.70.** If the RI/M is not able to show the specific vehicles for inspection to the OR-IBV he will update the HHD confirming the specific vehicles were not available for inspection.

**A3.71.** The HHD will thereafter generate a 'Bulk Vehicle Inspection Report' (Format AF3.7) in duplicate – through the HHD confirming the vehicles inspected and those that were not presented for inspection.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**A3.72.** One copy will be signed by the OR-IBV and handed over to the RI/M, while the other copy will be checked by the RI/M with his documents and signed by him as confirmation of the accuracy of the information captured and handed over to the OR-IBV.

**A3.73.** The OR-IBV will return to the office and update the system@DMT with the information in the HHD.

**Exceptions**

**A3.74.** END

### Issue of VID for Vehicles Imported in Bulk/Assembled or Released from Customs Bond at Site.

**Note**: This process will describe how vehicles which have been inspected at site are issued with VID.

**A3.75.** The RI/M after the completion of the inspection (or investigation) will visit the DMT and meet the Officer Responsible to Process VID (OR-PVID) and hand over the 'Bulk Vehicle Inspection Report' (or 'Permission to Print VIC Notice' in the case of an investigation).

**A3.76.** The system@DMT will generate a 'Bulk Vehicle Inspection Discrepancy Report' (Format AF3.8) on the discrepancies between the information in the system@DMT and information captured at inspection.

**A3.77.** The 'Bulk Vehicle Inspection Discrepancy Report' is studied in detail by the OR-PVID. (**Note:** For vehicles assembled locally – the special excise duty payment will also be checked. An interface will be provided to the Excise Department responsible for the collection of Special Excise Duty to update this information).

**A3.78.** **For vehicles without Discrepancies:** The OR-PVID will be permitted to recommend the issue of VID. Go To A3.80.

**A3.79.** **For vehicles with Discrepancies:** for vehicles with discrepancies the OR-PVID could recommend to issue a 'Vehicle with Issues Notice'.

**A3.80.** The recommendation is passed onto the Officer Responsible to Approve Issue of VID (OR-AIV).

**A3.81.** The OR-AIV will recall a vehicle at a time and inspect the relevant information and approve or modify the recommendation of the OR-PVID.

**A3.82.** **For Vehicles approved to issue VID:** The OR-AIV will print the VID. Go To A3.84

**A3.83.** **For Vehicles NOT approved:** The OR-AIV will print the 'Vehicle with Issues Notice'.

**A3.84.** The OR-AIV will sign the relevant documents and update the system @DMT confirming the signing of the document. (**Note:** on confirmation of signing of the 'Vehicle with Issues Notice' the system@DMT will initiate an investigation)

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**A3.85.** The signed documents are handed over to the OR-PVID to be handed over to the RI/M.

**A3.86.** The OR-PVID will prepare and 'Bulk VID Acknowledgement Note' (Format AF3.9) through the system confirming the documents to be handed over to the RI/M.

**A3.87.** The OR-PVID will handover the VID, Vehicles with Issues Notice and the 'Bulk VIC Acknowledgement Note' to the RI/M and obtain his confirmation of receiving all documents by requesting the RI/M to sign and return the acknowledgement. (**Note:** For vehicles with 'Vehicle with Issues Notice' – the RI/M is required to follow process A3.36).

**A3.88.** The duly signed acknowledgement is scanned into the system and transaction is completed. (**Note**: Any time the details of the vehicle are recalled – the system@DMT should display all the bulk documents related to the import).

**Exceptions**

*A3.103 If the scanned documents are not accurate or complete they will be sent for re-scanning prior to placing the digital signature.*

### Issue of VIC for Vehicles Manufactured in Sri Lanka (Based on Chassis Nos. Issued by DMT)

**Note**: This process is followed to inspect and issue VID for vehicles manufactured in Sri Lanka using Chassis Nos. issued by the DMT.

For vehicles manufactured using imported Chassis Nos. the VID will be issued through the same process as the BULK IMPORTS.

It is assumed the Local manufacturer has obtained a 'Specific Prototype Certificate' for the vehicle he is requesting a VID.

**A3.89.** The Local Manufacturer (LM) will log onto the System@DMT and update the system@DMT with the Prototype Certificate details relevant to the vehicle a VID is required. (**Note:** It should be possible to request for inspection of more than one vehicle).

**A3.90.** The system@DMT will facilitate the setting up of the appointment for inspection at site and generate an 'Appointment Confirmation' and 'Payment Instruction'.

**A3.91.** Prior to the date of the appointment the LM will effect payment and obtain a receipt.

**A3.92.** Go To A3.63

### Inspection of the 1st Vehicle Imported

**A3.93.** The RI/M will present the vehicle for inspection at the designated date (Support Process S9).

**A3.94.** **If Vehicle is approved for importation:** The OR-PA will be informed through the System@DMT the 1st vehicle has been approved.

**A3.95.** Based on the information received the OR-PA will upload the Prototype Details onto the DMT website. Go To A3.97.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**A3.96. If Vehicle is NOT approved for importation:** The vehicle will be not registered and permission granted for re-exported – if required.

**A3.97.** END.

**Importing of Re-exported Vehicles**

**A3.98.** The RI/M will at the point of import submit to the OR-ADP the 'De-registration Certificate' issued by the DMT.

**A3.99.** The OR-ADP will log onto the System@DMT and recall the details of the 'De-registration Certificate'.

**A3.100.** Thereafter the OR-ADP will generate a 'Checklist for Inspection of De-registered Vehicles' (Format AF3.10).

**A3.101.** The documents are handed over to the OR-SD for scanning into the system@DMT. (Refer Process S4)

**A3.102.** Based on the 'Checklist for Inspection of De-registered Vehicles' the OR-VV will inspect and confirm the attributes of the vehicle are in conformity with the 'De-registration Certificate'. (Refer annexure AA3.xx for details to be captured into the system@DMT).

**A3.103.** The OR-ADP will review the scanned documents and place his digital signature as confirmation of the accuracy and completeness of the documents scanned.

**A3.104. If the Physical Attributes are in conformity with the De-registration Certificate:** The OR-ADP recommend the issue of the VID and pass on the details to the OR-AVID at DMT.

**A3.105. If the Physical Attributes are NOT in conformity with the De-registration Certificate:** The OR-ADP will recommend the issue of a Vehicles with Issues Notice.

**A3.106.** The OR-AVID will review the recommendations and approve or reject the issue of the VID at port.

**A3.107.** Based on the approval the OR-IVID will either issue the VID or the Vehicles with Issues Notice.

**A3.108. Vehicles with VID:** The owner required to go through the 1st Owner Registration Process and obtain a CR. (Go To Process B).

**A3.109. Vehicles with 'Vehicles with Issues Notice':** The owner is required to follow the process specified in Process A3.36.

**A3.110. End**

**Issue of VID for Vehicles and obtaining Authorization for Sale of Vehicle by Auction**

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**Exceptions**

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*A3.114 If the vehicle is NOT in a motor able condition the Vehicle details are captured and condemned. No authorization will be given to auction vehicle.*

*A1.115 If the vehicle does not have a CR in the Name of the Auctioning Authority or vehicle has been confiscated – the vehicle should be transferred in the name of the Auctioning Authority prior to requesting approval for auction.*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**Note**: This process will facilitate the issue of VID for vehicles not yet issued with VID and sold by auction as well as inspect and confirm the vehicle is in a suitable condition to be auctioned.

**Exceptions**

**A3.111.** The Auctioning Authority will submit a 'Request to auction Registered/ Unregistered Vehicles' (Format AF3.11) to the DMT Prior to placing the vehicles on Auction. (**Note:** The request should be submitted for all vehicles the Auctioning Authority intends to auction).

**A3.112.** Based on the 'Request to auction Registered/Unregistered Vehicles'– the details will be entered into the System@DMT by the Officer Responsible to Process Vehicle Auction Requests (OR-PAR).

**A3.113.** The system@DMT will facilitate the setting up of the appointment for inspection at site and generate an 'Appointment Confirmation'. (**Note:** The appointment is fixed in consultation with the Auctioning Authority).

**A3.114. If unregistered and Road Worthy Vehicles:** An Issue VID or 'Vehicle with Issue Note'. (**Note**: This will be done by following the process of inspecting and issuing of VID for manufactured vehicles).

**A3.115. If vehicle is already Registered and Road Worthy Vehicles:** The auctioning authority must present the Original CR in the name of the Auctioning Authority. (**Note:** When the vehicle has been confiscated and no CR is available the Auctioning Authority should submit a 'Confiscated Vehicle Sale By Auction' request – to facilitate the transfer of the vehicle - Format AF3.12).

**A3.116.** The Officer Responsible to Inspect Auction Vehicles (OR-IAV) will update the System@DMT based on the information gathered through the inspection and generate a 'Vehicles Authorized for Auction' (Format AF3.13)

**A3.117.** After the Auction the Auction Authority will be required to submit the auction information by updating the 'Auction Sale Confirmation Note' (Format AF3.14).

**A3.118.** Based on the information received in the 'Auction Sale Confirmation Note' the system@DMT will generate individual 'Auction Sale Acknowledgement' for each vehicle auctioned and sold.

**A3.119.** The Auction Sale Acknowledgement is signed by the Auctioning Authority and handed over to the buyer.

**A3.120. If the vehicle is not issued with Registration Number:** Go To Process B.

**A3.121. If the vehicle is already having Registered Number:** Go To Process C.

**A3.122.** END

*A3.123 If the documents are not scanned accurately or incomplete the documents are re-scanned.*

**Import of Only Chassis for Replacement to Registered Vehicles**

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**Note**: This process will facilitate the import of chassis for replacement in registered vehicles.

Chassis will be permitted to be imported only by the Agent, All chassis must be New and will be engraved with the existing chassis number after it is imported. The System@DMT should permit the CMT to nominate other registered dealers to import chassis.

The import license for import of chassis will be granted only based on the Approval issued by the DMT.

**A3.123.** Prior to the import of any chassis to the country the Agent[9] is required to submit a 'Chassis Import Request' (Format AF3.14) giving details of the Make, Model, Reason and Chassis Numbers to be imported[10]. (**Note:** The request will be submitted to the DMT through the interface provided to the Agent).

**A3.124.** Based on the request (and it satisfies the chassis import rules – Annexure AA3.xx) the Agent will be permitted to schedule an appointment for the inspection of the vehicle.

**A3.125.** The inspection is carried out. Go To Process S9.

**A3.126.** Based on the Inspection Report, the Officer Responsible for Chassis Imports (OR-CI) will review the details and make a recommendation to either approve or reject the request. (**Note:** If rejected the reason for rejection should be stated).

**A3.127.** The recommendation is thereafter passed to the Officer Responsible for Approving Chassis Imports (OR-ACI).

**A3.128.** The OR-ACI will review the recommendations of the OR-CI and decide to approve or reject the request made by the agent.

**A3.129. If the Request to Import Chassis is Approved:** The OR-ACI will generate a 'Chassis Import – DMT Approval' (Format AF3.15) through the system @DMT and signed by the OR-ACI and sent to the Postal Division for posting. An e-mail message will be sent to the Agent confirming the issuing of the approval. (**Note:** The approval letter could be also be collected from the Postal Division).

**A3.130.** The system@DMT will 'Black List' the vehicle – pending the completion of the replacement.

**A3.131. If the Request to Import Chassis is NOT Approved:** The OR-ACI will generate a 'Chassis Import Rejection Notice' (Format AF3.16) through the system@DMT and signed by the OR-ACI and sent to the Postal Division for posting. An e-mail message will be sent to the Agent confirming the

*A3.132 If the release of the chassis can not be approved a 'Chassis with Issues Notice' (Format AF3.18) is generated through the System@DMT.*

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[9]   The System@DMT should permit the CMT to nominate other registered dealers to import chassis and to permit to make requests through the interface for such selected dealers.

[10]  All supporting documents are required to be scanned and attached to the request.

issing of the approval. (**Note:** The approval letter could be also be collected from the Postal Division).

**A3.132. After Clearing the Chassis from Customs:** The Agent will be required to inform the DMT (and submitting the required documents) and obtaining a 'Chassis Engraving Authorization' (Format AF3.17) through the system@DMT and signed by the OR-ACI and sent to the Postal Division for posting. An e-mail message will be sent to the Agent confirming the issing of the approval. (**Note:** The approval letter could be also be collected from the Postal Division).

**A3.133. After Engraving the Chassis Number:** The agent will inform the System@DMT the relevant chassis number has been replaced and the number engraved and fix an appointment for inspection.

**A3.134.** The system@DMT will generate the 'Appointment Confirmation' and 'Payment Instruction'.

**A3.135.** Based on the 'Payment Instruction' the agent is required to effect payment.

**A3.136.** The Officer Responsible for Checking of New Chassis (OR-CNC) as per the appointment will inspect the vehicle and issue a report. Go To Process S9. (**Note:** The area where the chassis number was engraved in the earlier chassis is retrieved and system updated).

**A3.137.** Based on the approval the old CR is withdrawn and a new CR is issued indicating the chassis has been replaced and name of the agent. Go To Process C – Changing of Vehicle Attribute.

**A3.138. End**

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## *Process A4:  Issue of Chassis Numbers to Local Manufacturers*

NOTE: The objective of this process is to issue chassis numbers to local manufacturers and manage the usage of the chassis numbers.

**Exceptions**

**Manufacturers Apply for Chassis Numbers**

Note: This process will permit the Manufacturers to apply for chassis numbers. When approving the Prototype the Chassis Number format has been approved and maintained within the System@ DMT,

A4.1.   The Manufacturer may log-into the System@DMT using the assigned user name & password and request for a Chassis Number On-Line Application (Format AF4.1), based on the Type & Model of the Vehicle.

A4.2.   The System@DMT will generate a customized - Chassis Number On-Line Application (for the specific manufacturer and model of vehicle).

A4.3.   The manufacture will complete the Chassis Number On-Line Application and submit to the System@DMT[11]. (**Note:** The manufacturer should confirm the status of the Chassis Numbers already issued and if all numbers are not utilized the reasons for applying for a new set of Chassis Numbers).

A4.4.   The Chassis Number On-Line Application so received and validated through the System@DMT using the Chassis Number validation Rules (Annexure AA4.1).

A4.5.   **If the Application fails the Validation Test:** The system@DMT will generate a Chassis Number Validation Report (Format AF4.2), indicating the errors in the application and requesting the manufacturer to complete same. Go To A4.3.

A4.6.   **If the Application Passes the Validation Test:** The application is passed onto the Officer Responsible to Recommend Chassis Numbers (OR-RCN) to review the application.

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[11]  The manufacturer should be able to complete the application off-line and thereafter upload the completed application onto the System@DMT.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

Confidential Final Report

**Review and Issue of Chassis Numbers**

**A4.7.** Following the review of the application the OR-RCN will update the system @DMT confirming if the issue of the chassis numbers could be issued or not.

**A4.8.** **If NOT Recommended for Issue of Chassis Numbers:** The OR-RCN will update the System@DMT with the reasons for not recommending the issue of Chassis Numbers. Go To A4.11.

**A4.9.** **If Recommended for Issue of Chassis Numbers:** The OR-RCN will update the System@DMT with the number of Chassis Numbers to be issued.

**A4.10.** The recommendations of the OR-RCN are passed onto the Officer Responsible to Approve Chassis Numbers (OR-ACN).

**A4.11.** The OR-ACN will review the recommendations and approve same.

**A4.12.** Upon the approval (of the OR-ACN) the system@DMT will generate a message confirming the new Chassis Numbers to be used or rejecting the application with reasons.

**A4.13.** The System@DMT is updated with the new chassis numbers issued for the specific model.

**A4.14.** END

*A4.11 If the recommendations are NOT approved the OR-ACN will make his comments and pass on to the OR_RCN for correction. Go To A4.7.*

*A4.13 No action is taken on Rejected Applications – the manufacturer is required to submit new application to correct any observations of the OR-RCN.*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## Process A5:   Managing Importers/Agents & Manufacturers

**NOTE:** The objective of this process is to manage the Importers/Agents and Manufacturers.

### Suspension of Certificate Importers/Agents & Manufacturers

**Note**: This process will suspend or cancel the Licence of a Registered Importer/Agent or Manufacturer based on the recommendations of an Inquiry conducted by the DMT.

**A5.1.** On receipt of a complaint or information gathered through internal investigations the Officer Responsible for Investigations (OR-I) or any other authorized officer (Annexure AA5.1 for List of Officers Authorized to Suspend Importers/Agents or Manufacturers) may update the System @DMT and request for the Suspension by generating a Suspension Request (Format AF5.1).

**A5.2.** The Officer Responsible for Approving Suspension (OR-AS) will review the information stated on the System@DMT and either approve or reject the suspension indicating the reasons for the decision. (**Note:** The OR-AS should be able to review the history of the track record or incidences concerning the organization in question).

**A5.3.** **If Suspension Request is Rejected:** The Officer Requesting for the Suspension is informed of the reasons for the rejection of the request – and no further action is taken. (**Note:** A listing of Suspension Rejections should be viewed by the Officer Responsible for the Organization (OR-O). Go To END.

**A5.4.** **If Suspension Request is Accepted:** The system@DMT will generate an e-mail to the Organization informing the fact the Importer/Agent or Manufacturer has been placed on Suspension Status. (Annexure AA5.2 - Listing of the Services Suspended when in 'Suspended Status').

**A5.5.** Based on the 'Suspension Request' the System@DMT will generate an Investigation Request (with Investigation Reference Number) and pass on the 'Suspension Request' details to the Officer Responsible for Investigations to initiate the Investigation. (Go To Process E).

**A5.6.** On completion of the Investigation the Officer Responsible for Investigations will confirm if the 'Suspension' should be revoked or the 'Registration Certificate' should be cancelled. (**Note:** Based on the feedback of the superiors the OR-I may be required to amend the recommendation as additional information is revealed).

**A5.7.** **If the 'Suspension' is revoked**: The OR-I update the System@DMT recommending the revoking of the Suspension and generating the 'Revoking of Suspension' letter (Format AF5.2) through the system

### Exceptions

*A5.9 The OR-ARS may reject the recommendation and update the System@DMT with the reasons for the rejection and request the OR-I to provide further information. A Listing of such Rejections must be available for the OR-O to review and comment on the decision. Go To A1.50.*

*A5.11 The OR-ARS is permitted to re-scan the document until the 'digital signature' is placed.*

*A5.13 If the letter has not been scanned correctly the OR-I will request the OR-ARS to scan the document and re-send to the OR-I.*

*A5.19 The OR-ACR may reject the recommendation and update the System@DMT with the reasons for the rejection and request the OR-I to provide further information. A Listing of such Rejections must be available for the OR-O to review and comment on the decision. Go To A5.4.*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

@DMT.

**A5.8.** The Revoking of Suspension Letter is – initialled by the OR-I as confirmation of his recommendation to revoke the suspension and passed on to the Officer Responsible for Approving Revoking Suspensions (OR-ARS).

**A5.9.** The OR-ARS will review the information on the System@DMT and approve the recommendation for revoking the 'Suspension' by updating the System@DMT and placing his signature on the 'Revoking of Suspension Letter'.

**A5.10.** The OR-ARS will update the system confirming he has signed the Suspension Revoking Letter.

**A5.11.** Thereafter the duly signed Revoking of Suspension letter is passed onto the OR-I.

**A5.12.** The OR-I will scan the 'Revoking of Suspension' letter and inspect for completeness and accuracy and place his digital signature as confirmation of same.

**A5.13.** The System@DMT will thereafter generate an e-mail to the 'suspended organization' confirming the Suspension has been revoked with a copy of the scanned document and confirm the Original document is being posted.

**A5.14.** The System@DMT will also re-instate the suspended services for the 'suspended organization'.

**A5.15.** The OR-I will thereafter generate an envelope, place the 'Revoking of Suspension' letter in the envelope and prepare a Postal List and hand over the letter and the postal list to the Officer Responsible for Posting. Go To S7.

**A5.16.** **If the Certificate is Cancelled**: The OR-I will recommend the Cancellation for the Registration Certificate and generating the 'Cancellation of Registration' letter (Format AF5.3) through the system @DMT.

**A5.17.** The Cancellation of Registration Letter is initialled by the OR-I as confirmation of his recommendation to cancel the registration and passed on to the Officer Responsible for Approving Cancellation of Registrations (OR-ACR).

**A5.18.** The OR-ACR will review the information on the System@DMT and approve the recommendation for cancelling the registration by updating the System@DMT and placing his signature on the 'Cancellation of Registration Letter'.

**A5.19.** The OR-ACL will update the system@DMT confirming he has signed the Cancellation Letter.

**A5.20.** Thereafter the duly signed 'Cancellation of Registration' letter is passed onto the OR-I.

| Exceptions |
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*A5.21 The OR-ACR is permitted to re-scan the document until the 'digital signature' is placed.*

*A5.23 If the letter has not been scanned correctly the OR-I will request the OR-ACR to scan the document and re-send to the OR-I.*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**A5.21.** The OR-I will scan the 'Cancellation of Registration' letter and review for completeness and accuracy and place his digital signature as confirmation of same.

**A5.22.** The System@DMT will thereafter generate a e-mail to the 'suspended organization' confirming the Registration has been Cancelled with a copy of the scanned document and confirm the Original document is being posted.

**A5.23.** The System@DMT will cancel the required services (Annexue AA5.3 for Listing of Services to be Cancelled when Cancelling Registration) for the organization whose certificate has been cancelled.

**A5.24.** The OR-I will thereafter generate an envelope, place the 'Cancellation of Registration' letter in the envelope and prepare a Postal List and hand over the letter and the postal list to the Officer Responsible for Posting. Go To S7. (**Note:** The system will permit the organization 30 days from cancellation of Registration to register all vehicles – thereafter the fines specified in the ACT will apply).

**A5.25.** END

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring Project.

**Confidential Final Report**

## 7.2 B: REGISTRATION 1ST OWNER OF VEHICLE

### Objective

To ensure all vehicles imported or manufactured are constantly monitored and the 1st owner is registered within the specified time frame and any changes to the shape/structure is captured prior to issuing of the CR and Number Plates, and capturing any movement restrictions and Issue of Temporary Registration Certificates for vehicles to be re-exported.

### Process Boundary

From the point of monitoring the vehicles issued with VIC, to the point the vehicle is sold to the 1st owner and the 1st owner registers his details with the DMT, to assigning a Registration Number to the Vehicle, to preparing the CR (Certificate of Registration) and issue of number plates and sharing the information with the Provincial Motor Traffic Department for issuing the Revenue License and other relevant organizations.

### Stretch Goals / Critical Success Factors

É  To ensure **all** vehicles sold to the 1st owner is accurately registered within the time specified within the ACT.

É  To ensure the CR and Number Plates are handed over to the owner within – **02** working days (in CMB) xx day (for Outstations) and acknowledgement obtained.

É  To ensure **all** modifications to the vehicle are identified prior to registration.

**B1** • Monitoring of registered vehicles with no 1st Owner

**B2** • Update information on the Sale of Vehicle & Issue Certificate.

**B3** • Receive Application, Docs & Payment and Register 1st Owner.

**B4** • Transfer Registered owner details to Provincial Motor Traffic & Other Organizations.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## *Process B1: Monitoring of Vehicles in Database with NO 1$^{st}$ Owner*

### Monitoring of Vehicles (with VIC) and NO 1$^{st}$ Owner

**NOTE:** The objective of this process is to identify the vehicles issued with VIC but have not yet completed the Registration Process and 1$^{st}$ Owner details captured.

**B1.1.**  On periodic basis (e.g., every quarter) the System@DMT will activate the 'Un-registered Vehicle Feedback Form' (Format BF1.1). (**Note:** The feedback on unregistered vehicles from importers could be obtained on a staggered basis).

**B1.2.**  The System@DMT will send a message to the importer requesting him to forward the required information.

**B1.3.**  The importer will log onto the System@DMT, complete the information and upload the information onto the System @DMT. (**Note:** It should be possible for the Importer to download and complete the Un-registered Vehicle Feedback Form or upload information onto the form from a 'worksheet software').

**B1.4.**  On receipt of the information in the Un-registered Vehicle Feedback Form the System@DMT will Validate the information with the information available on the System@DMT based on the Un-Registered Vehicle Validation Rules (Annexure BA1.1).

**B1.5.**  Based on the validation the System@DMT will generate a 'Un-accounted Un-Registered Vehicle Report' (Format BF1.2), giving details of the vehicles not registered with no intimation of sale or vehicles without corresponding VIC.

**B1.6.**  **If No Discrepancy:** The system@DMT will inform the Importer the records are in order by e-Mail. Go To B1.10.

**B1.7.**  **If Discrepancy**: The System@DMT will initiate an investigation into the discrepancy – and require each discrepancy to be investigated and findings updated on the System@DMT. Go To Process E.

**B1.8.**  **If no further action to be taken:** The Investigating Officer will state the reasons and conclude the investigation. Go To B1.10.

**B1.9.**  **If Importer Registration is to be cancelled:** The Investigating Officer will recommend the suspension on the System@DMT. Go To Process A5 - 'Management of Importers and Manufacturers')

**B1.10.**  END

| Exceptions |
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*B1.2 The Importers not responding by the deadline will be sent reminders – periodically. Details of those not responding at cut-off point will be forwarded for investigations.*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## *Process B2: Update information on Sale of Vehicle and Issue Acknowledgement*

**NOTE:** The objective of this process is to capture details of un-registered vehicles sold to the 1<sup>st</sup> Owner.

**Exceptions**

**B2.1.** At the point of concluding a sale the Registered Importer/Agent or Manufacturer ('Seller') will log into the System@DMT using his user name and password.

**B2.2.** The Seller will thereafter enter the Vehicle Details[12] (Annexure BA2.1 for Vehicle Details required) onto the System@DMT. (**Note:** The System @DMT will only permit the 'Seller' to enter details of the vehicles registered with the seller).

**B2.3.** Thereafter the System@DMT will request for the Buyer Details (Refer annexure BA2.2 for Buyer Details required) to be entered into the System @DMT.

**B2.4.** Based on the information received the System@DMT will generate a 'Sale Intimation Acknowledgement'.

**B2.5.** The Seller is permitted to Print the 'Sale Intimation Acknowledgement' (Format BF2.1) – and obtain confirmation the document has been correctly printed.

**B2.6.** The Sale Intimation Acknowledgement is thereafter handed over to the buyer with any other sales documents.

**B2.7.** **If the vehicle is returned by the Buyer (after the Sale):** The Seller will once again log on to the system@DMT and enter the details of the returned vehicle. (**Note:** The buyer may only return a vehicle to the original seller – which will be validated through the system)

**B2.8.** The System@DMT is updated with the vehicle status and brought back to Seller stock.

**B2.9.** The System@DMT will initiate a investigation in connection with the return. Go To Process E

**B2.10.** END

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[12] It may be useful to capture the mileage figures

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## *Process B3: Receive Application & Payment and Register 1<sup>st</sup> Owner*

**NOTE:** The objective of this process is to validate details of the 1<sup>st</sup> Owner and Assign Vehicle Number and Issue 'Certificate of Registration' and 'Number Plates'.

### Request for Specific Numbers within Current Series

**NOTE:** The objective of this process is to manage the special number requests of Customers.

**Exceptions**

**B3.1.** A prospective vehicle owner may log onto the System@DMT and make a request by completing an on-line 'Application for a Specific Number' (Format BF3.1) to obtain a specific number within the current Series[13]. (**Note:** Numbers up to '30,000 numbers ahead' vehicles ahead within the series could be reserved by a prospective owner of a vehicle).

**B3.2.** The System@DMT will assign every prospective owner an unique username and password to enter the bidding area.

**B3.3.** The System@DMT will maintain the bidding for two weeks from the date of opening the bids or until the 'Specific Number' falls due for registration.

**B3.4.** At any given time any other prospective vehicle owner who has already registered may log onto the System@DMT and place a bid. (**Note:** All bidders and prospective owners must be shown the current Bid Value and the period left for bidding).

**B3.5.** When the bidding process ceases – the System@DMT will send an SMS or e-Mail message to the highest bidder requesting him to log onto the System@DMT and obtain the 'Payment Instruction' and effect payment within 24 hours.

**B3.6.** The 'highest bidder' will log on to the System@DMT and generate the Payment Instruction.

**B3.7.** Based on the Payment Instruction the 'highest bidder' will effect payment either through the Credit Card by accessing the System@DMT or through the DMT Bank and obtain receipt. (**Note:** Payment will be accepted only if the payment is made within the specified time)

**B3.8.** The payment details are entered into the System@DMT by the highest bidder or the receipt is handed over to the Officer Responsible for Customer Support (OR-CS) at DMT to update the system for those paying at the DMT Bank.

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[13] The Prospective Owner registered with the System@DMT will be the only person who could use the Number outside the FIFO principle and if the Number is NOT utilized at the time the series approaches the Number – the reserved number will be assigned on the FIFO Basis by the System@DMT.

**B3.9.** On receipt of the confirmation the System@DMT will reserve the Specific Number for the 'highest bidder'. The System@DMT will thereafter generate a 'Specific Number Allocation Certificate' (Format BF3.2).

**B3.10.** The System@DMT will seek all the other active bids placed by the 'highest bidder' and withdraw and the system@DMT displays the Name of the Highest Bidder and the Price of the Bid. The prospective bidders are also informed by e-mail or SMS of the same information.

**B3.11.** The 'highest bidder' could thereafter register the vehicle at any time prior the preceding available number being allocated on the FIFO basis.

**B3.12. If the Payment is NOT made & confirmed within Specified Period:** The System@DMT will e-mail and SMS the 'highest bidder' and inform his bid has been withdrawn and cancel his payment instruction. There after the $2^{nd}$ highest bidder is placed as the highest bidder. Go To B3.6.

**B3.13. If 'Specific Number' is NOT registered at the point the preceding number is Allocated:** The System@DMT cancel the reservation and allocate the 'Specific Number' to the next registration application. (**Note:** The DMT will NOT refund the monies collected for 'Specific Numbers' NOT utilized).

**B3.14.** The 'Prospective Owner' is informed of the cancellation.

**B3.15. END**

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**Receive Application and Registration of 1<sup>st</sup> Owner**

NOTE: This process is designed to facilitate the Registration of the 1<sup>st</sup> Owner.

**B3.16.** A 1<sup>st</sup> Owner will log onto the System@DMT and enter the Sale Intimation Acknowledgement reference details of the Vehicle.

**B3.17.** Based on the Sale Intimation Acknowledgement information the System@DMT will generate the Customized 1<sup>st</sup> Owner Registration Acknowledgement (Format BF3.3) indicating the Documentation Requirements. (Refer annexure BA3.1 for Documentation Requirements for Registration of 1<sup>st</sup> Owner). (**Note:** Where the 1<sup>st</sup> Owner is not capable of using the Internet - this could be done by the Seller, Nanasala, Internet Café, any DMT District Office or DS Office).

**B3.18.** When all documents required for processing the application are available update the system@DMT and obtain an appointment and generate 'Appointment Confirmation' and 'Payment Instruction'. (Go To Process S1).

**B3.19.** Based on the Payment Instruction the applicant will effect payment and obtain Receipt. (As specified in Process S2).

**B3.20.** The applicant will bring the required documents and handover to the Officer Responsible for Accepting Documents (OR-AD) as assigned in the 'Appointment Confirmation'.

**B3.21.** The OR-AD will accept the documents. (As specified in Process S3).

**B3.22.** **If all the documentation is OK:** The OR-AD will print the 1<sup>st</sup> Owner Application based on the information already captured into the system.

**B3.23.** The applicant will review the application and place his signature on the application as a confirmation of the accuracy of the information contained there-in.

**B3.24.** The documents and duly signed application are thereafter passed on for scanning (As specified in Process S4). (**Note:** Refer annexure BA3.2 for Instructions for scanning of 1<sup>st</sup> Owner Documents).

**B3.25.** The scanned documents are thereafter reviewed by the Officer Responsible for Certifying Documents (OR-CD).

**B3.26.** Include Printing of the Application and obtaining the signature of the 1<sup>st</sup> Owner

**B3.27.** **If the Scanning is OK:** The OR-CD will place his Digital Signature confirming the scanned documents.

**B3.28.** The OR-CD will thereafter Recommended the Application for approval or if rejected the reasons for rejection is entered into the System@DMT.

**B3.29.** The application is passed onto the Officer Responsible for Approving

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring Project.

**Confidential Final Report**

Registration Application (OR-ARA).

**B3.30.** The OR-ARA will review the scanned documents as well as the application and approve or reject same and update the System@DMT with the reasons for the rejection.

**B3.31.** **If application is Rejected:** The application is passed onto the OR-CD, who will update the system@DMT as to how the application could corrected and re-submitted.

**B3.32.** The System@DMT will generate a '1ˢᵗ Owner Registration Rejection Notice' (Format BF3.4) with reasons for rejection and how to correct the deficiencies.

**B3.33.** **If the application is Approved:** The System@DMT will assign the next available Registration Number or the Reserved Registration Number.

**B3.34.** The OR-ARA will print the Certificate of Registration as well as the Number Plate Acknowledgement[14]. (**Note:** The System@DMT should be able to capture the Document Reference Details).

**B3.35.** The OR-ARA will sign the Certificate of Registration (CR) (Format BF3.5) and update the system@DMT confirming the signing of the CR.

**B3.36.** The documents, CR and Number Plate Acknowledgement are passed to the OR-CD.

**B3.37.** The documents, CR and Number Plate Acknowledgement will be handed over to the OR-RD.

**B3.38.** The OR-CD@DMT will update the system@DMT confirming the documents to be retained (with reasons for same) and returned.

**B3.39.** The OR-CD@DMT will open an Vehicle Registration File and insert the documents to be retained and sent to the Record Room with File Listing. Go To Process F.

**B3.40.** The documents to be returned to the 1st Owner are passed on to the OR-RD@DMT together with the Vehicle Usage Instructions (Annexure BA3.3) stating Standard Rules and Regulations applicable to a Vehicle Owner. Go To Process S7.

**B3.41.** On confirmation of the returning of the documents to the 1st Owner the System @DMT will thereafter transfer the number plate details to the Number Pate Manufacturer (including the details of the Special Number Plates).

**B3.42.** The Number Plates are manufactured and handed over to the 1st Owner. Go To Process S8.

**B3.43.** End.

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[14] If the 1ˢᵗ Registration is for a vehicle sold by the Auction – the CR will indicate the Auction Authority as the 1ˢᵗ Owner and the Purchaser as the New Owner.

**Exceptions**

*B3.30 If scannina is*

**Exceptions**

*B3.50 If the validation test is NOT OK the System @DMT will generate a Validation Error Report informing the applicant of the inconsistencies in the application.*

**Note: Refer Annexure BA3.4** for types of transactions that could take place during the 1$^{st}$ registration – also the documents required for each combination of transactions.

### Registration of Owner for Temporary Deregistered Vehicles

> NOTE: This process is designed to facilitate the Registration of vehicles exported and thereafter re-imported to the country.

**B3.44.** Based on the VID the owner of the vehicle will be required to submit a 'Request for Removal of De-Registration Status' (Format BF3.6) and make an appointment and obtain an 'Acknowledgement of Re-registration' (Format BF3.7), 'Appointment Confirmation' and 'Payment Instruction'.

**B3.45.** The applicant will make payment based on Payment Instruction and obtain a receipt.

**B3.46.** Based on the Appointment Confirmation the applicant will visit the DMT and handover the documents to the OR-AD. Go To B3.35.

**B3.47.** End

### Registration of Vehicles to be Sold by Auction

> NOTE: This process is designed to facilitate the Registration of vehicles not previously registered and sold by auction.

**B3.48.** The purchaser of the vehicle from the auction will complete the '1$^{st}$ Registration of Auction Vehicle' (Format BF3.8).

**B3.49.** Based on the information already in the System@DMT the information on the '1$^{st}$ Registration of Auction Vehicle' request is validated. (Refer annexure BA3.5 for the validation rules).

**B3.50.** **If validation is OK:** The System@DMT will permit the applicant to make an appointment and obtain an 'Acknowledgement of 1$^{st}$ Registration by Auction' (Format BF3.9), 'Appointment Confirmation' and 'Payment Instruction'.

**B3.51.** The applicant will make payment based on Payment Instruction and obtain a receipt.

**B3.52.** Based on the Appointment Confirmation the applicant will visit the DMT and handover the documents to the OR-AD. Go To B3.35.

**B3.53.** End.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## *Process B4:  Transfer Registered Owner Details to Provincial Motor Traffic Department and Other Relevant Organizations*

**NOTE:** The Objective f this process is to provide the required information for the Provincial Motor Traffic Department as well as other Government and other Government or Private Institutions.

### Identifying the Information Requirements of Other Organizations

**NOTE:** This process will support in identifying the current and future requirements of organizations seeking information from the DMT.

**B4.1.** Any 3$^{rd}$ party organization may log onto the System@DMT and update an 'Information Requirement Request' (Format BF4.1) for obtaining information from the DMT to conduct their day to day operations. (**Note:** Any officer of the DMT interacting with 3$^{rd}$ Party Organizations could also log-in the request).

**B4.2.** Based on the information received form the 3$^{rd}$ party organization the Officer Responsible for Sharing Information (OR-SI) with third party organizations – will initiate a discussions with the relevant organization and identify the needs of the organization and the information elements required from the DMT to satisfy those requirements. (**Note:** The OR-SI should also identify if the information required should be only for the purpose of viewing the information – or if the information elements should be provided as a web service for the organization to undertake and carry out their own responsibilities').

**B4.3.** The OR-SI based on the discussions will complete the 'Third Party Information Requirement Form' (Annexure BF4.2)[15] on the system@DMT.

**B4.4.** The OR-SI will thereafter prepare an 'Agreement for Information Sharing' (Sample – Annexure BA4.1) on the System@DMT clearly outlining the responsibilities and obligations of the 3$^{rd}$ party organization in relation to the information requested.

**B4.5.** The OR-SI will thereafter forward the completed 'Third Party Information Requirement Form' through the system@DMT to the Officer Responsible for Creating the Information (OR-CI) to confirm the information elements requested are available and could be shared.

| Exceptions |
| --- |

*B4.2 If the information cannot be provide the OR-SI will inform the 3rd Party Organization and the reasons for same are updated on the system @DMT. All rejected applications will be reviewed by the OR-ASI.*

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[15]  The OR-SI should clearly identify the need for the information and the risks associated with the sharing of the information.

**B4.6.** The OR-CI will update the Third Party Information Requirement Form on the system@DMT confirming the availability of the information elements and how the information will be notified in the case of creation, modification and deletion together with the structure of the specific data elements requested.

**B4.7.** The OR-CI will forward the updated Third Party Information Requirement Form through the system@DMT to the OR-SI.

**B4.8.** The OR-SI will review the updated Third Party Information Requirement Form and the Agreement for Information Sharing on the system@DMT and confirm the acceptance.

**B4.9.** The OR-SI will thereafter forward the completed 'Third Party Information Requirement Form' and the draft of the 'Agreement for Information Sharing' through the system@DMT to the Officer Responsible for Approving Sharing of Information (OR-ASI).

**B4.10.** The OR-ASI will review the documents and approve/reject same and pass on the documents to the OR-SI.

**B4.11.** The OR-SI will generate a Response to Information Request (Format BF4.3) letter confirming to the 3rd Party Organization of the DMT decision to either accept or reject the request. (**Note:** Approved Requests – accompanied with the 'Agreement for Information Sharing' while rejected applications will have the reasons for rejection).

**B4.12.** The letter is posted to the 3rd Party Organization.

### Signing of the Agreement for Information Sharing

**NOTE:** This process will support the signing of the Agreement for Information Sharing.

**B4.13.** After Postage the OR-SI will follow-up with the counterpart officer at the 3rd Party Organization and confirm the receipt of the agreement.

**B4.14.** Obtain the concurrence of the 3rd party organization for the agreement.

**B4.15.** The Official 'Agreement for Information Sharing' is signed between the 3rd Party Organization and the DMT.

**B4.16.** The signed document is scanned into the system by the OR-SD. (Follow Support Process S4).

**B4.17.** The OR-ASI will review the scanned documents and accept same by placing his 'Digital Signature' on the scanned document.

**B4.18.** The OR-ASI will thereafter authorize the OR-CI to create the information to be shared with the 3rd Party Organization.

*B4.8 The OR-SI may discuss with the OR-CI and make modifications which could be updated on the system@DMT.*

*B4.10 The OR-ASI may discuss with the OR-CI and OR-SI and request for modification – prior to approval or Reject the request with reasons updated on the System@DMT*

*B4.13 If the document has not been received a further copy is sent via e-mail or by post.*

*B4.14 If the concurrence is not obtained the corrections are discussed and modifications made to the Agreement for Information Sharing on the System@DMT with the approval of the OR-ASI.*

*B4.17 Any issues in scanning will be communicated with the OR-SD and corrected prior to placing the Digital Signature.*

## Creating of the Transfer Information

**NOTE:** This process will support the creating of information to be shared with 3rd Party Organizations.

**B4.19.** Based on the signed Agreement for Sharing of Information the OR-CI will discuss with his counterpart at the 3rd Party Organization and create the information as may be required. (**Note:** The information could be provided as a Wed Service or display the information on a Web Browser).

*B4.21 The 3rd party Organization is permitted to log any issues to the system@DMT.*

**B4.20.** The information so created is tested with the 3rd Party Organization.

**B4.21.** The 3rd Party Organization will test and log the results of the Test on the 'Information Sharing Test Report' (Format BF4.4) on the system@DMT.

**B4.22.** **If the Agreement for Information Sharing needs to be modified**: The OR-CI will communicate with the OR-SI and make the necessary amendments and the system@DMT is updated and the amendment signed by both parties and amendment scanned and approval granted to implement the modification. (**Note:** The approval for information sharing is suspended until the amendments are signed and approval for modification is granted).

**B4.23.** Once the 3rd Part Organization is satisfied with the test results the 3rd Party Organization will complete the form confirming the Information Sharing has been tested and complies with the requirements of the 3rd party organization.

**B4.24.** On receipt of the confirmation from the 3rd Party Organization, the OR-ASI will obtain a report identifying the information set-up for sharing with the specific organization. (**Note:** It should be possible to obtain a report of the information elements being shared with each 3rd party organization through a web service or a web browser).

*B4.25 Any issues are identified by the OR-ASI and informed to the OR-CI – Go To B4.19.*

**B4.25.** This information is checked against the Agreement for Information Sharing.

**B4.26.** The OR-ASI will thereafter approve the Sharing of the Information on an ongoing basis.

**B4.27.** End

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## C: REGISTRATION OF CHANGES TO OWNERSHIP AND CHANGES IN ATTRIBUTES

### Objective

To ensure all transfers of ownership are registered within the time frame specified by the ACT and to register changes to any other attribute related to the Vehicle or Owner and/or issue of duplicate CR/Number Plates and/or the de-registration & Re-export of Vehicles.

### Process Boundary

From the point receiving intimation by the owner of his intent to transfer ownership to the point of ensuring the new owner is registered and new CR/Number Plates are issued, to monitoring any changes to attributes and registering same, to the issue of duplicate Number Plates/CR to registered owner to De-registration and Re-export & Re-Import.

### Stretch Goals / Critical Success Factors

- É To ensure all transfers are registered within the time frame specified by the ACT.
- É To ensure all changes to any attribute of the vehicle or owner is captured within maximum of one year.
- É To ensure duplicate documents are only issued to the registered owner.

**C1** • Capture details of intent to transfer and register transfer.

**C2** • Capture any changes to vehicle/owner attributes and register same

**C3** • Issue of duplicate CR/Number Plates

**C4** • Sharing information with Provincial Motor Traffic Departments and Other 3rd Parties.

**C5** • Effecting payments to PCs and Other Government Organizations.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## *Process C1: Capture of Transfer Details and Change of Ownership*

**NOTE:** The objective of this process is to ensure the intention of sale is captured into the System @DMT and the prospective buyer is given an Acknowledgement through the Registered Owner with the details captured into the System@DMT.

There could be one or more transactions taking place at the same time –. (Refer Annexure CA1.1 for a Multiple Transaction Validation Rules)

### Register of Voluntary Transfers

**NOTE:** The objective of this component of the process is to capture the information relating to the Voluntary Transfer of a Vehicle.

C1.1. When the Registered Owner of a vehicle has decided to effect the sale of the vehicle to a prospective buyer: the Registered Owner is required to log into the System@DMT[16] and complete the 'Intimation of Sale – Form' (Format CF1.1 - Internet). (**Note:** The System@DMT should validate the Registered Owner and the vehicle is not 'Black Listed' nor having an 'Objection').

C1.2. **If Information Received through the Internet:** Based on the information received from the Registered Owner the System@DMT will register the Intimation of Sale and generate an 'Acknowledgement of Intimation of Sale' – (Format CF1.2).

C1.3. The Registered Owner will obtain a Printout of the Acknowledgement of Intimation of Sale and vehicle placed on 'Pending Registration of Transfer' status. Go To C1.9.

C1.4. **If Information Received through the Telephone:** The Officer Responsible for Incoming Telephone Calls (OR-ITC) will validate the details of the caller and ensure the Registered Owner is calling.

C1.5. Thereafter the OR-ITC will update the system@DMT with the details of the Prospective Buyer and complete the 'Intimation of Sale – Form'.

C1.6. The contact details of the Registered Owner are validated and changes captured and the vehicle placed on 'Pending Registration of Transfer' status, and inform the Registered Owner of the Reference Number assigned by the System@DMT.

C1.7. The System@DMT will generate an Acknowledgement of Intimation of Sale and addressed to both the New Address as well as the previous address available in the System@DMT by the Officer Responsible for Capturing Intention of Sale (OR-CIS).

| Exceptions |
| --- |

*C1.1(a) If the person logging into the system cannot identify himself – to the System@DMT, the vehicle is placed on 'Objection' status and a letter is sent by the Officer Responsible for Follow-up on Objections to the Registered Owner to visit the DMT.*

*OR*

*C1.1(b) If the vehicle is 'Black Listed' or having an objection the Registered Owner is informed to make an appointment (Go To Process S1) and visit the DMT by the System@DMT.*

*C1.4(a) If the OR-ITC decides the caller is NOT the Registered owner – the vehicle is placed on 'Objection' status and the owner is requested to contact the DMT in addition a letter is sent by the Officer Responsible for Follow-up on Objections to the Registered Owner to visit the DMT.*

*OR*

*C1.4(b) If the vehicle is 'Black Listed' or having an objection the Registered Owner is informed to visit the DMT to clear same after making an appointment through the System@DMT.*

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[16] The Registered Owner could log onto the System@DMT through the Internet or from any DMT Office or District Secretariat Office or any other Nanasala or Internet Café in the country or through a Telephone Call to the DMT Call Centre.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**Exceptions**

**C1.8.** The OR-CIS will pass on the letters for posting under registered cover. Process S7: 'Postage of Documents'

**C1.9.** The Registered Owner will sign and handover the Duly Signed Acknowledgement of Intimation of Sale to the Prospective Buyer – which will be the document supporting the transfer of the vehicle.

**Exceptions**

**C1.10.** The Prospective Owner will log into system@DMT using the Reference Number on the Acknowledgement of Intimation of Sale and generate a 'Voluntary Transfer Application' (Format CF1.3) with the customized details of the Prospective Owner. (**Note:** All document requirements are clearly stated on the Application).

**C1.11.** Go To C1.40.

### Intimation of Transfers @ Death of Registered Owner

> **NOTE:** The objective of this component of the process is to capture the information relating to the Transfer of a Vehicle in the event of the Death of a Registered Owner. (Transfers at death will only be permitted to the lawful heirs or a person defined by the courts).

**C1.12.** The Prospective Transferee will log onto the System@DMT and register the death of the Registered Owner and submit the details of the Prospective Transferee.

**C1.13.** The System@DMT will place the vehicle on 'Pending Transfer at Death' status.

**C1.14.** The system@DMT will generate a 'Transfer @ Death Acknowledgement' (Format CF1.4) with the customized details of the Prospective Transferee. (**Note:** Transfer @ Death Acknowledgement will indicate the information required for generating the Customized Applications and the document requirements).

**C1.15.** Go To C1.40.

### Intimation of Transfers through Court Order

> **NOTE:** The objective of this component of the process is to capture the information relating to the Transfer of a Vehicle Subject to a Court Order.

**C1.16.** The Prospective Transferee is required to visit a DMT Office and submit a copy of the Court Order together with a 'Request for Application for Transfer based on Court Order' (Format CF1.5).

**C1.17.** The Officer Responsible for Court Order Applications (OR- COA) will review the Court Order, scan the complete court order into the system@DMT and enter the details on the Request for Application for Transfer based on Court Order into the system@DMT. (**Note:** The OR-COA will validate the information in the Request for Application for Transfer

**Exceptions**

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

based on Court Order and the information in the Court Order prior to entering the details into the system@DMT).

**C1.18.** Based on the information entered by the System@DMT a customized 'Transfer Acknowledgement by Court Order' (Format CF1.6) is generated and handed over to the Prospective Transferee which will indicate the information and documents required to finalize the transfer and the vehicle is placed on 'Pending Transfer by Court Order' Status.

**C1.19.** Go To C1.40.

### Intimation of Transfers under Section 12(4)

**NOTE:** The objective of this component of the process is to capture the information relating to the Transfer of a Vehicle Subject Section 12(4).

**All vehicles where the Registered Owners have not intimated the sale to the DMT will be transferred as a Section 12(4) transfer.**

**C1.20.** The Leasing Company will give Notice of the 'Notice of Seized Vehicles' (Format CF1.6(a)) by logging into the System using the User Name and Password assigned to the Leasing Company (**Note:** The Leasing Company may register the intention to transfer under section 12(4) as soon as the vehicle is seized from the Registered Owner)[17].

**C1.21.** The System@DMT will generate an 'Acknowledgement of Notice of Seized Vehicle' (Format CF1.7) and permit the Leasing Company to print same for their records, which will indicate the information and documents required to finalize the transfer and the vehicle is placed on 'Pending Transfer under Section 12(4)' status. (**Note:** The earliest date to lodge the transfer papers is also indicated in the 'Acknowledgement of Notice of Seized Vehicle').

**C1.22.** Based on the intimation of the Leasing Company the Officer Responsible for Section 12(4) Transfers (OR-12(4)) will generate a 'Notice to Owner of Intention to Transfer Notice under Section 12(4)' (Format C1.8) through the System@DMT. (**Note:** At this stage we need to mention the company has intimated the seizing of the vehicle and will transferred under section 12(4) ).

**C1.23.** The OR-12(4) will sign the Notice to Owner of Intention to Transfer Notice under Section 12(4) and hand over to the Postal Unit (with Postal Listing) to Post under Registered Cover. Go To Process S7.

**C1.24.** Any response received (by Post or by Hand) from the Registered Owner is received by the Postal Unit (Follow Support Process 'Accepting Documents') and passed onto the OR-12(4).

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[17] The Leasing Company may also withdraw such application at any time prior to Submitting the Application for Transfer.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**C1.25.** The OR-12(4) will review the Manual Document against the Scanned document and place his 'Digital Signature' as confirmation of the accuracy and completeness of the document scanned into the system@DMT.

**C1.26.** The OR-12(4) will enter his observations and determine if there is a valid objection to 'stop' the transfer or not.

**C1.27.** Based on the decision of the OR-12(4) – the system@DMT is updated.

**C1.28.** **If the Decision of the OR-12(4) is to Permit the Transfer:** Go To C1.35.

**C1.29.** **If the Decision of the OR-12(4) is to Stop Transfer:** The System@DMT will generate a e-Mail as well as a 'Letter of Suspending Transfer Under 12(4)' (Format CF1.9).

**C1.30.** The OR-12(4) will sign the letter and handover the letter for Posting. (Go To Process S7: 'Handing Over & Posting of Letters').

**C1.31.** The System@DMT will thereafter register an investigation into the matter and the OR-I is informed to initiate the investigation. (Go To Process E).

**C1.32.** The Outcome of the Investigation (to Permit or Not to Permit the transfer under section 12(4) is captured into the system).

**C1.33.** **If the Decision of the Investigation is to Permit the Transfer:** Go To C1.35.

**C1.34.** **If the Decision of the Investigation is NOT to Permit the Transfer:** The Section 12(4) request is thereafter placed in cancelled status within the system@DMT. Go To C1.66 (End).

**C1.35.** On completing the date indicated in the ' Acknowledgement of Notice of Seized Vehicle' or any date thereafter and there is no investigation pending the Leasing Company is permitted to register an 'Intention of Transfer under Section 12(4)' (Format CF1.10).

**C1.36.** Based on the details of the Intention of Transfer under Section 12(4) – the system@DMT will generate a customized 'Acknowledgement to Transfer under Section 12(4)' (Format CF1.11), which will indicate the information and documents required to finalize the transfer and the vehicle is placed on 'Pending Transfer under Section 12(4)' Status.

**C1.37.** Go To C1.40.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

### Inclusion or Deletion of Absolute Owner

**NOTE:** The objective of this process is to either include or delete an absolute owner from the Certificate of Registration.

**C1.38.** The Leasing Company requesting to include or delete an absolute owner from the Certificate of Registration will log into the System@DMT and update the 'Request for Inclusion/Deletion of Absolute Owner' (Format CF1.12).

**C1.39.** Based the information supplied by the supplied by the leasing company the System@DMT will generate an 'Absolute Owner Inclusion Acknowledgement' (Format CF1.13) or 'Absolute Owner Deletion Intimation Acknowledgement' (Format CF1.14), which will indicate the information and documents required to finalize the transaction and the vehicle is placed on 'Pending Inclusion/Deletion of Absolute Owner' Status. (**Note:** The System@DMT will validate the information supplied prior to generating the Application or Acknowledgement – Refer Annexure CA1.2 for Rules of Validation for inclusion/deletion of Absolute Owner).

### Confirmation of Adequecy of the Documents Stated in Application

**NOTE:** The objective of this component of the process is to validate the document requirements that need to be submitted to process the application.

**C1.40.** The Officer Responsible for Document Requirements (OR-DR) will review the documents indicated in the Acknowledgement and ensure they are adequate.

**C1.41.** **If the Documents are Adequate:** The OR-DR will confirm on the System@DMT the adequacy of the documents. (**Note:** A certificate from the Examiner of Motor Vehicle is required, in the event the Chassis Number stamping plate needs to be surrendered). Go To C1.44.

**C1.42.** **If Additional Documents are Required:** The OR-DR will update the System @DMT with the additional document requirements.

**C1.43.** The System@DMT will update the additional requirements against the specific acknowledgenet and also generate an e-Mail and SMS to the 'Prospective Transferee of Vehicle' (PVT) informing him of the additional documentation is requirements.

**C1.44.** The PVT will gather all documents indicated and make appointment and obtain a 'Appointment Confirmation' and 'Payment Instruction'. (Go To Process S1: Confirmation of Documents and Making Appointment with DMT).

### Making Payment and Submitting Document to Register a Transfer

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**Exceptions**

**Exceptions**

*C1.49 If the scanned documents are NOT OK – the OR-CD will return the document for re-scanning to the OR-SD after indicating the specific document and pages to be (re)-scanned.*

**Exceptions**

NOTE: The objective of this component of the process is to collect Cash and Register the Transfer of a Vehicle.

**C1.45.** Based on the Payment Instruction the PVT is requested to effect payment. (Go To Support Process S2 'Collecting Payments').

**C1.46.** The PVT will thereafter on the Date/Time of the appointment meet the OR-AD and hand over the relevant documents. (Go To Support Process S3 'Accepting Documents').

**C1.47.** The documents so accepted and the relevant customized application generated and the signature of the Transferee obtained. Thereafter the documents are handed over for scanning. (Go To Support Process S4 'Scanning of Documents').

**C1.48.** The scanned documents are thereafter reviewed by the Officer Responsible for Certifying Documents (OR-CD).

**C1.49.** **If the Scanning is OK:** The OR-CD will place his Digital Signature confirming the completeness and accuracy of the scanned documents.

**C1.50.** The OR-CD will thereafter Recommended the Transfer Application for approval or if rejected the reasons for rejection is entered into the System@DMT.

**C1.51.** The application is passed onto the Officer Responsible for Approving Transfer Application (OR-ATA).

**C1.52.** The OR-ATA will review the scanned documents and place his digital signature as confirmation of the completeness and accuracy of the scanning, and approve or reject the application and update the System@DMT with the reasons for the rejection.

**C1.53.** **If transfer application is Rejected:** The OR-ATA will update the reasons for the rejection and the application is passed onto the OR-CD.

**C1.54.** The OR-CD will update the system@DMT as to how the application could corrected and re-submitted.

**C1.55.** The System@DMT will generate a 'Transfer Rejection Notice' (Format CF1.15) with reasons for rejection and how to correct the deficiencies and signed by the OR-CD. Go To C1.63.

**C1.56.** **If the transfer application is Approved:** The System@DMT will be updated with the PVT as being the new Registered Owner.

**C1.57.** **If New Number Plates are NOT Required:** Go To C1.59.

**C1.58.** **If New Number Plates are Required:** The System@DMT will thereafter transfer the number plate details to the Number Pate Manufacturer (including the details of the Special Number Plates).

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**Exceptions**

**C1.59.** The OR-ATA will print the Certificate of Registration as well as the Number Plate Acknowledgement (only where New Number Plates are required). (**Note:** The system@DMT should be able to capture the Document Reference Number into the system@DMT when printing the CR).

**C1.60.** The OR-ATA will sign the Certificate of Registration (CR) and update the system@DMT confirming the signing of the CR.

**C1.61.** The documents, CR and Number Plate Acknowledgement (only where New Number Plates are required) are passed to the OR-CD.

**C1.62.** The OR-CD@DMT will update the system@DMT confirming the documents to be retained (with reasons for same) and returned.

**C1.63.** The OR-CD@DMT will open a Temporary Vehicle Transfer File and insert the documents to be retained and sent to the Record Room with File Listing. Go To Process F.

**C1.64.** The documents to be returned to the New Owner are passed on to the OR-RD@DMT together with the Vehicle Usage Instructions stating Standard Rules and Regulations applicable to a Vehicle Owner. Go To Process S7.

**C1.65.** The Number Plates are manufactured and issued to New Owner. (Go To Support Process S8: Manufacture and Issue of Number Plates).

**C1.66.** End.


### De-Registration of Vehicles Condemned by Insurance Companies


   **NOTE:** The objective of this component of the process is to ensure all vehicles condemned by Insurance Companies are De-Registered. Any vehicle condemned by the Insurance Company and de-registered by the DMT will not be permitted to be Re-registered.


**C1.67.** Prior to the settlement of Insurance Claim for Total Loss, the Insurance Company is requested to log onto the System@DMT and update the 'Condemned Vehicle Details Form' (Format CF1.16).

**C1.68.** Based on the information entered the System@DMT will generate a 'Condemned Vehicle Acknowledgement' (Format CF1.16(a)) – which is printed by the Insurance Company.

**C1.69.** The vehicle is placed on 'Condemned Vehicle' status.

**C1.70.** The Insurance Company – together with the discharge certificates will request the ROV to sign the 'Condemned Vehicle Acknowledgement'. (**Note:** The Insurance Company will be required to submit the duly signed 'Condemned Vehicle Acknowledgement' when requesting for the ownership to be transferred to the Insurance Company).

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**C1.71.** The Insurance Company must within 14 days handover the 'Condemned Vehicle Acknowledgement' and Chassis Number Stamping Potion of the Vehicle and Factory Tag' of the condemned vehicle to the Officer Responsible for Updating Condemned Vehicles (OR-UCV).

**C1.72.** On receipt above information from the Insurance Company the (OR-UCV) will scan the duly signed acknowledgement and update the system confirming the Chassis Number Stamping Potion and the Factory Tag of the Vehicle has been received.

**C1.73.** Based on the update done by the OR-UCV the system@DMT will place the vehicle in 'de-registered' status.

**C1.74.** END

### Temporary De-registration of a Vehicle

> **NOTE:** The objective of this component of the process is to facilitate the temporary  de-registration of a vehicle. (This may be used when a vehicle is exported and re-imported or when a vehicle will not be used for a long period of time.

**C1.75.** The Registered Owner of the Vehicle (ROV) will submit a 'Request for Temporary De-Registration' (Format CF1.17) giving the reasons for such request.

**C1.76.** Based on the 'Request for Temporary De-Registration' the system@DMT will generate a 'Temporary De-Registration Acknowledgement' (Format CF1.18) – with details of all documents required for finalizing the temporary de-registration.

**C1.77.** Go To C1.40. (**Note:** Following the approval of the Temparory De-Registration the system@DMT will issue a 'Temporary De-registration Certificate' (Format CF1.19) indicating the details for the temporary de-registration and also giving the permission to export/re-import the vehicle.

**C1.78.** The details on the temporary de-registration are shared with the Provincial Motor Traffic Department and the issue of Annual Revenue License for the vehicle is suspended.

**C1.79.** END

### Export of Vehicles by Owner and Voluntary De-registration

> **NOTE:** The objective of this component of the process is to facilitate the voluntary de-registration and the export of vehicles on a permanent basis.

Government Process Re- Engineering (GPR)      **Confidential Final Report**
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Exceptions**

**Exceptions**

**C1.80.** The owner of the vehicle may log onto the System@DMT and update the 'Request for Voluntary De-Registration/Export of Vehicle' (Format CF1.20)

**C1.81.** Based on the request the system@DMT will generate 'Voluntary De-Registration/Export of Vehicle Acknowledgement' (Format CF1.21), giving details of the documents required (including the portion of the chassis number  stamped) to process the application.

**C1.82.** The vehicle is placed on 'Vehicle requested for De-registration/Export' status.

**C1.83.** Go To C1.40. (**Note:** If export is approved the status of the vehicle will be marked as 'De-registered' or 'Vehicle Approved for Export' and a 'Certificate to Export Vehicle' (Format CF1.22) is issued to the applicant and the CR & VID is retained and issue of future Revenue License will be stopped).

**C1.84.** Once the vehicle is exported the owner is required to submit the papers to the DMT (Refer Annexure CA1.3 for the Documents required to finalize the transaction for the export of a vehicle) – which will be accepted and scanned into the System@DMT and thereafter the vehicle is placed in 'De-Registered Status'.

**C1.85.** The details on the de-registration are shared with the Provincial Motor Traffic Department and the ability to obtain an Annual Revenue License for the vehicle is stopped.

**C1.86.** END.


### Change of Registration Number of the Vehicle

> **NOTE:** The objective of this component of the process is to facilitate the issue of a New Registration Number to a vehicle which has already been registered. (e.g., sale of diplomatic vehicles to the public).

**C1.87.** If there is a change required to the Registration Number (Refer annexure CA1.4 for list of transactions that require a change in registration numbers) – the OR-AD will indicate the need for such change of number on the System@DMT. (**Note:** A change in the Registration Number will be required only when numbers are assigned based on a vehicle category or ownership category and the category changes).

**C1.88.** If a special number has been reserved: the reserved number is entered into the system@DMT by the OR-AD.

**C1.89.** When the change in ownership or a change in attribute is approved – the system@DMT will deactivate the current registration number and assign a new registration number applicable for the specific category of the vehicle. (**Note:** The System@DMT will be required to maintain the historical data pertaining to the vehicle and also ensure the chassis nos.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

in the System@DMT is not duplicated – A vehicle may have multiple occasions where the Registration Number is changed).

**C1.90.** END.


### Registering an Objection on Vehicles

**NOTE:** The objective of this component of the process is to facilitate the registering an Objection on a vehicle.

**C1.91.** The owner of a vehicle or any person who has a claim on the vehicle may lodge an objection in respect of transfer of ownership of a vehicle by completing an 'Initial Objection Request' (Format CF1.23). (**Note:** The objection request may be entered on-line or handed over to any DMT District Office)

**C1.92.** On receipt of the 'Objection Request' the system will place the specific vehicle in 'Objection' status and generate an 'Acknowledgement of Objection' (Format CF1.24). (**Note:** The acknowledgement must clearly state that the objection will only be valid for 2 weeks unless a court order is obtained confirming same).

**C1.93.** **If No Court Order submitted within 21 days of lodging objection:** The system@DMT will automatically remove the 'Objection' status placed on the vehicle.

**C1.94.** **If a Court Order is received within 21 days:** The person placing the objection will complete a 'Confirmation of Objection Application' (Format CF1.25), attach the court order and handover to the Officer Responsible for Objections Confirmation (OR-OC).

**C1.95.** The OR-OC will scan enter the details on the application and scan the court order into the system@DMT.

**C1.96.** He will thereafter place his digital signature on the scanned documents as confirmation of the completeness and accuracy of the scanned documents.

**C1.97.** The OR-OC will thereafter state his recommendation with regards to the confirmation of the objection, which is thereafter passed on to the Officer Responsible for Approving Objection Confirmation (OR-AOC).

**C1.98.** The OR-AOC will review the scanned documents and place his digital signature as confirmation of the completeness and accuracy of the scanned documents.

**C1.99.** Thereafter based on the recommendations the OR-AOC will approve or reject the request for confirming the objection.

**C1.100.** **If the Objection Confirmation is approved:** The system will generate two copies of the 'Objection Confirmation Notice' stating the confirmation and procedure to remove the objection which is signed by the OR-AOC (addressed to the applicant and the owner of the vehicle). The OR-AOC

| **Exceptions** |
| --- |

*C1.103 If request for placing vehicle on Black List status is rejected a e-mail is generated to the Officer initiating the request.*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

will also update the system@DMT confirming the signing of the 'Objection Confirmation Notice'.

**C1.101.** The 'Objection Confirmation Notice' and court order will be handed over to the OR-RD to be returned to the applicant while the owner copy will be posted to the owner of the vehicle. (Refer Process S6: Returning of Documents).

**Exceptions**

**C1.102. If the Objection Confirmation is NOT approved:** The system will generate a 'Objection Confirmation Rejection Notice' stating the confirmation request has been rejected and the system will remove the objection status placed on the vehicle. The 'Objection Confirmation Rejection Notice' is signed by the OR-AOC. The OR-AOC will also update the system@DMT confirming the signing of the 'Objection Confirmation Rejection Notice'

**C1.103.** The 'Objection Confirmation Notice' and court order will be handed over to the OR-RD to be returned to the applicant. (Refer Process S6: Returning of Documents).

### Registering/Removing Black Listing of Vehicles

**NOTE:** The objective of this component of the process is to facilitate the registering the Black Listing of a vehicle (other than those automatically Black Listed by the system@DMT).

**C1.104.** Any Officer within the DMT may complete a 'Request for Black Listing Vehicle' (Format CF1.26) which will include the reasons for the request.

**C1.105.** The Officer Responsible for Approving Black Listing (OR-ABL) of Vehicles will review a request and either approve or reject placing the vehicle on black list status.

**C1.106. If the Black Listing is approved:** The vehicle is placed on 'Black List' status and an investigation is initiated.

**C1.107.** The System@DMT will generate a 'Black Listing Notice' (Format CF1.27) to the owner informing of the change in status to the vehicle and the reference details of the investigation initiated. Go To Process E.

**C1.108.** Following the investigation the OR-I will request the removal of the Black List status on the vehicle.

**C1.109.** The OR-ABL will review the request and approve same on the System@DMT.

**C1.110.** Based on the approval the Black List status of the vehicle will be removed and the a 'Removal of Black List Status Notice' (Format CF1.27(a)) will be generated through the system@DMT and signed by the OR-ABL.

**C1.111.** The signed letter is handed over for posting. (Refer Process S6)

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

### Removing an Objection of Vehicles

> **NOTE:** The objective of this component of the process is to facilitate the removing of an Objection. The removal of a Black Listing status is only through an investigation (Process E).

**C1.112.** The owner of a vehicle may make a request to remove an 'Objection' by obtaining a counter court order and submitting same to the DMT with a 'Request for Removal of Objection' (Format CF1.28).

**C1.113.** 'Request for Removal of Objection' is handover to the Officer Responsible for Objections Removal (OR-OR).

**C1.114.** The OR-OR will scan enter the details on the application and scan the documents into the system@DMT.

**C1.115.** He will thereafter place his digital signature on the scanned documents as confirmation of the completeness and accuracy of the scanned documents.

**C1.116.** The OR-OR will thereafter state his recommendation with regards to the confirmation of the objection, which is thereafter passed on to the Officer Responsible for Approving Objection Confirmation (OR-AOR).

**C1.117.** The OR-AOR will review the scanned documents and place his digital signature as confirmation of the completeness and accuracy of the scanned documents.

**C1.118.** Thereafter based on the recommendations the OR-AOR will approve or reject the request for removing the objection.

**C1.119.** **If the Objection Removal is approved:** The system will generate two copies of the 'Objection Removal Notice' which is signed by the OR-AOR (addressed to the person requesting the objection and the owner of the vehicle). The OR-AOR will also update the system@DMT confirming the signing of the 'Objection Removal Notice'.

**C1.120.** The 'Objection Removal Notice' and Other Documents will be handed over to the OR-RD to be returned to the owner while the other copy will be posted to the applicant who requested for placing the objection on the vehicle. (Refer Process S6: Returning of Documents).

**C1.121.** **If the Objection Removal is NOT approved:** The system will generate a 'Objection Removal Rejection Notice' stating the removal request has been rejected and the system will maintain the objection status placed on the vehicle. The 'Objection Removal Rejection Notice' is signed by the OR-AOR. The OR-AOR will also update the system@DMT confirming the signing of the 'Objection Removal Rejection Notice'.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**C1.122.** The 'Objection Removal Rejection Notice' and Other Documents will be handed over to the OR-RD to be returned to the owner. (Refer Process S6: Returning of Documents).

**C1.123. End**

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## *Process C2: Capture Changes to Vehicle Attributes and Register Changes*

**NOTE:** The objective of this process is to capture details of any changes to any attribute of the Vehicle other than a change in ownership.

### Request for Change of Vehicle Attribute

**NOTE:** The objective of this component of the process is to capture the Request to Change any Physical Attribute of the Vehicle.

| | |
|---|---|
| **Exceptions** | |

**C2.1.** If the Registered Owner intends to change any physical attribute of the Vehicle – he is required to request for the required change by completing the 'Vehicle Attribute Change Request' (Format CF2.1) on the System@DMT. (**Note:** It should be possible to log-in the request from any DMT, DS Office or Over the Telephone)[18].

**C2.2.** **Vehicle Attribute Changes that DONOT Require Permission:** Go To C2.5.

**C2.3.** **Vehicle Attributes Changes which require Prior DMT Permission:** A 'Vehicle Attribute Change Request Acknowledgement' (Format CF2.2) is generated through the system@DMT, which could be printed by the Registered Owner or Printed at DMT and Posted to the Registered owner – if request was made by phone. (Go To Process S7 – for Posting of the document).

**C2.4.** The Officer Responsible to Recommend Attribute Changes (OR-RAC) will review the Attribute Change Request and approve same, and indicate the supporting documents that are required to finalize the registration of the Change in Attribute. (Annexure CA2.1 indicates the Documents Requirements for each type of attribute change). (**Note:** A change in Chassis Number must ensure the chassis has been registered prior to granting the approval for change).

**C2.5.** System@DMT will register the Attribute Change Request and generate the 'Attribute Change Request – Authorization Notice' (Format CF2.3).

*C2.1 If the change requested is for an already existing chassis number – follow the 'Handling Duplicate Chassis Numbers in Process A*

*C2.2 If the approval is declined the OR-RAC will enter the reasons for the rejection and the system @DMT will generate a 'Rejection Notice' (Format C2.3) with the reasons identified by the OR-RAC.*

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[18]  When the Attribute Change requires a modification to the Chassis No. (due to correction of data entry or due to a change in the chassis of the vehicle – the system could add the new chassis number and associate the other attributes of the vehicle with the new chassis number. If the chassis number so deleted is reused the system should ensure the approval is obtained similar to a Duplicate Chassis Number. .

**C2.6.** The Registered Owner will be permitted to print the Attribute Change Request – Authorization Notice, which will indicate the information and documents required to finalize the transaction and the vehicle is placed on 'Pending Attribute Change' Status. (**Note:** For those logging-in the request by telephone – a SMS message is sent to the Registered Owner confirming the approval and the printed document will be posted by the DMT to the Registered Owner). Go To C2.11.

**C2.7.** **Vehicles that have NOT obtained Prior DMT Permission:** Based on the information provided by the Registered Owner, or by any other source, the system@DMT will capture the information on an Attribute Change and initiate an Investigation and also informing the user of the Investigation Reference by letter. (Go To Process E). The investigation will be based as indicated in annexure (CA2.2)

**C2.8.** Based on the outcome of the investigation the OR-I may be update the system@DMT to permit the Registered Owner to generate the Attribute Change Request – Authorization Notice.

**C2.9.** The Attribute Change Request – Authorization Notice is printed by the Registered Owner through the System@DMT.

**C2.10.** **If Not approved:** the registration is cancelled.

**C2.11.** If Inspection of the Vehicle is required based on the Request of the Registered Owner the System@DMT will generate a 'Vehicle Inspection Request' (Format CF2.4). (Go To Support Process S9; Inspect and Issue Inspection Certificate).

**On Receipts of Documents Stated in Attribute Change Request – Authorization Notice**

**NOTE:** The objective of this component of the process is to validate the document requirements that need to be submitted to process the application.

**C2.12.** The Officer Responsible for Document Requirements (OR-DR) will review the documents indicated in the Attribute Change Request – Authorization Notice and ensure they are adequate.

**C2.13.** **If the Documents are Adequate:** The OR-DR will confirm on the System@DMT the adequacy of the documents. Go To C2.17.

**C2.14.** **If Additional Documents are Required:** The OR-DR will update the System @DMT with the additional document requirements.

**C2.15.** The System@DMT will update the additional requirements against the specific application and also generate an e-Mail and SMS to the 'Registered Owner of Vehicle' (ROV) informing him of the additional documentation requirements.

**C2.16.** The ROV will gather all documents indicated and make appointment and obtain the 'Appointment Confirmation' and 'Payment Instructions'. (Go To Process S1: Confirmation of Documents and Making Appointment with DMT).

### Making Payment and Submitting Documents to Register Attribute Change

NOTE: The objective of this component of the process is to collect Cash and Register the Attribute Change of a Vehicle.

**C2.17.** Based on the Payment Instruction the ROV is requested to effect payment. (Go To Support Process S2: 'Collecting Payments').

**C2.18.** The ROV will thereafter on the Date/Time of the appointment meet the OR-AD and hand over the relevant documents. (Go To Support Process S3: 'Accepting Documents').

**C2.19.** The documents so accepted and the Application is Printed and the Registered Owner is requested to sign the application, which is thereafter handed over for scanning, together with the other documents. (Go To Support Process S4: 'Scanning of Documents').

**C2.20.** The scanned documents are thereafter reviewed by the Officer Responsible for Certifying Documents (OR-CD).

**C2.21. If the Scanning is OK:** The OR-CD will place his Digital Signature confirming the scanned documents.

**C2.22.** The OR-CD will thereafter Recommended the Change of Attribute Application for approval or if rejected the reasons for rejection is entered into the System@DMT.

**C2.23.** The application is passed onto the Officer Responsible for Approving Attribute Change Applications (OR-AACA).

**C2.24.** The OR-AACA will review the scanned documents as well as the application and place his Digital Signature as confirmation of the accuracy and completeness of the documents scanned and thereafter approve or reject the application and update the System@DMT.

**C2.25. If transfer application is Rejected:** The OR-AACA will update the System@DMT with the reasons for the rejection.

**C2.26.** The application is passed onto the OR-CD, who will update the system@DMT as to how the application could corrected and re-submitted.

**C2.27.** The System@DMT will generate a 'Attribute Change Rejection Notice' (Format CF2.5) with reasons for rejection and how to correct the deficiencies. Go To C2.30.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**C2.28.** **If the transfer application is Approved:** The System@DMT will be updated with the requested Attribute Change as being the new attribute of the vehicle.

**C2.29.** **If New Number Plates are NOT Required:** Go To C2.30.

**C2.30.** **If New Number Plates are Required:** The System@DMT will thereafter transfer the number plate details to the Number Pate Manufacturer (including the details of the Special Number Plates).

**C2.31.** The OR-AACA will print the Certificate of Registration as well as the Number Plate Acknowledgement (only where New Number Plates are required). (**Note:** The system@DMT should permit the capture of the reference number of controlled documents).

**C2.32.** The OR-AACA will sign the Certificate of Registration (CR) and update the system@DMT confirming the signing of the CR.

**C2.33.** The documents submitted by the ROV, CR and Number Plate Acknowledgement (only where New Number Plates are required) are passed to the OR-CD.

**C2.34.** The documents submitted by the ROV, CR and Number Plate Acknowledgement (only where New Number Plates are required) will be handed over to the OR-CD.

**C2.35.** The OR-CD@DMT will update the system@DMT confirming the documents to be retained (with reasons for same) and returned.

**C2.36.** The OR-CD@DMT will open a Temporary Vehicle Attribute Change File and insert the documents to be retained and send to the Record Room with File Listing. Go To Process F.

**C2.37.** The documents to be returned to the New Owner are passed on to the OR-RD@DMT. Go To Process S7.

**C2.38.** **If Number Plates are Required:** The Number Plates are manufactured and issued. (Go To Support Process S8: Manufacture and Issue of Number Plates).

**C2.39.** End.


**Issue of Personalized Number Plates**

**Note:** The objective of this process is to permit any user of a vehicle previously registered to be assigned a Personalized Number Plate – subject to the rules of the DMT.


**C2.40.** The Owner of a Registered Vehicle will be permitted to log on to the System@DMT and request for a personalized number by completing the 'Personal Number Request' (Format CF2.6).

**C2.41.** On receipt of the request the System@DMT will validate the information in the request against the 'Personal Number Plate Rules' within the

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

System@DMT. (Refer Annexure CA2.xx for the Personal Number Plate Rules).

**C2.42.** **If the System@DMT accepts the Request:** The Request is registered within the system@DMT and inform the applicant the DMT will communicate by e-mail regarding the request.

**C2.43.** The request is thereafter passed onto the Officer Responsible for Personal Number Plates (OR-PNP).

**C2.44.** The OR-PNP will review the Request to ensure the request made is within the 'Social Norms' of the country.

**C2.45.** **If the request can be accepted:** The OR-PNP will make a recommendation to permit the Personal Number Plate requested and the request is passed onto the Officer Responsible for Apporving Personal Number Plates (OR-APNP).

**C2.46.** The OR-APNP will review the information in the request and the recommendations of the OR-PNP and either approve or reject the request and state the reasons for same.

**C2.47.** **If the request is approved:** The System@DMT will generate a message to the applicant confirming the request has been accepted and to log onto the system@DMT and obtain the Payment Instructions.

**C2.48.** The applicant may log onto the System@DMT and obtain his copy of the Payment Instruction.

**C2.49.** The applicant is required to effect payment (Process S2).

**C2.50.** The applicant will thereafter log onto the System@DMT and confirm the payment of the amount and enter the receipt details on to the System @DMT.

**C2.51.** The System@DMT will thereafter prompt the applicant to fix an appointment. (Process S1) and obtain a Appointment Confirmation.

**C2.52.** The applicant on the day of the appointment will hand over to the OR-AD the System generated approval, CR (for the affected vehicles) and the receipt. (Process S3).

**C2.53.** The documents will be scanned into the system@DMT by the OR-SD. (Process S4).

**C2.54.** The OR-CD will review the scanned documents and pass them over to the OR-APNP with his recommendation and reasons.

**C2.55.** The OR-APNP will review the documents and place his gidital signature on the scanned documents as confirmation of the completeness and accuracy of the information and approval the request.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

Confidential Final Report

**C2.56.** The System@DMT will thereafter assign the personalized number plate to the specific vehicle.

**C2.57.** Based on the request the System@DMT will generate a CR for all affected vehicles affected with the Personal Number Plate together with an instruction for the Number Plate Collection Note for all vehicles affected. (**Note:** The Number plate details will be passed onto the Number Plate  Manufacturer).

**C2.58.** The documents are retuenred to the applicant. (Process S7).

**C2.59.** Based on the Number Plate Collection Note the applicant will collect the number plate from the Number Plate Manufacturer.

**C2.60.** End

**Transfer of Personalized Number from One Vehicle to Another**

**Note:** It is assumed the transfer will not require an additional payment.

**C2.61.** A holder of a Personal Number Plate may log onto the System@DMT and request for the transfer of the Personal Number Plate to another vehicle registered to the same person by completing the 'Personal Number Plate Tranfer Request' (Fromat CF2.7).

**C2.62.** The System@DMT will validate if the transfer could be affected.

**C2.63.** **If the Transfer could be Effected:** Go To C3.51.

**C2.64.** End

**Cancellation of Personalized Number**

**Note:** It is assumed the cancellation will not require an additional payment and will be cancelled on request or if the Vehicle is de-registered.

**C2.65.** A holder of a Personal Number Plate may log onto the System@DMT and request for the cancellation of the Personal Number Plate assigned to the specific vehicle by completing the 'Personal Number Plate Cancellation Request' (Fromat CF2.8).

**C2.66.** The System@DMT will validate if the cancellation could be affected.

**C2.67.** **If the Cancellation could be Effected:** Go To C3.51.

**C2.68.** End

*Process C3: Issue of Duplicate CR and/or Number Plate*

Exceptions

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**NOTE:** The objective of this process is to support the Issue of Duplicate CR/Number Plate.

### Request for Duplicate CR and/or Number Plate and/or VID

**Exceptions**

> **NOTE:** The objective of this component of the process is to capture the Request for Duplicate CR and/or Number Plate.

**C3.1.** When the Registered Owner of a vehicle needs a Duplicate CR or Number Plate he is required to log into the System@DMT[19] and complete the 'Request for Duplicate CR/Number Plate Form' (Format CF3.1 - Internet). (Note: The System@DMT should validate the Registered Owner and the vehicle is not 'Black Listed' nor having an 'Objection').

**C3.2.** **If Information Received through the Internet:** Based on the information received from the Registered Owner the System@DMT will register the Intimation provided on the request and generate an 'Duplicate CR/Number Plate Request Acknowledgement' – (Format CF3.2) The acknowledgement will indicate the documents required.

### Confirmation of Adequecy of the Documents Stated in Application

> **NOTE:** The objective of this component of the process is to validate the document requirements that need to be submitted to process the application.

**C3.3.** The Officer Responsible for Document Requirements (OR-DR) will review the documents indicated in the Application and ensure they are adequate.

**C3.4.** **If the Documents are Adequate:** The OR-DR will confirm on the System@DMT the adequacy of the documents. Go To C3.7.

**C3.5.** **If Additional Documents are Required:** The OR-DR will update the System @DMT with the additional document requirements.

**C3.6.** The System@DMT will update the additional requirements against the specific application and also generate an e-Mail and SMS to the 'Registered Owner of Vehicle' (ROV) informing him of the additional documentation requirements. (**Note:** If required the details could also be posted).

**C3.7.** The ROV will gather all documents indicated and make appointment and obtain 'Appointment Confirmation' and 'Payment Instruction'. (Go To

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[19] The Registered Owner could log onto the System@DMT through the Internet or from any DMT Office or District Secretariat Office or any other Nanasala or Internet Café.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

Process S1: Confirmation of Documents and Making Appointment with DMT).

**C3.8.** Based on the Payment Instruction the ROV is requested to effect payment. (Go To Support Process S2: 'Collecting Payments').

**C3.9.** The ROV will thereafter on the Date/Time of the appointment meet the OR-AD and hand over the relevant documents. (Go To Support Process S3: 'Accepting Documents').

**C3.10.** The documents so accepted are handed over for scanning. (Go To Support Process S4: 'Scanning of Documents').

**C3.11.** The scanned documents are thereafter reviewed by the Officer Responsible for Certifying Documents (OR-CD).

**C3.12. If the Scanning is OK:** The OR-CD will place his Digital Signature confirming the scanned documents.

**C3.13.** The OR-CD will thereafter Recommended the Duplicate CR/Number Plate Application for approval or if rejected the reasons for rejection is entered into the System@DMT.

**C3.14.** The application is passed onto the Officer Responsible for Approving Duplicate CR/Number Plates Applications (OR-ADCR).

**C3.15.** The OR-ADCR will review the scanned documents as well as the application and approve or reject same and update the System@DMT with the reasons for the rejection.

**C3.16.** The application is passed onto the OR-CD, who will update the system@DMT as to how the application could corrected and re-submitted.

**C3.17. If the Duplicate CR/Number Plate is NOT Approved:** The System@DMT will generate a 'Duplicate CR/Number Plate Rejection Notice' (Format CF3.3) with reasons for rejection and how to correct the deficiencies.

**C3.18. If the Duplicate CR/Number Plate is Approved:** The System@DMT will be updated with the request.

**C3.19. If New Number Plates are NOT Required:** Go To C3.21.

**C3.20. If New Number Plates are Required:** The System@DMT will thereafter transfer the number plate details to the Number Pate Manufacturer (including the details of the Special Number Plates).

**C3.21.** The OR-ADCR will print the Certificate of Registration and/or the Number Plate Acknowledgement (only where New Number Plates are required).

**C3.22.** The OR-ADCR will sign the Certificate of Registration (CR) and update the system@DMT confirming the signing of the CR.

**C3.23.** The documents submitted by the ROV, CR and/or Number Plate Acknowledgement (only where New Number Plates are required) are passed to the OR-CD.

**C3.24.** The documents submitted by the ROV, CR and Number Plate Acknowledgement (only where New Number Plates are required) will be

**Exceptions**

handed over to the OR-RD. (Go To Support Process S7: Returning of Physical Documents).

**C3.25.** **If Number Plates are Required:** The Number Plates are manufactured and issued. (Go To Support Process S8: Manufacture and Issue of Number Plates).

**C3.26.** End.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

### *Process C4:* *Transfer new information to Provincial Motor Traffic Departments and Other Information Users*

NOTE: The objective of this process is to support the transfer of any information pertaining to the change in Ownership or Attribute to other authorized users of the Information. Each user may have multiple passwords

**Exceptions**

C4.1.   Any prospective user of DMT Information will make a request for the required information by completing the 'Information Request Form' (Format CF4.1) and handing over to the Officer Responsible for Managing Information Requests (OR-MIR).

C4.2.   The information so requested is handed over to the Officer Responsible for Information Management (OR-IM) to confirm the availability of the information within the System@DMT. (Refer annexure CA4.1 for Guidelines of information sharing with 3$^{rd}$ parties).

C4.3.   Based on the confirmation of the OR-IM, the OR-MIR will contact the Officer Requesting the information and explain the details of the information that could be shared.

C4.4.   Based the discussions the OR-MIR will finalize the information elements to be shared with the 3$^{rd}$ party.

C4.5.   An agreement is signed between the DMT and the 3$^{rd}$ Party giving the terms and conditions of sharing the information (including the charges applicable to receive access for the information – if any) and the conditions of usage for the information provided. (Refer annexure CA4.2 for a Sample Agreement for Information Sharing).

C4.6.   The OR-MIR will scan the agreement into the system@DMT and log a request for the OR-IM to set-up (including user name & password for the user) the system@DMT and forward the details of the sample information. (**Note:** Fee structures and validity period are also captured into the request).

C4.7.   The Original Copy of the Agreement is filed and maintained by the Officer Responsible for Legal Matters at DMT.

C4.8.   Based on the agreement and the request the OR-IM will set-up the system@DMT to provide the required information to the 3$^{rd}$ party and the data for formats sample data will be made available on the system@DMT and hosted as a Web Service. (**Note:** This initial information is shared to facilitate the changes required to be tested by the 3$^{rd}$ party systems).

C4.9.   Once the information is set-up the OR-IM will inform the OR-MIR the availability of the information and authorizations required to access the information by updating the required information on the system@DMT.

C4.10.  The OR-MIR will review the sample information on the system@DMT and ensure the availability of the information as required in the

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

agreement.

**C4.11.** If the information provided is as per the agreement: The OR-MIR will inform the 3<sup>rd</sup> Party the availability of the sample information. (**Note:** The information should be legible to any non-technical officer to ensure the accuracy of the information provided).

**C4.12.** On completion of the testing by the 3<sup>rd</sup> Party.

**C4.13.** **If there are changes to the information required:** in such an occasion an 'Addendum to the Agreement' is signed by the parties concerned. Go To C4.6.

**C4.14.** **If there are NO changes to the information required:** the 3<sup>rd</sup> party will confirm the information provided conforms to the requirements by completing the 'Confirmation of Information Requirements' (Format CF4.3).

**C4.15.** Based on the confirmation the OR-IM will host the live information and modify the access passwords.

**C4.16.** The modified access passwords are informed to the OR-MIR.

**C4.17.** The OR-MIR will review the information against the agreement and recommend the information to be shared with the 3<sup>rd</sup> Party.

**C4.18.** If payment has to be made for the information: The OR-MIR will update the validity period and generate a 'Payment Instruction' and inform the 3<sup>rd</sup> Party to effect payment and submit the receipt. (Refer annexure CF4.4 for Guidelines for Fee Structure on Information Sharing). (**Note:** The fee structure could be based on a charge for a period or based on the number of interactions with the System@DMT).

**C4.19.** On receiving the receipt the OR-MIR will enter the receipt data into the system@DMT.

**C4.20.** Based on the recommendation of the OR-MIR the Officer Responsible for Approving the Sharing of Information (OR-ASI) – will review the agreement, receipt and the information provided and approve the sharing of the information.

**C4.21.** Once approved the information is made accessible to the 3<sup>rd</sup> Party for the period indicated in the system. (**Note:** The Officer Responsible for Approving Information or the Officer Responsible for DMT – should be able to view the information being shared with any 3<sup>rd</sup> Party).

**C4.22.** **For Periodic Payments:** One Month Prior to the expiry of the Validity Period: the system@DMT will generate a 'Payment Instruction' and generate message to the 3<sup>rd</sup> Party informing them of the expiry of the agreement and requesting for the payment.

**C4.23.** Based on the Payment Instruction the 3<sup>rd</sup> Party will effect payment and obtain a receipt. Go To Process S2.

**C4.24.** The receipt confirming payment is handed over to the OR-MIR who will scan the receipt into the system@DMT update the validity of the period

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**Exceptions**

*C4.11 If the information provided by the OR-IM is not as per the agreement – the OR-MIR will request for the required changes.*

*C4.12 If there are issues regarding the information provided the matter is resolved by informing the OR-MIR who will in-turn log a request for modifications to the information requirements – within the scope of the agreement signed. Go To C4.8*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**Exceptions**

for providing information.

**C4.25.** The extension of the period is thereafter approved by the OR-ASI.

**C4.26.** **For Transaction based Payments:**

**C4.27.** END.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## Process C5: Effecting payments to PCs and Other Government Organizations

NOTE: The objective of this process is to support the payments to Provincial Councils (PC's) and any other Government Organization.

**Exceptions**

C5.1. The Officer Responsible for Effecting Payments (OR-EP) will prepare a 'Distribution of Income Schedule' (Format CF5.1) stating the 'Transaction Type' and the amounts to be charged and the amounts to be payable to 3rd party organizations. (Note: The payment could be a specific amount per transaction, a percentage of the amount collected or a combination of the two).

C5.2. The details of the 'Distribution of Income Schedule' are entered into the System@DMT.

C5.3. Based on the Reconciled Income: the system@DMT will generate a statement 'Details of Amounts Payable on Reconciled Income' (Format CF5.2) giving details of the amounts to be retained by the DMT and the amounts to be shared with the 3$^{rd}$ Party Organizations with reference number. (Details that appeared in one statement will not appear in another statement – but multiple printouts of the statement could be obtained).

C5.4. When the statement is generated: the amounts indicated in the statement will be transformed into an amount payable to the specific 3$^{rd}$ Party.

C5.5. When effecting payment the details of the statement reference and the cheque details are captured into the system@DMT. (**Note:** Amounts stated in a statement is required to be paid if full).

C5.6. After effecting payment if a 'Details of Amounts Payable on Reconciled Income' is printed the payments made with cheque numbers should be indicated on the statement.

C5.7. The system should also generate a 'Summary of Outstanding to 3$^{rd}$ Parties' (Format CF5.3) – which will indicate the amounts outstanding to the different 3$^{rd}$ party organizations.

C5.8. END.

*C5.6 It should be possible to cancel a cheque if required and add back this amount as an amount payable.*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## 7.3 D: MANAGING REVENUE COLLECTION ENTITIES

### Objective

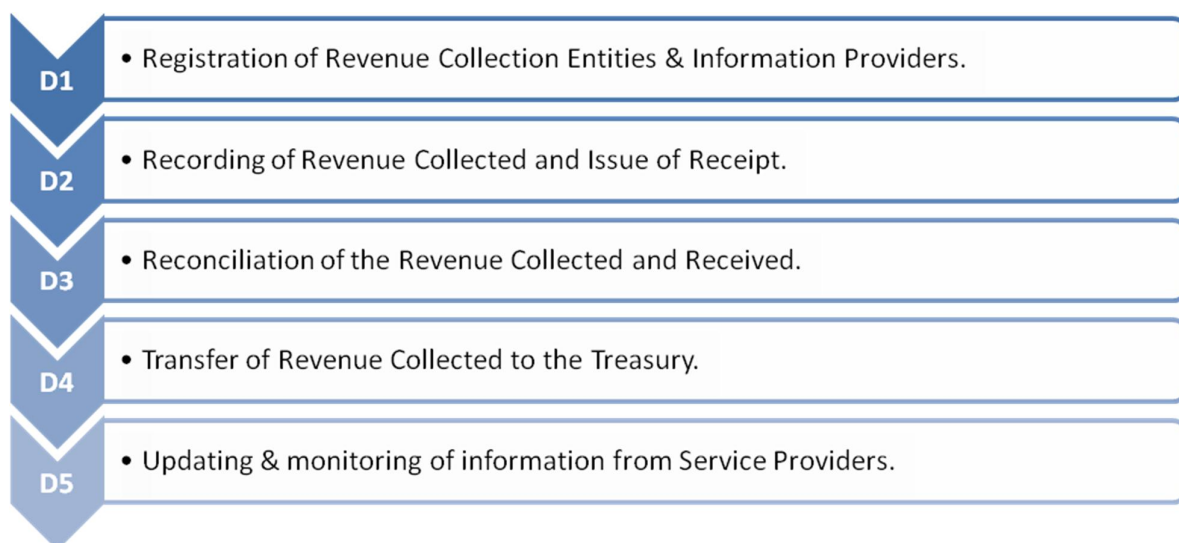To ensure all Revenue Collection Entities are registered and the collections are effectively monitored and the information from 3rd Party providers are accurately collected and managed.

### Process Boundary

From the point a Revenue Collection Entity or Service Provider is registered until the information on the revenue is captured and reconciled and the information gathered by the 3rd Party Information Providers are associated with the relevant vehicle, corrective action taken where required and appropriate stakeholders updated with information gathered.

### Stretch Goals / Critical Success Factors

É   To ensure all monies are accurately collected by Revenue Collectors.
É   To ensure all monies collected are received by the DMT or GOSL.
É   To ensure all information from service providers are gathered and updated.

**D1** • Registration of Revenue Collection Entities & Information Providers.

**D2** • Recording of Revenue Collected and Issue of Receipt.

**D3** • Reconciliation of the Revenue Collected and Received.

**D4** • Transfer of Revenue Collected to the Treasury.

**D5** • Updating & monitoring of information from Service Providers.

*Process D1: Registration of Revenue Collection Entities & Information Providers.*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**NOTE:** The objective of this process is to Register all Revenue Collection Entities and Information Providers associated with the DMT.

### Obtain Information of the Revenue Collection Agencies

**NOTE:** This Process will facilitate the capturing of Information required for Setting up the Revenue Collection Entity.

At Present there is only one category of Revenue Collection Entities (i.e., Insurance Companies) and a single category of Revenue Collection (i.e., Luxury Tax). However there could be more entities introduced in the future with different categories of Revenue Collection Associated with these Revenue Collection Entities.

The procedure defined for Registering the Master Revenue Collection Entity will be the same for Registering Branch Offices – of the Revenue Collection Entity - except for the Branch Offices having to identify the Master Revenue Collection Entity (which has to be registered and activated prior to registration of Branch Offices)

**D1.1.** The Master Revenue Collection Agency (e.g., the Insurance Company Head Office) (MRCA) will log into the System@DMT complete the 'Master Revenue Collection Agency Request Form' (Format DF1.1) and request for the 'Master Revenue Collection Agency Application'.

**D1.2.** The System@DMT will assign an Application Number and generate the 'Master Revenue Collection Agency Application' (Soft Copy) (Format DF1.2) with the information submitted by the applicant. Instructions for completing the 'Master Revenue Collection Agency Application' (Annexure DA1.1) will also be available on-line. The System@DMT will also generate a special password for the application – the details of which are sent to the applicant's confidential e-Mail.

**D1.3.** The MRCA will complete the Master Revenue Collection Agency Application (Soft Copy) and upload onto the System@DMT[20].

**D1.4.** The System@DMT will validate the information in the Application based on the MRCA Validation Rules (Annexure DA1.2).

**D1.5.** **If the Application fails the Validation Test**: a MRCA Validation Report (Format AF1.3) is generated through the System@DMT and the Application is rejected.

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[20] **On-line Applications:** The applicant should be able to download the application to his computer and complete the application off-line. He should be able (if required) to obtain printouts of the completed application at any stage. Once completing the application it should be possible to upload the completed application. OR The RI should be able to complete the application directly on the Web – as and when he would wish to do so until the application is submitted.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**D1.6.** **If the Application passes the Validation Test**: the Application is accepted  Temporary MRCA Application Number assigned and 'MRCA Application Acknowledgement' (Format AF1.4) is generated through the System@DMT indicating the information/documents required to finalize the registration.

**D1.7.** The Officer Responsible to Review Revenue Collection Applications (OR-RRCA)@DMT will review the application and the documents requested by the system@DMT – and if additional documents are required such document details are entered onto the system – and an 'Additional Documents Required for MRCA Application' e-Mail (Format DF1.5) is generated through the System@DMT and sent to the MRCA.

**D1.8.** The MRCA will gather the documents referred in the MRCA Application Acknowledgement and those requested by the OR-RRCA@DMT.

**D1.9.** The MRCA will log-into the System@DMT and confirm the availability of the documents and update the System@DMT with the Meta Data related to each document confirmed as available. (Annexure AA1.3 will identify the Information Attributes to be captured for each document type – in MRCA Application).

**D1.10.** **If ALL Documents are NOT Available:** Go To Process S6: Applicant Cannot Satisfy DMT Requirements - to make appointment and have the required documents modified.

**D1.11.** Once all required documents are collected, the MRCA will confirm the availability of the documents and obtain an 'Appointmernt Confirmation' and 'Payment Instruction'. (Go To Support Process S1: Confirmation of Docments and Making Appointment).

**D1.12.** The MRCA will make payment as specified in the 'Payment Instruction' and obtain a 'Receipt'. (Go To Support Process S2: Collecting Payments).

**D1.13.** On the date of the appointment the MRCA will visit the DMT with the Application Acknowledgement, the required documents requested by the DMT, Appointment Confirmation, Payment Instruction and Receipt confirming the payment.

**D1.14.** The MRCA will meet the Officer Responsible for Accepting Documents (OR-AD) at DMT at the designated time as mentioned in the 'Appointment Confirmation'.

**D1.15.** The OR-AD@DMT will recall the information on the System@DMT based on the Application Acknowledgement Number and accept the documents (Go To Support Process S3: Accepting Documents).

**D1.16.** The OR-AD will obtain a printout of the application and obtain the signature of the Authorized Officer of the MRCA.

**D1.17.** Thereafter the Documents are identified for scanning and sent to OR-SD for scanning – Go To Support Process S4: Scanning Documents.

**D1.18.** After the scanning the Application and Physical Documents are passed onto the Officer Responsible for Certifying Documents (OR-CD).

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**Exceptions**

*D1.19: If the OR-AD requires the documents to be re-scanned the documents are returned for (re)scanning with after indicating the document and  page numbers to be scanned updated on the System@DMT. Go To Process S4.*

*D1.23 If scanned copies are NOT OK they are returned through the OR-CD to the OR-SD to re-scan the documents after indicating the document and page number to be (re)scanned.*

*D1.24: The system@DMT will automatically cancel the Pending Application once the Validity Period expires.*

*D1.25: if an extension to the Validity Period is required – the MRCA will be required to follow Process S6: Applicant Cannot Comply with DMT Requirements.*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**D1.19.** The OR-CD will review all the documents and the scanned copies of the documents and place his Digital Signature on the scanned documents as confirmation of completeness and accuracy of the scanned documents.

**D1.20.** The OR-CD will thereafter recommending the Application for approval or rejection – with the reasons for rejection updating the system@DMT.

**D1.21.** Thereafter the Application & all Documents are passed on to the Officer Responsible for Approving Revenue Collection Applications (OR-ARCA) @DMT.

**D1.22.** The OR-ARCA will review the documents and the scanned copies and determine if they are OK.

**D1.23. If Scanning is OK:** The OR-ARCA@DMT will place his Digital Signature on the scanned documents as confirmation of the Completeness and Accuracy of the documents scanned.

**D1.24.** The OR-ARCA will review the documents and approve the Application. Go To D1.27.

**D1.25. Deficiency in Documents:** The OR-ARCA@DMT will update the system@ DMT confirming the additional document requirements and the validity period of the Pending Application. (**Note:** The default period being 1 months – this could be amended by the OR-ARCA and is required to enter the reason for modifying the default period).

**D1.26.** The OR-ARCA@DMT will generate a 'MRCA Registration Pending Letter' (Format DF1.6) through the System@DMT indicating the additional documents required and the period the application will be kept pending to permit the correcting of the errors.

**D1.27.** The System@DMT will be updated to permit the MRCA to update the availability of the additional documents – once again. Go To D1.8. (**Note:** All documents handed over are returned to the MRCA).

**D1.28. Approved Applications:** The OR-ARA@DMT will Approve the application by placing his signature on the physical application as well as confirming his approval on the System@DMT and indicting the Types of Revenue to be Collected.

**D1.29.** Based on the approval of the OR-AA@DMT on the System@DMT will generate the Master Revenue Collection Agent Certificate (Format DF1.7) is Printed and signed by the OR-ACRA@DMT confirming approval of the Application. (**Note:** Provision should be available to capture the document reference number when using pre-printed stationary as well as a System Generated unique document Reference Number, which could be used for remote validation).

**D1.30.** The duly signed Revenue Collection Agent Certificate and the documents are returned to the OR-CD@DMT.

**D1.31.** The OR-CD@DMT will update the system@DMT confirming the documents to be retained (with reasons for same) and returned.

**Exceptions**

*D1.31: Standard reasons could be suggested by default –only retention of special documents need to be updated.*

*A1.34 The MRCA must start using the RCA interface of the System@DMT to communicate with the DMT.*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**D1.32.** The OR-AD@DMT will open an Revenue Collection Agent File and insert the documents to be retained and the documents to be returned to the MRCA are passed on to the OR-RD@DMT together with the Revenue Collection Agent Instructions of Operation (Annexure DA1.4) stating Standard Rules and Regulations applicable to the Revenue Collection Agency. (Go To Support Process S7: Returning of Physical Documents).

**D1.33.** On confirmation of the returning of the documents to the MRCA the System@DMT will generate a user name and password for the MRCA and e-Mailed to his address. (**Note:** This User Name and Password will be used by the MRCA to log into his area of the System@DMT in the future).

**D1.34.** Based on the information regarding the new Revenue Collection Agent Certificates issued in the  System@DMT the Officer Responsible for Training (OR-T)@DMT will contact the MRCA and ensure he is comfortable with the usage of the system@DMT and make arrangements for training.

**D1.35.** The MRCA will confirm to the OR-T he is capable of using the MRCA Interface of the System@DMT and signing the 'Password Activation Request' (Format DF1.9).

**D1.36.** The Password is thereafter activated (with the MRCA being required to change password at $1^{st}$ log-in).

**D1.37.** END.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

### *Process D2: Recording of Revenue Collected and Issue of Receipt.*

**NOTE:** This procedure will only indicate the Revenue Collection procedure for a single type of Revenue Collection – However, the same procedure is followed for the collection of any type of Revenue Collection the Agency is authorized to collect.

**Checking Validity of Vehicle and Outstanding Dues**

> **NOTE:** The objective of this process is to ensure the Insurance Companies insure the correct vehicle and is in a position to clearly identify any shortfall of payment of dues.

**Exceptions**

**D2.1.** **On Receiving a Request for Insuring a Vehicle:** The Officer Responsible to Validate DMT Information at Revenue Collection Entity (OR-VDI), will log onto the System@DMT (using the User Name and Password given to the Revenue Collection Entity – RCE).

**D2.2.** The OR-VDI will enter the Vehicle Number & CR Document Reference Number on to the RCE - Interface.

*D2.2 If the RCE cannot obtain the information through the interface they could call the Help Desk and obtain the information by providing the Vehicle Number and CR Reference Number.*

**D2.3.** If the CR Document Reference Number is the Valid CR for the specific Vehicle Number – the OR-VDI will be permitted to recall the information.

*D2.3 If the Vehicle Number and CR Reference Number do NOT tally the information is NOT provided and the OR-VDI is informed on the CR not being valid for the vehicle.*

**D2.4.** The system@DMT will track the details of the information retrieved by each RCE.

**D2.5.** OR-VDI is permitted to review the outstanding amounts due to the DMT from the specific vehicle relevant to all the specified Revenue Collection entrusted to the specified RCE.

**D2.6.** The OR-VDI may generate an 'Outstanding Collections Report' (Format DF2.1) for the vehicle indicating the outstanding amount.

**D2.7.** **If the Customer Agrees to Effect Payment:** The OR-VDI will indicate the specific payments the customer intends to make and generates a Receipt through the RCE interface after collecting the money from the customer. (**Note:** A receipt cannot be cancelled after issue).

**D2.8.** **On a designated day or days:** The OR-VDI assigned to the MRCA will be able to generate a 'Outstanding Remittance from MRCE Report' (Format DF2.2) (which shall be the 'Payment Instruction') indicating all the monies that are to be remitted to the DMT. (**Note:** The report will indicate the payment details that should be entered when effecting the payment).

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**D2.9.** Based on the Outstanding Remittance from MRCE Report the MRCA will remit the funds to the DMT and obtain a Receipt. Go To Process S2: Collecting Payments.

**D2.10.** The OR-VDI assigned to the MRCA – will identify the specific receipts for which the monies were remitted based on a selected the time period.

**D2.11.** Thereafter the System@DMT is updated by the OR-VDI with the details of the Receipt.

**D2.12.** The OR-VDI will thereafter generate a Statement of Monies Remitted to DMT (Format DF2.3) through the CRE-Interface of the System@DMT and attach Receipt and handover the Statement and Receipt to the DMT.

**D2.13.** **On receiving the Statement & Receipt at DMT:** The Officer Responsible for Accepting Documents (OR-AD) will accept the 'Statement of Monies Remitted to DMT' and Receipt and recall the details from the system @DMT and validate the accuracy of the information stated in the statement, Receipt and the system@DMT and tally.

**D2.14.** **If the Information is OK:** The OR-AD will confirm the accuracy of the information and scan the Receipt into the system@DMT.

**D2.15.** The OR-AD will thereafter place his Digital Signature on the scanned copy of the receipt as confirmation of the completeness and accuracy of the scanned document.

**D2.16.** The System@DMT will thereafter generate an 'Acknowledgement for Revenue Collection Entity' (Format DF2.4).

**D2.17.** The 'Acknowledgement for Revenue Collection Entity' is signed by the OR-AD and returned to the CRE's Officer who handed over the statement & receipts.

**D2.18.** The Statement and Receipt are passed onto the Officer Responsible for Monitoring Revenue Collections. (OR-MRC).

**D2.19.** END.

| Exceptions |
| --- |

*D2.14 If the information on the receipt is NOT accurate – the documents are returned to the officer to bring the correct Receipt supporting the payment.*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## *Process D3: Reconciliation of the Revenue Collected and Received.*

**NOTE:** The objective of this process is to reconcile the Monies Received with the Receipts and to follow-up with the RCE who have not Remitted the monies and/or submitted the statement/receipt to the DMT.

**Exceptions**

### Reconcilliation of the Receipts with the Monies Received

**NOTE:** The objective of this component of the process is to Reconcile the receipts already updated in the system@DMT with information received from the RCE as well as the monies received through the Bank.

**D3.1.** The details on the Bank Receipt (Payment Slip) are entered into the System@DMT and a reference number issued to this receipt.

**D3.2.** Thereafter the details of the payment are recalled through the system @DMT and tallied with the statement submitted by the RCE.

**D3.3.** **If the information is consistent between the Statement Submitted and the Statement Generated:** The system@DMT is associating the specific receipt with each transaction in the statement.

**D3.4.** **If the information is NOT consistent between the Statement Submitted and the Statement Generated:** The Officer Responsible for Reconciliation of Income (OR-RI) will check the two statements and make the necessary adjustments on the system – until the information on the system tallies with that given in the statement by the RCE.

**D3.5.** The RCE is marked as having a discrepancy and the OR-RI is required to investigate into the matter. (**Note:** If the matter is NOT resolved within 7 working days the issue will be escalated to the OR-A and 7 days later to OR-I).

**D3.6.** Based on the clarifications received the OR-RI will update the system @DMT. (**Note:** The OR-RI will either reverse the receipt or include a further payment for the same period to cover the shortfall).

**D3.7.** On receipt of the bank statement – a Statement of Receipts (Format DF3.2) is generated through the system@DMT and tallied with the Bank Statement. (**Note:** The system is updated confirming the receipts reflected in the Bank Statement).

**D3.8.** **If all receipts are reflected in the Bank Statement:** The OR-RI will update the system confirming all monies relevant to the receipts have been received by the DMT. Go To D3.12.

**D3.9.** **If all receipts are NOT reflected in the Bank Statement:** The system @DMT is updated confirming discrepancy related to a specific receipt.

**D3.10.** OR-RI will follow-up with the Bank and the RCE and get the mistake in the bank statement corrected.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**D3.11. If wrongful documents have been submitted:** The OR-RI will initiate an investigation which will be followed up by the OR-I and the system updated with the information stated in the Bank statement. (**Note:** Any specific receipts to customers associated with the specific receipt is removed). Go To D3.1

**D3.12.** END

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

Confidential Final Report

## *Process D4: Transfer of Revenue Collected to the Treasury.*

**NOTE:** The objective of this process is to ensure the monies received are accurately transferred to the Treasury.

**Transfer of Revenue Collected from Collection Agents to the Treasury**

| | **Exceptions** |
|---|---|

**D4.1.** Based on the reconciliation of the monies received from the collection Agencies, the System@DMT will generate a statement 'Transfer of Monies to Treasury' (Format DF4.1). (**Note:** This statement should indicate the all monies received from the RCE that have not yet been transferred to the Treasury).

**D4.2.** The Officer Responsible to Transfer Funds (OR-TF) will review the statement and ensure the information stated there-in is complete and accurate.

**D4.3.** Thereafter the OR-TF will update the system@DMT indicating the relevant receipts that would be transferred to the Treasury.

**D4.4.** Based on the updated information the OR-FT will generate a 'Statement of Funds Transferred to Treasury' (Format DF4.2) through the system@DMT.

**D4.5.** Based on the statement the OR-FT will effect the transfer and certify the 'Statement of Funds Transferred to Treasury' confirming the transfer of funds.

**D4.6.** The certified 'Statement of Funds Transferred to Treasury' will be filed and retained by the OR-TF.

**D4.7.** END

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## *Process D5: Updating & monitoring of information from Service Providers.*

**NOTE:** The objective of this process is to ensure the information from 3<sup>rd</sup> Party service providers are received in a structured and standard manner.

The Service Providers to be included are:

- Sri Lanka Customs – (Chassis No.)
- Manufacturing Excise Tax Department – (Chassis No.)
- Department of Import & Export – (Chassis No.)
- Ministry of Finance – (Chassis No.)
- Provincial Motor Traffic Department – (Vehicle Reg. Number)
- VET Certificate Providers – (Vehicle Reg. Number)
- Insurance Companies – (Vehicle Reg. Number)
- Banks – (Details of Monies Deposited by DMT Customers)
- Divisional Secretariat –
- District Secretariats -

**Singing of Information Provider Agreements**

**D5.1.** The Officer Responsible for Managing 3<sup>rd</sup> Party Information Providers (OR-M3IP) will discuss with the relevant information providers and agree on the information to be provided, the format and the frequency the information would be provided.

**D5.2.** Based on the discussions the OR-M3IP will sign a '3<sup>rd</sup> Party Information Provider Agreement' (Refer annexure DA5.1 for the information to be contained within the agreement). (**Note:** Due consideration should also be given to the accuracy & security of the data being received into the system @DMT)[21].

**D5.3.** Based on the agreement the System@DMT will be configured to accept the information from the 3<sup>rd</sup> parties. (**Note:** The information may be received through Web Services or in electronic format).

**D5.4.** **If information is received through electronic format:** A certified physical statement should also be received and the information in electronic format validated and accepted prior to the information being uploaded onto the system@DMT. (**Note:** Until the data is accepted it should be maintained in a temporary area within the system@DMT).

**D5.5.** On acceptance of the information at DMT the information is integrated into the system@DMT and associated with the relevant vehicle (based on the Chassis Number or the Vehicle Registration Number).

**Exceptions**

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[21] Provision should also be available within the contract to audit the 3<sup>rd</sup> party information systems and their processes to ensure accuracy and completeness of the data being transferred to the DMT.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**D5.6.**    END.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## 7.4    E: COMPLAINTS, INVESTIGATIONS & QUERY MANAGEMMENT

### Objective

To ensure all complaints/investigations and/or queries are registered and progress monitored until its completion and to update the knowledgebase with the findings or responding to the query.

### Process Boundary

From the point of identifying a need for an investigation to monitoring the investigation, up to the point of completing the investigation and deciding on the action to be taken and updating the knowledgebase or receiving a query from a stakeholder to the point of providing the required information.

### Stretch Goals / Critical Success Factors

É   To ensure all investigations are completed within a specified time frame.
É   To ensure all queries are answered within a specified time frame.

| | |
|---|---|
| **E1** | • Registration of all Complaints/Investigations or Queries |
| **E2** | • Monitoring the progress of the Investigation or resolution of Query |
| **E3** | • Updating the knowledgebase |
| **E4** | • Capture and Monitor Customer Feedback |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**
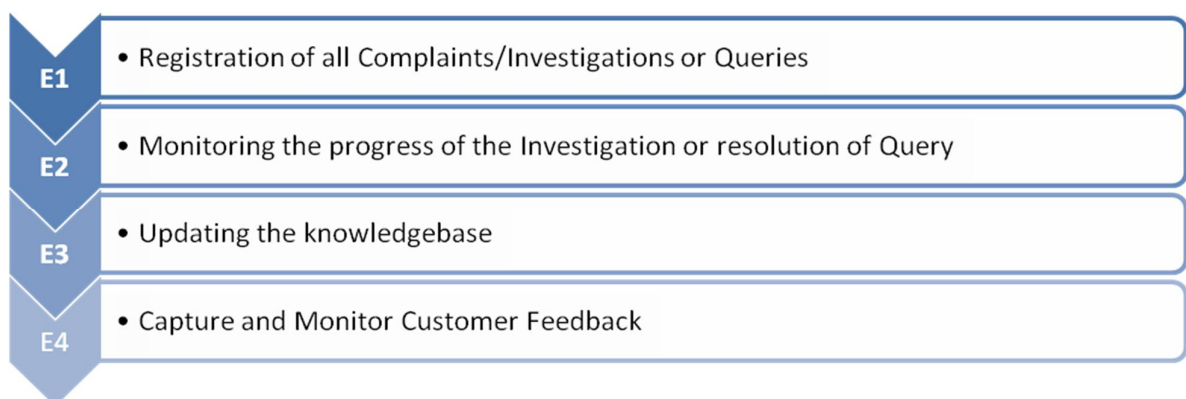
## *Process E1: Registration of Complaints/Investigations or Queries*

**NOTE:** The objective of this process is to ensure all Complaints/Investigation or Queries are registered within the System@DMT.

The DMT could receive Complaints/Investigations or Queries through in the following media;
- By Post or e-Mail
- By Person
- By Telephone (all queries handled by phone should be recorded and evaluated to identify improvement opportunities).

### Receiving and Responding to Simple Queries (Visiting in Person)

**NOTE:** The objective of this component of the process is to define how any customer visiting the DMT with a query is received and all simple queries are handled.

A 'simple query' would be defined as any query made by the public for which the system could provide the information immediately without any further investigation. This may include the status of an application – the procedure to be followed with regards to processing an application, etc.

E1.1.   Any customer with a query (or seeking some information from the DMT) visiting the DMT (or any of its District Offices) will be directed towards the DMT Query Desk.

E1.2.   The Officer Responsible to Interact with Customer (OR-IwC) – will inquire regarding the customer's query.

E1.3.   **If the Query is a 'Simple Query'** The OR-IwC will identify the Customer and capture the details (Refer annexure EA1.1 for Customer Details to be Captured[22]) of the Customer into the system@DMT[23]. (**Note:** Refer annexure EA1.2 for a list of Simple Queries).

E1.4.   Thereafter the OR-IwC is permitted to inquire the database regarding the customer query by entering the Vehicle Number/VIC Number, Specific Application Number or Knowledge Base and responding to the Customer Query. (**Note:** The query made by the OR-IwC is automatically tracked and associated with the specific customer).

---

**Exceptions**

*E1.2 If the query is NOT a Simple Query: Go To E1.16: Register Queries/ Complaints Received by Person/Telephone.*

*E1.4 If the Query cannot be answered based on the System@DMT - Go To E1.16: Register Queries/ Complaints Received by Person/Telephone.*

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[22]   If the information to be verified is different for those visiting and those telephoning – this should be identified within annexure EA1.1.

[23]   If the query is made by any person other than the person registered with the DMT – the reason for the query must be identified and captured into the system@DMT before querying the System@DMT.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**E1.5.** Based on the information provided by the OR-IwC the Customer may accept the information provided or seek further information.

**E1.6.** If Customer is satisfied with the Information – the OR-IwC will log-off the query and generate a Customer Feedback Form (Format EF1.1) which is handed over to the Customer.

**E1.7.** The customer is requested to respond to the Feedback form and place it in a Special Box assigned to insert customer feedback.

**E1.8.** **End**

### Receiving and Responding to Simple Queries (Via Telephone)

NOTE: The objective of this component of the process is to define how any customer telephoning the DMT with a query is responded to and the handling of simple queries.

The CLI number and the name & ID of the person calling should also be captured.

**E1.9.** Any customer with a query (or seeking some information from the DMT) telephoning the DMT (or any of its District Offices) will be directed towards the DMT Query Desk.

**E1.10.** The Officer Responsible for Telephone Queries (OR-TQ) – will inquire regarding the customer's query.

**E1.11.** **If the Query is a 'Simple Query'** the OR-TQ will identify the Customer and capture the details (Refer annexure EA1.1 for Customer Details to be Captured) of the Customer into the system@DMT[24]. (**Note:** Refer annexure EA1.2 for a list of Simple Queries).

**E1.12.** Thereafter the OR-TQ is permitted to inquire the database regarding the customer query by entering the Vehicle Number/VIC Number, Specific Application Number or Knowledge Base and responding to the Customer Query. (**Note:** The query made by the OR-IwC is automatically tracked and associated with the specific customer).

**E1.13.** Based on the information provided by the OR-TQ the Customer may accept the information provided or seek further information.

**E1.14.** If Customer is satisfied with the Information – the OR-TQ will log-off the query and generate an On-Screen Customer Feedback Form (Format EF1.2) which is completed by the OR-TQ based on information provided by the Customer.

**E1.15.** **End**

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[24] If the query is made by any person other than the person registered with the DMT – the reason for the query must be identified and captured into the system@DMT before querying the System@DMT.

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## Exceptions

*E1.5 If customer is seeking further information **Go To E1.4.***

*E1.10 If the query is NOT a Simple Query: Go To E1.16 : Register Queries/ Complaints Received by Person/Telephone.*

*E1.12 If the Query cannot be answered based on the System@DMT - Go To E1.16 : Register Queries/ Complaints Received by Person/Telephone.*

*E1.13 If customer is seeking further information **Go To E1.12.***

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**Register Complaint/Query Received by Person/Telephone**

> **NOTE:** The objective of this component of the process is to capture all Complaints/Queries received by the DMT by Person or Telephone that are NOT 'Simple Queries'.

**E1.16.** The OR-IwC (or OR-TQ) will identify the customer and enter the details into the System@DMT[25] (if identity details are NOT already captured).

**E1.17.** The OR-IwC (or OR-TQ) will call the 'DMT Query/Complaint Form' (Format EF1.2) on the System @DMT and complete same based on the information provided by the Customer.

**E1.18.** The information entered into the system@DMT is verified with the Customer to ensure the accuracy of the query/complaint being captured.

**E1.19.** The Query is thereafter Registered on the System@DMT and a Query Reference Number assigned (**Note:** The Status of the Query is set to: Pending Investigations').

**E1.20.** **For Customer's Visiting the DMT Office:** The System@DMT will generate a Query Acknowledgement Form (Format EF1.3) and handed over to the Customer Visiting the DMT by the OR-IwC.

**E1.21.** The Customer will review the Query Acknowledgement (QA) and ensure the query has been documented accurately.

**E1.22.** The customer will sign the 'Query Acknowledgement Verification Slip' (also part of the QA) and handed over to the OR-IwC.

**E1.23.** Based on the duly signed Query Acknowledgement Verification Slip – the OR-IwC will close the capturing of the Query.

**E1.24.** The Customer may complete the Customer Feedback Form (also included in the QA) and inserted in the Special Box assigned to insert customer feedback. Go To D1.xx

**E1.25.** **For Customers Telephoning the DMT Office**: The OR-TQ will inform the Customer of the Query Reference and the close the capturing of the Query.

**E1.26.** The System@DMT based on the information available will generate an e-Mail and/or SMS to the customer with the instructions to access the 'Query Acknowledgement'. (**Note: If modifications to the query are required** Feedback from the customer is received as a new query with a reference to the previous query).

*E1.18 The query is modified until the Customer's request is captured accurately.*

*E1.21 If the customer requires modifications to the Query – such modifications are requested from the OR-IwC – who will capture same and generate a newer version of the 'Query Acknowledgement' (QA) and handed over to the customer while the older version is recalled. (When a new QA is generated there should be new version number).*

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[25] If the query is made by any person other than the person registered with the DMT – the reason for the query must be identified and captured into the system@DMT before querying the System@DMT.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**Exceptions**

**E1.27.** The Customer Feedback Form – attached with the QA – is requested to be updated and sent through the internet to the System@DMT.

**E1.28.** On receipt of the Customer Feed Back Form the system@DMT is automatically updated with the customer feedback.

**E1.29.** Go To E2: **Monitoring the progress of the Investigation or resolution of Query.**

**E1.30.** END

### Register Complaint/Query Received by Post/e-Mail

NOTE: The objective of this component of the process is to capture all Complaints/Queries received by the DMT by Post/e-Mail.

**E1.31.** On receipt of a Complaint/Query (hereinafter referred to as 'issue') by Post or e-Mail, the Officer Responsible for Receiving Mail (OR-RM) will read the mail and update the system@DMT with the primary data elements (Annexure EA1.3) required to register the Issue.

**E1.32.** Based on the information entered into the System@DMT the Issue is registered and a Barcode is printed.

**E1.33.** The Barcode is pasted on the manual document – which is date stamped.

**E1.34.** The document received form the customer is thereafter scanned into the system@DMT and associated with the issue reference on the System@DMT. (Follow Support Process S4; Scanning of Documents)

**E1.35.** The documents are thereafter passed onto the Officer Responsible for Updating Queries (OR-UQ).

**E1.36.** On receipt of the manual document the OR-UQ will study the issue, recall the information already entered into the system@DMT and enter any balance information that needs to be entered.

**E1.37.** The updated issue details on the system@DMT and the physical document is passed onto the OR-I.

**E1.38.** The OR-I will analyse the issue and decide if the issue is a simple issue or Not.

**E1.39.** **If the Query a 'Simple Query':** The OR-I will pass the query to the Officer Responsible for Simple Queries (OR-SQ).

**E1.40.** The OR-SQ will review the query and access the knowledgebase and respond to the query on the system@DMT.

**E1.41.** Based on this information entered by the OR-SQ a 'Customer Issue Response' (Format EF1.4) is created on the System@DMT.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**E1.42.** The OR-SQ may review the 'Customer Issue Response' on the system@DMT, make any amendments and generate a response to the customer. (**Note:** This will permit the OR-SQ to edit the response if reqired).

**E1.43.** **If the Issue is NOT a 'Simple Query':** The OR-I will generate an Interim Response (Format EF1.5) through the system@DMT – which is signed by the OR-I.

**E1.44.** Go To E2: **Monitoring the progress of the Investigation or resolution of Query.**

**E1.45.** The response is signed by the OR-I and passed on to the Postal Division for posting. Follow Support Procedure S7: Posting of Documents.

**E1.46.** END

**Initiating an Inquiry based on exceptions identified by the System@DMT**

NOTE: The objective of this component of the process is to capture details to initiate an investigation for queries initiated through the System@DMT.

*E2.2 If the OR-COI is not assigned within 2 days the information will be highlighted to the OR-DMT*

*E2.3 If the time period is not sufficient or Root Cause not determined within the specified period the OR-I will be permitted to alter the time given for investigating into the issue.*

**E1.47.** On receipt of a direct intimation from the System@DMT – the OR-I will study the issue and decide if an investigation should be initiated.

**E1.48.** **If an investigation is required:** The OR-I will update the system@DMT with an 'Investigation Initiation Request' (Format EF1.6) which should be approved by the OR-DMT. (**Note:** Even without the intimation from the system@DMT the OR-I should be permitted to initiate an investigation or capture an order from the OR-DMT and initiate an investigation).

*E2.4 If information is required form any officer who is not linked with the system@DMT a 'Issue Information Request' (Format EF2.1) is generated through the system@DMT.*

**E1.49.** Go To E2: **Monitoring the progress of the Investigation or resolution of Query.**

**E1.50.** END.

Note: It is possible to provide access to information on vehicles directly on the Internet. The information to be provided and the criteria for providing the information should be established. (e.g., Certain details of a vehicle could be revealed if the Vehicle Number and CR reference number is provided accurately).

*Process E2: Monitoring the progress of the Investigation or resolution of Query*

NOTE: The objective of this process is to ensure all Complaints/Investigation or Queries that are registered within the System@DMT are

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

investigated and responded to within the specified time frames.

**Assigning of Investigating Officer and Carrying Out Investigation**

NOTE: The objective of this component of the process is to assign an Investigating Officer to the Complaint/Query or Inquiry.

E2.1.    On receipt of a complaint/query or investigation (complaints/queries and investigations will be referred to as 'Issue' hereinafter) request, the Officer Responsible for Investigations (OR-I) at DMT Head Office will study the Issue and update the system@DMT with his observations and instructions to the inquiring officer. (**Note:** The Status of the Issue is now set to: 'Under Investigation').

E2.2.    The OR-I will thereafter (within 2 days) assign an Officer Responsible for Carrying Out the investigation (OR-COI) and indicate the period within which a response to the issue should be provided and relevant documents passed onto him. (**Note:** The OR-COI will be the most appropriate officer – such as Head of the Process in the event of a query or an independent party in the case of an complaint or investigation. It should also be possible to appoint a team of investigators if so required).

E2.3.    The OR-COI will review the already scanned documents related to the investigation in the System@DMT and place his Digital Signature as confirmation of the completeness and accuracy of the documents scanned and thereafter will  carryout an initial investigation into the issue and determine the 'Root Cause' within the time period specified by the OR-I.

E2.4.    **If additional information is required**: the OR-COI will submit the Issue to all those from whom he needs feedback to determine the Root Cause by updating the system@DMT with the specific response required from each person the issue is forwarded to. (**Note:** The time given to receive the feedback as well as the monitoring of the response should be done via the system).

E2.5.    Each officer – requested for information will update the System@DMT with his findings and the supporting documents are attached (as scanned documents, photographs, video footage or any other electronic document) with the response.

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**Exceptions**

*E2.6 If further information is required based on feedback the OR-COI will forward the issue to the same officers or other officers to provide the required information. **Go To E2.4.***

*E2.10 The superior officer could accept, amend or call for more information on the issue or make his recommendations and pass onto his superior officer until the issue reaches the OR-DMT*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**E2.6.** Based on the feedback received together with the supporting documents the OR-COI will make his conclusion of the 'Root Cause' related to the issue and submit his recommendations to the OR-I[26]. (**Note:** The Status of the Issue is now set to: 'Investigation Complete – Pending Decision').

**E2.7.** Based on the feedback from the OR-COI the OR-I will decide on the action to be taken with regard to the issue.

**E2.8.** **If the decision to be taken is within the authority assigned to the OR-I:** The OR-I will update the System@DMT with his decision regarding the Issue. Go To E2.13. (**Note:** The Status of the Issue is set to: 'Decision Taken – Pending Communication').

**E2.9.** **If the decision to be taken is NOT within the authority assigned to the OR-I:** The OR-I will update the Sysem@DMT with his recommended decision in connection with the issue and pass onto the superior officer with the authority to make the final decision.

**E2.10.** The Superior Officer will approve the recommendation and update the System@DMT confirming decision. (**Note:** The Status of the Issue is set to: 'Decision Taken – Pending Communication').

**E2.11.** **If the decision to be taken requires Policy Amendment:** The specific issue is submitted to the Policy Committee meeting held monthly and a final decision taken on the issue. Go To E2.13. (**Note:** The Officer Responsible for Policy Committee will update the Policy Committee Meeting Minutes on the System@DMT)

**E2.12.** Based on the minutes of the Policy Committee Meeting the OR-I will update the decision – with reference to the Policy Committee meeting minutes. (**Note:** The Status of the Issue is set to: 'Decision Taken – Pending Communication').

**E2.13.** The OR-I based on the decision taken will prepare a response to the customer on the System@DMT and generate a Reply to the customer. (**Note:** The system@DMT should permit the response to be edited through word processing software like 'Open Word').

**E2.14.** The Final Reply is generated (directly through the system or also utilizing the word processing software) and signed by the OR-I. (**Note:** The signed Final Reply should have the Barcode with the Query Reference Number and scanned into the System@DMT).

**E2.15.** The Reply is now passed on for Posting. Go To Support Process: S: Posting of Documents.

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[26] If the investigation was given to more than one officer: each officer is required to submit his recommendation separately even though the Investigating Committee could have come into a collective decision.

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**Exceptions**

*E2.16 If no changes to the Procedures Go To E2.23*

*E2.19 The OR-MP should also be able to amend the procedure if there are inconsistencies identified.*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**Issue Instructions & Follow-up**

> NOTE: The objective of this component of the process is to update the system@DMT with the follow-up instructions based on the investigations.

**E2.16.** Based on the investigations the OR-I will update the system@DMT with his recommendation indicating the action to be taken as well the Officer Responsible to take the action (Format EF2.1).

**E2.17.** Where a certificate is required to be issued to the customer the System@DMT is updated with details of the certificate.

**E2.18.** The details are passed onto the OR-I.

**E2.19.** The OR-I will study the information on the System@DMT relevant to the investigation and study the recommendations of the OR-CI.

**E2.20.** **If the OR-I will accept the recommendation:** The OR-I will approve the recommendations.

**E2.21.** Based on the approved recommendations the System@DMT will print the certificates as well as send a message to the relevant officers who are required to take action.

**E2.22.** The certificates are signed by the OR-I and handed over to the Officer Responsible for Handover Certificates (OR-HC).

**E2.23.** The OR-HC will contact the customer and handover the certificates to the customer to carryout his work within the DMT.

**E2.24.** Based on the certificate and the instructions the relevant officers will carryout the instructions.

**E2.25.** END.

**Modifications to the Procedures of the DMT**

> NOTE: The objective of this component of the process is to identify and update any changes to the procedure based on the decision taken in relation to the issue.

**E2.26.** Based on the decision taken in relation to the Issue – the OR-I will determine if the decision has an impact on the existing procedures.

**E2.27.** **If there is an impact on existing procedures:** The OR-I will update the system@DMT with the changes to the procedures in the relevant section of the procedures maintained within the DMT. (Annexure EA2.1 for the DMT Procedures).

**E2.28.** The recommended changes to the procedure are passed on to the Officer Responsible to Modify Procedure (OR-MP).

---

**Exceptions**

*E2.28 If the recommendations are not accepted they are modified and the reasons for the modifications are captured into the system @DMT.*

**E2.29.** Based on the recommendations the OR-MP will validate to ensure the recommended modification to the procedure is consistent with the overall process.

**E2.30.** The OR-MP will thereafter update the modified procedure.

**E2.31.** The OR-MP will thereafter update the System@DMT with the Modification to the Process and the information required to instruct those in the process of the change and its impact on their work.

**E2.32.** The OR-MP will generate the 'Procedure Modification Notice' (Format EF2.2) through the System@DMT and inform all those involved in the process of the changes. (**Note:** In addition the System@DMT will send an electronic message to al those involved with the process to review the specific 'Procedure Modification Notice' – which should also be available on the system@DMT).

**E2.33.** End

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

### *Process E3: Updating the knowledgebase*

NOTE: The objective of this process is to ensure all issues that have a long term impact on the DMT is captured and maintained within the Knowledge Base (including all Policy Decisions taken at the Policy Committee Meetings).

**Evaluating the necessity to update the Knowledge Base.**

> NOTE: The objective of this component of the process is to evaluate the need to include the specific issue within the Knowledge Base.

**Exceptions**

E3.1. Each issue responded to by the OR-I will be forwarded to the Officer Responsible for Knowledge Base (OR-KB).

E3.2. The OR-KB will study the complete issue and decide if the issue should be included into the knowledge base. (**Note:** It should also be possible for those involved with the issue to request the issue to be included within the Knowledge Base).

E3.3. **If the OR-KB decides to include the Issue within the Knowledge Base:** The OR-KB will complete the 'Knowledgebase Update Form' (Format EF3.1) on the System@DMT. (**Note:** The OR-KB will be required to re-write the complete Issue in a standard manner and also identify key words to search the knowledgebase). Go To E3.6.

E3.4. The 'Knowledgebase Update Form' is passed on to the Officer Responsible for Approving Knowledgebase Updates (OR-AKU).

E3.5. The OR-AKU will review the 'Knowledgebase Update Form' and approve the recommendations of the OR-KB by updating the system@DMT.

E3.6. Based on the approval of the OR-AKU the system@DMT will update the Knowledgebase.

E3.7. END.

*E3.6 (a) The OR-AKB should be permitted to modify the 'Knowledgebase Update Form' prior to approval*

*Or*

*(b) recommend to include a Issue the OR-KB has recommended to exclude*

Government Process Re- Engineering (GPR) Assignment for Department of Motor Traffic, e-Motoring Project.

**Confidential Final Report**

### *Process E4: Capture and Analysis of Customer Feedback*

**NOTE:** The objective of this process is to ensure Customer Feedback Forms received either manually or electronically are captured and analysed.

**Exceptions**

### Capturing & Analysing of Customer Feedback Forms (CFF)

> **NOTE:** The objective of this component of the process is to capture the Customer Feed Back Forms.

**E4.1.** Customer Feedback Forms (CFF) received electronically are automatically updated on the System@DMT.

**E4.2.** All manual feedback form boxes are collected on a weekly basis (new boxes are left and the boxes with forms are collected) and sent to the Officer Responsible to Monitor Customer Feedback (OR-MCF).

**E4.3.** The Officer Responsible to capture CFF (OR-CCF) details will initially scan the Barcode on the CFF and thereafter the data related to the CFF is captured.

**E4.4.** Any score with an overall average of less than 4 points (on a scale of 10) and any individual item with a score less than 3 will initiate and investigation into the matter – where the System@DMT will generate a message with the details to the OR-I.

**E4.5.** Based on the CFF details entered into the system@DMT the OR-MCF will generate reports and analyse the trend of customer satisfaction/dis-satisfaction. (Report Formats EF4.2).

**E4.6.** The trend analysis obtained from customer feedback should be tabled at the regular meeting of the Progress Review Meetings of the DMT by the OR-MCF and action recommended where necessary.

**E4.7.** END

## 7.5   F: DOCUMENT MANAGEMENT PROCESS

### Objective

To ensure the required information to undertake the day-to-day operations of the department are maintained electronically while the physical file is maintained in an orderly manner to facilitate easy access of the physical file.

### Process Boundary

From the point of receiving documents that should be maintained to opening a file and creating the electronic file to depositing the Physical File in the Record Room and capturing the location of the file to updating the Physical file with new documents and facilitating the stock-take and handing over of Physical files at point of transfer.

### Stretch Goals / Critical Success Factors

É  To ensure all day-to-day transactions could be carried out based on the electronic files available within the system.
É  Locate a file within 10 minutes
É  Availability of all files during stock-take.

| | |
|---|---|
| **F1** | • Acceepting Documents, Creating and Validating the Electronic File and Physical File |
| **F2** | • Retaining of Physical Documents and Storing of New Physical Files/DOcuments |
| **F3** | • Returning of Physical Documents |
| **F4** | • Carryout periodic stock-takes / Acceptance/Handing over of Physical Files |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## *Process F1: Creating and Validating the Electronic File and Physical File*

**NOTE:** The objective of this process is to ensure all documents received by the DMT are recorded at the point of receipt, scanned and retained.

**Exceptions**

**Receiving of Physical documents at Postal Division or Counters**

REFER PROCESS S3: ACCEPTING DOCUMENTS

**Scanning of Physical Documents**

REFER PROCESS S4: SCANNING OF DOCUMENTS

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## *Process F2: Retaining of Physical Documents and Storing of New Physical Files*

**NOTE:** The physical documents to be retained have been identified and the scanning process is to be initiated. However until the files are scanned and the systems audited for compliance with the e-transactions law, the physical files will be required to be maintained and appropriate arrangements would have to be provided during the transition phase.

The System@DMT should maintain the individuals responsible for each area of the record room.

**Exceptions**

### Retaining of Physical Documents and Storing of New Files

**Note:** It is assumed that every document that is received for storage will be Bar Coded with the Vehicle Number (for files already opened) or the Chassis Number (for files not yet opened) and or Query Number (for documents relating to an inquiry).

**F2.1.** The documents to be retained are passed onto the Officer Responsible for Management of Retained Document (OR-MRD).

**F2.2.** On receipt of the documents the OR-MRD will update the system@DMT confirming the receipt of the documents at the Record Room by recalling the 'Listing Supporting the Transfer Documents' and scanning the Barcodes. (**Note:** if required the Officer Accompanying the Documents could be present when the Barcodes are scanned).

**F2.3.** **If all documents as per the listing are received:** The listing is finalized and confirmation sent to the originating source. (**Note:** Any shortage of documents shall be the responsibility of the Originating Source).

**F2.4.** The OR-MRD will scan the document barcode and determine if a file already exists for the specific document.

**F2.5.** **If a file exists for the Document:** The file number and location is stated on the document and placed in a cage reserved for the area the file is located. Go To F2.7

**F2.6.** On a regular basis the documents that have been collected for storage, relevant to a specific area – is gathered by the Officer Responsible for Maintaining Files of that Area (OR-MF). (**Note:** Different officers are assigned to different areas of the Record Room).

**F2.7.** The OR-MR will scan the barcodes of the documents into a hand-held-deice (HHD).

**F2.8.** The HHD will indicate the exact location of each file that needs to be accessed.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**F2.9.** The OR-MF will access the file and scan the file barcode onto the HHD.

**F2.10.** Thereafter he will file the relevant documents in the relevant file and replace the file in the original location. (**Note:** The files are NOT removed from the location where they are stored and the filing is done at the location of the file).

**F2.11.** The OR-MF will next confirm on the HHD the document has been filed in the relevant file. Go To F1.16.

**Exceptions**

**F2.12.** **If file does not exist for the document(s):** The OR-MRD will open a Record Room File – Generate a 'File Barcode' (Annexure FA1.1) and place on the file. Thereafter the documents relating to the file are placed in the file and the file is paced in the cage relevant to the area the file will be permanently placed.

**F2.13.** The OR-MF will scan the file barcode onto the HHD.

**F2.14.** He will next deposit the file in a specific location and scan the location code which has been fixed to the specific location. (**Note:** If Barcode is not available the OR-MR will enter the details of the location into the HHD).

**F2.15.** The OR-MF will confirm the file has been accurately deposited.

**F2.16.** Once all the files are accessed and the documents filed or the new files are deposited the HHD is synchronized with the System@DMT.

**F2.17.** END.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## *Process F3: Returning of Physical Documents*

**NOTE:** The objective of the process is to ensure all documents are returned to the applicant in a standard manner.

**Returning of Physical Documents (including Postage of Documents)**

REFER PROCESS S7: RETURNING OF DOCUMENTS

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## Process F4: Carryout periodic stock-takes

**NOTE:** The objective of this process is to ensure the files are monitored on a regular basis to validate they are available and in the specified location. This process will also validate the handing over of files form one OR-MF to another.

**Exceptions**

### Carry out Periodic Stock Takes

**F4.1.** On a periodic basis the Officer Responsible for Record Room will generate a 'Periodic Stock-take Statement' (Format FF4.1) – which is uploaded to the HHD of the individual officers responsible for an area. (**Note:** The files selected should be on a random basis).

**F4.2.** Based on the information in the HHD the Officer Responsible for Maintaining Files (OR-MF) will start checking the files by starting the program.

**F4.3.** On finding the first file the OR-MF will scan the barcode relevant to the file and the system will match the file information with the barcode information. (**Note:** The system will also track the time taken to between locating the files).

**F4.4.** Once accepted the HHD will display the next file to be located and repeat F4.3 until all the files selected for the stock-take are located or marked as unable to locate.

**F4.5.** The OR-MF will transfer the information on the HHD onto the System@DMT.

**F4.6.** Based on the information captured the system will generate a 'Stock-Take Feedback Report' (Format FF4.2) to the OR-RR and the Officer Responsible for Administration (OR-A) giving the outcome of the stock take.

**F4.7.** Based on the 'Stock-Take Feedback Report' the OR-RR in consultation with the OR-A will take corrective action required.

**F4.8.** END

### Handing Over and Accepting Files during Transfer of OR-MF

**NOTE:** The objective of this part of the process is to facilitate a smooth handing over and acceptance of files assigned to a specific OR-MF

**F4.9.** When the OR-MF is nominated to be transferred – the transfer will not be activated until a New OR-MF is nominated.

**F4.10.** The OR-RR will update the System@DMT and indicate the OR-MF is scheduled to be transferred.

*F4.3 If the OR-ARR cannot find the file he is required to indicate same prior to going on to the next file.*

*F4.5 If the OR-MF does not carryout the stock-take and update the system@DMT with the information it should be followed up by the OR-RR and OR-A.*

*F4.9 If the New OR-MF is not nominated the OR-RR will accept and similar process is carried out between the OR-RR and the New OR-MF.*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**Exceptions**

**F4.11.** The System@DMT will prepare a 'Transfer Stock-take Schedule' (Format FF4.3) of the files allocated to the specific OR-MF. (**Note:** The files should be ordered in a manner that will make the stock-take convenient).

**F4.12.** The details of the 'Transfer Stock-take Schedule' are passed onto the HHD.

**F4.13.** The New OR-MF will visit the relevant locations and locate the file indicated in the HHD.

**F4.14.** When the file is located the barcode is scanned into the HHD which are matched – and if OK marked as located.

**F4.15.** The above process is repeated until all the files are located or marked 'cannot be located'.

**F4.16.** The data is thereafter transferred by the New OR-MF onto the System@DMT.

**F4.17.** Based on the information the system@DMT will generate a 'Transfer Stock-Take Feedback Report' (Format FF4.4) indicating the discrepancies – which is forwarded to the OR-RR and OR-A.

**F4.18.** The OR-RR will next manually check the missing files and scan the barcode of the file onto his HHD as verification of files and will also update the report confirming the files have been located.

**F4.19.** The information on the HHD is then uploaded onto the system@DMT.

**F4.20.** The System@DMT will initiate an investigation into the files that are not located and the OR-I is updated with the investigation initiated.

**F4.21.** Go To Process E

**F4.22.** END.

*F4.14 If not matched the New OR-MF will be requested to rescan files until the file is matched or marked as 'cannot locate'.*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## 7.6   S: COMMON SUPPORT PROCESSES

### Process S1:   Confirmation of Documents & Making Appointment

**NOTE:** The Objective of this Common Support Process is to define how an Applicant could confirm the availability of all required documents and make an appointment with the relevant Officer @DMT.

### Applicants Prepartion for Making Appointment

**S1.1.** The Applicant[27] will gather all documents as specified in the Application, Acknowledgement or any subsequent e-Mail after evaluating the application by an authorized officer at DMT. (**Note:** Any document that indicates document requirements – will be referred to as **Application** hereafter in this process and any person seeking to process an application will be referred to as the **Applicant** hereafter within this process).

### Making Appointment by Applicant to Process Application

**NOTE:** The objective of this component of the process is to obtain the confirmation of the Applicant that all documents are available and to make appointment and issue Payment Instruction.

Refer annexure SA1.1 for the approximate time taken for each process at the point of accepting documents.

**S1.2.** **For those confirming through the Internet:** The Applicant will log onto the system@DMT and enter the Application Reference Number and recall the application details.

**S1.3.** The Applicant is thereafter required to update the system@DMT confirming the availability of the documents as specified in the application is available, together with the Meta Data relevant to each Document. (Refer Annexure SA1.2 – for Listing of Meta Data for each type of document).

**S1.4.** When all documents are available the system@DMT will request the Applicant to indicate a convenient date and location for appointment. The System@DMT will indicate the times the OR-AD are available.

**S1.5.** Based on the availability of times the Applicant will request for the most suitable time for the appointment, which is confirmed system@DMT.

| **Exceptions** |
| --- |

*S1.1 When documentation requirements have to be approved the System @DMT will only permit the confirmation of docs after the OR-DR has approved document Requirements.*

*S1.2 If all documents are not available the Applicant is requested to follow Support Process S6 'Applicant Cannot Comply with DMT Requirements'.*

*S1.6 If the date and time are not suitable the System@DMT will permit to modify the times.*

*Even after the confirmation the PVT is permitted to modify the time of the appointment.*

*S1.7 The appointment will be mapped automatically to the role based on time availability.*

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[27] This process will refer to any person seeking services of the DMT as an 'Applicant'

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**S1.6.** The system@DMT will generate an 'Appointment Confirmation' (Format – SF1.1) and 'Payment Instruction' (Format – SF1.2). (Note: Based on the application details already available on the system).

**S1.7.** **Go To S1.23.**

**S1.8.** **For those confirming by Visiting DMT or DS Office:** The Applicant will visit the DMT or DS Office and handover the application confirming all documents are available to the Officer @ DMT Counter at the DS or Customer Support Officer @ DMT.

**S1.9.** Based on the confirmation of the Applicant the authorized officer will log onto the system@DMT and recall the application details based on Application Reference Number.

**S1.10.** The Officer @ DMT Counter at the DS or Customer Support Officer @ DMT will update the system@DMT confirming the availability of the documents as specified in the application is available, together with the Meta Data relevant to each Document.

**S1.11.** The Officer @ DMT Counter at the DS or Customer Support Officer @ DMT will discuss with the Applicant and agree on a convenient time for the DMT appointment – and entered into the system@DMT.

**S1.12.** The contact details of the Applicant are confirmed or modified as may be required.

**S1.13.** The system@DMT will generate an 'Appointment Confirmation' and 'Payment Instruction'. (Note: Based on the application details already available on the system).

**S1.14.** **Go To S1.23.**

**S1.15.** For those confirming by Phone with DMT Office: The Applicant will call the DMT Office and speak to the Officer Responsible for Incoming Telephone Calls (OR-ITC), who will validate the identity of the Applicant based on the reference details of the application on the system@DMT.

**S1.16.** The OR-ITC will obtain the confirmation of the Applicant for the availability of all the documents stated in the application.

**S1.17.** Based on the confirmation of the PVT the OR-ITC will update the system @DMT confirming all the documents are available, together with the Meta Data relevant to each Document.

**S1.18.** The OR-ITC will discuss with the Applicant and agree on a convenient time for the DMT appointment – and enter into the system@DMT.

**S1.19.** The Applicant is informed of the date/time of the confirmed appointment and the amount payable for processing the Application.

**S1.20.** The system@DMT will generate a SMS message to the Applicant confirming the time/date of appointment and the amount payable.

**S1.21.** Prior to (or on) the date of the appointment the Applicant may visit any DS/DMT Office and present the details of the Application Reference and

**Exceptions**

*S1.9 If all documents are not available the Applicant is requested to follow Support Process S6 'Applicant Cannot Comply*

*S1.12 If the date and time are not suitable the System@DMT will permit to modify the times.*

*Even after the confirmation the PVT is permitted to modify the time of the appointment.*

*S1.13 If the appointment is after the peiod specified by the DMT the Penalty will also be included in the 'Payment Instruction'.*

*S1.14 The appointment will be mapped automatically to the role based on time availability.*

*S1.16 If all documents are not available the Applicant is requested to follow Support Process S6 'Applicant Cannot Comply*

*S1.19 If the date and time are not suitable the System@DMT will permit to modify the times.*

*Even after the confirmation the PVT is permitted to modify the time of the appointment.*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

obtain a copy of the 'Appointment Confirmation' and 'Payment Instruction'. (Note: Based on the application details already available on the system).

**S1.22.** On a daily basis on the day of the appointment based on the role the Officer Logs into the System@DMT, a listing of all appointments for the specific role is prepared by the system@DMT.

**S1.23.** Only an Officer Assigned to a Role is permitted to process applications for which an appointment has been granted by the System@DMT.

**S1.24.** The Officer Responsible for Supervising Roles (OR-SR) will be permitted to shift the appointments among the individuals within the roles (to eliminate backlogs, etc.). (**Notes:** Such movement of appointments must be tracked and a report generated at the end of day).

**S1.25.** END

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

### *Process S2:  Collecting Payment at Bank and Reconciliation*

**Collecting Payment @ DMT Bank and Reconciliation**

**S2.1.** The Applicant will handover the Payment Instruction to the Officer Responsible for Cash Collections (OR-CC) @ DMT Bank, who will recall the Payment Instruction details through the System@DMT.

**S2.2.** Based on the information recalled from the System@DMT, the OR-CC @DMT Bank will verify if the amount received is correct.

**S2.3.** The OR-CC will collect the monies certify the monies have been collected on the System@DMT and generate a Receipt (Receipt format SF2.1).

**S2.4.** The OR-CC will certify the Receipt Handover the Receipt to the Applicant as confirmation of finalizing the payment.

**S2.5.** On a daily basis the Officer Responsible for DMT Bank will generate a Collection Summary Report (Collection Summary Report Format – SF2.2) through the System@DMT and credit the DMT Bank Account with same.

**S2.6.** The Officer Responsible for Reconciling Receipts (OR-RR) will also obtain a Matched Collection Summary of DMT Bank Transactions (Matched Collection Summary of DMT Bank Transactions Format SF2.3). (**Note:** This summary report will indicate all services provided for monies collected from DMT Bank matched with the payments received at the DMT Bank).

**S2.7.** The OR-RR shall review the 'Daily Service Provided Report' sorted by Bank (Format SF2.4) and ensure all services provide are matched with receipts (for payments made at the DMT Bank).

**S2.8.** The OR-RR will also review the 'Services NOT Provided for Monies Received Report' (Format SF2.5) sorted by Bank.

**S2.9.** The Reports are approved by the Officer Responsible for Accounts and all exceptions investigated and corrected.

**S2.10.** Exceptions Reports will also be taken by the Officer Responsible for Investigations and initiate investigations. Go To Process D

**Collecting Payment @ Other Banks**

**S2.11.** The Applicant will hand over the Payment Instruction at a Bank nominated by the DMT.

**S2.12.** Based on the information in the Payment Instruction the money will be collected by the Bank and a Payment Slip/Receipt issued with the following information: Bank Transaction Reference No., Payment Instruction Number, Bank Name and Branch, Date of Transaction and Amount Collected.

**S2.13.** The Transaction will be hosted as a Web Service by the Bank to be viewed by the Officer Responsible for Transaction at DMT.

**Exceptions**

*S2:17: If the statement does not reconcile with the downloaded information – the OR-RR will contact bank and correct the information.*

***S2.20** If NOT matched the OR-RR will contact the relevant bank on obtain the required clarification and supporting documentation.*

*S2.26: It is necessary for the System@DMT to upload selected transactions from the Web Service to correct a mistake or a transaction could be finalized only after all the items are reconciled.*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

Confidential Final Report

**S2.14.** The Collection Bank will consolidate the information from the branches.

**S2.15.** On a regular basis a statement indicating the following information (Payment Instruction Number, Bank Name and Branch, Date of Transaction and Amount Collected) must be submitted by the collection bank. (**Note:** This information should also be received in electronic format through a web service from the relevant bank).

**S2.16.** The information received through the web service is uploaded onto the System@DMT.

**S2.17.** On receipt of the manual statement from the Bank and confirmation of monies transferred to DMT Bank – the OR-RR will generate a report from the System@DMT for the specified period and reconcile with the statement received from the bank. (**Note:** If the statement is received electronically the matching/reconciliation is done automatically)

**S2.18.** **When the information is reconciled between the downloaded information and the Bank Statement:** The System@DMT is updated with the information on the statement.

**S2.19.** Based on the updated information the Officer Responsible for Reconciling Receipts (OR-RR) will also obtain a Matched Collection Summary of the Selected Bank (Format SF2.6). (**Note:** This summary report will indicate the services provided for monies collected from the Specific Bank matched with the monies received from the Specific Bank).

**S2.20.** The OR-RR shall review the report and ensure all services provide are matched with monies received.

**S2.21.** The Report is approved by the Officer Responsible for Accounts and all exceptions investigated and corrected.

**S2.22.** Exceptions reports will also be taken by the Officer Responsible for Investigations and initiate investigations. Go To Process D

**S2.23.** On receipt of the DMT Bank Statement – the amount credited from the specific Bank are entered into the System@DMT.

**S2.24.** The System@DMT will tally these amounts with the Deposits confirmed by the specific Bank.

**S2.25.** A 'Reconciliation Report of Monies Received at Bank' is generated through the system.

**S2.26.** **For all Banks where the monies received reconcile:** with the Bank Statement:  the OR-RR could finalize the transaction between the Bank & DMT.

**S2.27.** **For all Banks where the monies received do not reconcile with the Bank Statement:** the transaction is kept pending and the OR-RR will discuss the matter with the bank.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**S2.28.** The OR-RR will follow-up the matter until the information is finalized or correct amounts received.

**S2.29.** Once corrected the transactions are once again uploaded onto the System@DMT and transactions confirmed.

**S2.30.** The Officer Responsible for Investigations will obtain a Periodic Report of Transactions in Pending Status and investigate for delays in reconciling. Go To Process D.

### Collecting Payment @ DS Office and Reconciliation

**S2.31.** Every DS is requested to submit a certified statement (and an electronic version) of the monies collected for a specified period and transferred to DMT either through the Bank or Treasury Summaries.

**S2.32.** On receipt of the information from the DS the OR-RR will upload the information to a temporary location in the System@DMT and generate a report through the System of the monies collected by the DS on account of applications received from the respective DS for the specified period (Monies Collected at DS Report Format SF2.3).

**S2.33.** The 'Monies Collected at DS Report' is compared with the report received from the DS and the amounts are checked and reconciled.

**S2.34.** If the amounts in the report reconcile with the statement the System@DMT is updated with the monies that have been transferred.

**S2.35.** Any monies not received as per the 'Monies Collected at DS Report' is followed up with the respective Accountant@DS and the statement is maintained in 'Pending Form'.

**S2.36.** Based on the updated information the Officer Responsible for Reconciling Receipts (OR-RR) will also obtain a Matched Collection Summary of Selected DS Transactions (Matched Collection Summary of Selected DS Transactions Format SF2.4). (**Note:** This summary report will indicate the services provided for monies collected from the Specific DS matched with the remittances made at the DS).

**S2.37.** The OR-RR shall review the report and ensure all services are matched.

**S2.38.** The Report is approved by the Officer Responsible for Accounts and all exceptions investigated and corrected.

**S2.39.** Exceptions reports will also be taken by the Officer Responsible for Investigations and initiate investigations. Go To Process D

**S2.40.** An exception report is also generated for monies received from DS outside of the specific period specified by the DS.

**S2.41.** The Report is reviewed by the Officer Responsible for Accounts (OR-A).

**S2.42.** The OR-A will investigate and after confirming the details in the transaction will accept the monies.

---

**Exceptions**

*S2.31: The Format of the Statement must be agreed with the DS.*

*S2.42: The System@DMT must ensure that the information is not duplicated when uploading future information.*

**S2.43.** A report is sent to the Accountant@DS confirming monies received from the DS outside the defined specified period.

### Collecting Payment @ DMT District Office and Reconciliation

**S2.44.** Every District Secretariat (DisS) is requested to submit a certified statement (and an electronic version) of the monies collected for a specified period and transferred to DMT either through the Bank or Treasury Summaries.

**S2.45.** On receipt of the information from the DisS the OR-RR will upload the information to a temporary location in the System@DMT and generate a report through the System of the monies collected by the DisS on account of applications received from the respective DS for the specified period (Monies Collected at DisS Report).

**S2.46.** The 'Monies Collected at DisS Report' is compared with the report received from the DisS and the amounts are checked and reconciled.

**S2.47.** If the amounts in the report reconcile with the statement the System@DMT is updated with the monies that have been transferred.

**S2.48.** Any monies not received as per the 'Monies Collected at DisS Report' is followed up with the respective Accountant@ DisS and the statement is maintained in 'Pending Form'.

**S2.49.** Based on the updated information the Officer Responsible for Reconciling Receipts (OR-RR) will also obtain a Matched Collection Summary of Selected DisS Transactions (Matched Collection Summary of Selected DisS Transactions Format SF2.4). (**Note:** This summary report will indicate the services provided for monies collected from the Specific DisS matched with the remittances made at the DisS).

**S2.50.** The OR-RR shall review the report and ensure all services are matched.

**S2.51.** The Report is approved by the Officer Responsible for Accounts and all exceptions investigated and corrected.

**S2.52.** Exceptions reports will also be taken by the Officer Responsible for Investigations and initiate investigations. Go To Process D

**S2.53.** An exception report is also generated for monies received from DisS outside of the specific period specified by the DisS.

**S2.54.** The Report is reviewed by the Officer Responsible for Accounts (OR-A).

**S2.55.** The OR-A will investigate and after confirming the details in the transaction will accept the monies.

**S2.56.** A report is sent to the Accountant@ DisS confirming monies received from the DS outside the defined specified period.

**S2.57.** End

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**Collecting Payment through LANKA GATE Payment Gateway**

**S2.58.** The Applicant will log onto the Lanka Gate Payment Gateway and enter the Payment Instruction details and effect the payment using the Payment Gateway.

**S2.59.** The System@DMT will validate the Payment Instruction details and update the information on the System@DMT.

**S2.60.** The System@DMT will thereafter generate a receipt (Format SF2.1) to the applicant.

**S2.61.** The System@DMT will maintain the money collected as the money being collected through LANKA GATE.

**S2.62.** On a daily basis the Officer Responsible for Lanka Gate will generate a Collection Summary Report (Collection Summary Report Format – SF2.2) through the System@DMT.

**S2.63.** The Officer Responsible for Reconciling Receipts (OR-RR) will also obtain a Matched Collection Summary of Lanka Gate Transactions (Format SF2.3). (**Note:** This summary report will indicate all services provided for monies collected through LANKA GATE matched with the receipts issued for LANKA GATE).

**S2.64.** The OR-RR shall review the 'Daily Service Provided Report' sorted by Bank (Format SF2.4) and ensure all services provide are matched with receipts (for payments made through the LANKA GATE).

**S2.65.** The OR-RR will also review the 'Services NOT Provided for Monies Received Report' (Format SF2.5) sorted by Bank.

**S2.66.** The Reports are approved by the Officer Responsible for Accounts and all exceptions investigated and corrected.

**S2.67.** Exceptions Reports will also be taken by the Officer Responsible for Investigations and initiate investigations. Go To Process D.

**S2.68.** END

*S3.1: The Applicant will identify the Officer authorized to bring the information to DMT.*

*S3.2: If the data submitted is incorrect the meta data is altered.*

*S3.3: A method should be available for different modes of payment.*

*S3.4 If entered Meta Data is incorrect and documents are correct - the OR-AD will amend the Meta Data and obtain the approval of the OR-Approving.*

*S3.5: If all documents are not received the Officer@DMT will make a note of same on the system.*

*S3.7: If full document is not scanned – the pages to be scanned are entered onto the System@DMT*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## *Process S3: Accepting documents*

**Accepting of Documents at DMT Head Office/District Office**

> **Note:** It is currently assumed the DMT District Offices will have the authority to carryout all the transactions carried out at the DMT Head Office.
>
> It should also be possible to de-centralize the transactions to specific Divisional Offices as may be decided from time to time.
>
> However, every office to which the powers of the DMT will be decentralized will have on-line connectivity with the Central Office.

**S3.1.** On entering the DMT Office the Officer Responsible for the Customer Support (OR-CS) will scan the Appointment Acknowledgement into the System@DMT and assign the Customer a Token Number which is printed through the system@DMT.

**S3.2.** The Officer Responsible for Accepting Documents (OR-AD) @DMT will call the subsequent applicant based on the next token number assigned by the System@DMT. The applicant will identify himself (based on the information on the System@DMT and the ID Card or DL). (**Note:** It will be useful to indicate the Current Applicant Token Number and Counter the token is being served).

**S3.3.** The OR-AD@DMT will collect all documents as specified in the Application Acknowledgement (as well as his identity) and recall the details of the document requirements specified within the System@DMT.

**S3.4.** The OR-AD will thereafter confirm the Meta Data submitted by the Applicant is correct for each document together with the authenticity of the document by confirming acceptance of the document on the System @DMT.

**S3.5.** The OR-AD@DMT will thereafter capture the Payment Confirmation details (Meta Data) and associate with the Application Acknowledgement Number.

**S3.6.** The OR-AD@DMT will thereafter generate the Application through the System@DMT and obtain the signature of the Authorized Officer. (**Note:** The Application will have the Barcode generated on the application to uniquely identify the application)

**S3.7.** The OR-AD@DMT will verify and update the System@DMT confirming all documents are received.

**S3.8.** The OR-AD@DMT will thereafter decide on the documents to be retained at DMT and a Barcode is generated through the system@DMT and pasted on the relevant documents to be retained. (Refer annexure SA3.1 for a listing of documents required for each transaction).

**Exceptions**

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**S3.9.**  For each document the number of pages to be scanned is entered into the System@DMT. (**Note:** If all pages in the document are not scanned the OR-AD will indicate the page numbers to be scanned).

**S3.10.**  The System@DMT will generate a Document Acceptance Note (Document Acceptance Note Format – SF3.1) which is signed by the OR-AD and handed over to the Applicant.

**S3.11.**  The System@DMT then permits the scanning of the documents.

**S3.12.**  The Certified Documents are handed over to the Officer Responsible for Scanning Documents (OR-SD) at DMT to Scan.

**S3.13.**  END.

| Exceptions |
| --- |

*S3.12: It is also assumed the types of transactions to be carried out at the DS Office are pre-defined.*

*S3.22 If application is already signed the OR-AD @DS will obtain a 'Signature Card' (Format SF3.3).*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

Confidential Final Report

**Accepting of Documents at DS Offices**

**Note:** It is assumed that the DS Office will connect with the System @DMT to update documents collected for transmission to the DMT to process the Application.

The DMT has defined in advance the documents that could be accepted at the DS Office. (Annexure SA3.1)

It is assumed the Applicant has logged a request and obtained an application.

It is assumed that an Officer of the DMT will be attached to the DS Office.

It is assumed most of the DS Offices are connected with the DMT on an On-Line basis or Information is shared between the DMT and the DS on a periodic basis.

**S3.14.** The Applicant will bring the acknowledgement and documents stated therein to the DS Office to submit to the DMT Office.

**S3.15.** The Officer Responsible for Accepting Documents (OR-AD@DS) at the DS Office will log into the DMT-DS Module (DMT-System@DS) using the DS Office user name and password and enter the identity details of the person visiting the DS Office.

**S3.16.** The OR-AD@DS will indicate the Acknowledgement Reference and the type of transaction and enter the documents accepted. (**Note:** The DMT-System@DS should permit multiple transactions to take place for a single applicant – if such applicant has logged multiple transactions)[28].

**S3.17.** The OR-AD@DS will thereafter update the DMT-System@DS with the documents accepted together with the pre-defined Meta Data for each document.

**S3.18.** The DMT-System@DS will generate a 'Payment Instruction @ DS' (Format SF3.2) for all transactions requested by the Applicant.

**S3.19.** The Applicant is requested to make payment to the DS – Cashier and obtain a 'Receipt'. (**Note:** It should be possible to have one receipt for multiple transactions or Payment Instructions).

**S3.20.** The Applicant will hand over the 'Receipt' to the OR-AD@DS.

**S3.21.** The OR-AD@DS will enter the details of the 'Receipt' into the DMT-System@DS by capturing the Payment Instruction References(s), DS Division, Amount and Date.

**S3.22.** OR-AD@DS will print the application and request the Applicant to sign the Application.

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[28] When the DS Office is connected with the DMT Office – the information of the specific Application is recalled and the documents received are updated.

Government Process Re- Engineering (GPR) Assignment for Department of Motor Traffic, e-Motoring Project.

**Confidential Final Report**

**S3.23.** The OR-AD@DS will generate Barcodes (Annexure SF3.3 for format of DS Barcode) and place it on the documents received from the applicant.

**S3.24.** The OR-AD@DS will generate a 'Document Acknowledgement @ DS', (Format SF3.4) certify and handover same to the Applicant as confirmation of accepting the documents. (**Note:** All details pertaining to the Document Acknowledgement should be uploaded on the DMT-System@DS at point of synchronization).

**S3.25.** The Application related to the document acknowledgement is place in 'Documents Pending Transfer to DMT Status.

**S3.26.** On a pre-defined periodic basis – the OR-AD@DS will generate the 'Document In-Hand at DS' (Format SF3.5) report based on the Document Acknowledgements generated at the DS after the previous transfer of documents.

**S3.27.** Based on the Document In-Hand at DS Report, the OR-AD@DS will gather the documents as per the listing and sign the report as confirmation of the completeness of the documents.

**S3.28.** Once all the documents (and Missing Documents Report) are collated and attached to the Documents in Hand @DS – the OR-AD@DS will update the DMT-System@DS of the documents being transferred.

**S3.29.** The DMT-System@DS will generate a 'Documents Transferred from DS' (Format SF3.7) Report with Document Transfer Reference Number. (**Note:** The Missing Documents Report Reference details should also be indicated on the report).

**S3.30.** The 'Documents in Hand @ DS' certified by the OR-AD@DS, the 'Missing Documents Report' and the 'Documents Transferred from DS' together with the documents to be transferred are handed over to the Officer Responsible to Approve the Document Transfer to DS (OR-ADT@DS)

**S3.31.** The OR-ADT@DS will review the 'Documents Transferred from DS' and the actual documents and sign same as confirmation of the documents being transferred to the DS under the specific Document Transfer Reference.

**S3.32.** The OR-ADT@DS will also update the system as confirmation of having approved the relevant 'Documents Transferred from DS' by recalling the 'Documents Transferred from DS' based on the Document Transfer Reference.

**S3.33.** The documents together with the 'Documents Transferred from DS' are posted to the DMT.

**S3.34.** The Registration Details of the letter are entered into the DMT-System@DS against the specific 'Documents Transferred from DS' reference (or could be taken to the DMT Office by hand – which should be updated on the DMT-System@DMT).

*S3.27 If any documents are missing the OR-AD@DS will update the DMT-System@DS of the missing documents and generate the Missing Documents Report (Format SF3.5(a)).*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**Receiving Documents from DS by Post**

**S3.35.** On receipt of the documents at the DMT – the Officer Responsible for Accepting Postal Documents (OR-APD) will recall the information on the System@DMT based on the specific 'Documents Transferred from DS' Reference Number.

**S3.36.** The OR-APD will check and certify all documents indicated in the relevant 'Documents Transferred from DS' is received as well as the accuracy of the Meta Data identifying the document. (**Note:** The details of the documents will be captured using the barcode pasted on the documents and the status of each application is updated to 'Documents Received @ DMT').

**S3.37.** **Any documents not received** are also indicated on the System@DMT by the OR_APD and a 'Document Shotage Note from DS' (Format SF3.8)is generated to the OR-ADT@DS informing of the shortage of documents – which is signed by the OR-APD. (**Note:** An investigation is initiated to check for any missing documents at either DS or DMT).

**S3.38.** The OR-APD will decide on the documents to be retained and the system@DMT is updated and Barcode generated and place on the documents to be retained.

**S3.39.** When accepting the Receipt the System@DMT will be updated as an income for the DMT and reconciled as per Support Process S2: Collection and Reconciliation of Payments.

**S3.40.** The OR-APD will update the System@DMT confirming the documents to be scanned and the specific pages (if all pages are not scanned).

**S3.41.** The OR-APD will handover all the documents received are handed over for scanning. (Go To Support Process S4: Scanning of Documents).

**S3.42.** After scanning the documents the documents are received by the OR-APD and separated and sent to the relevant process for further action.

**S3.43.** The OR-APD will also generate a 'Document Receipt Confirmation from DS' (Format SF3.7) for the documents received from DS through the System@DMT.

**S3.44.** The Document Receipt Confirmation from DS is thereafter signed by the OR-APD as confirmation of receiving the documents.

**S3.45.** The signed Document Receipt Confirmation from DS is posted to the relevant OR-AD @ DS.

**S3.46.** The confirmation details are also updated on the DMT-System@DS through the information transfer between the DMT and DS.

**S3.47.** As the status of the application progresses the DMT-System@DS is continuously updated.

**S3.48.** END.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

*Process S4: Scanning of documents*

**Scanning of Documents**

**S4.1.** The OR-SD will recall the details of the documents to be scanned.

**S4.2.** From within the documents to be scanned – the OR-SD will select the document to be scanned into the System@DMT (one document at a time and pages as indicated within the System@DMT) including special scanning (e.g. signature scans, Photograph scan, etc.).

**S4.3.** The OR-SD will thereafter verify the specific document has been scanned completely and accurately.

**S4.4.** Once the document has been scanned completely and accurately the OR-SD will place his 'Digital Signature' as confirmation of the accuracy of the scanning[29]. (**Note**: If the Document has already a Digital Signature (e.g., 2nd round) the Inaccurate Scan will also be maintained within the system@DMT – and the System@DMT should also indicate the existence of such inaccurate scans and give access to authorized persons).

**S4.5.** Once all available documents are scanned into the System@DMT the OR-SD will verify the completeness of the documents scanned.

**S4.6.** The OR-SD will thereafter confirm that all documents required for scanning have been scanned by placing his 'Digital Signature'.

**S4.7.** The Application & all Documents are passed on to the OR-CD.

**S4.8.** The OR-CD@DMT will review the scanned documents and ensure they are scanned completely and accurately.

**S4.9.** **If the documents are NOT scanned completely or accurately** – the OR-CD will make a note of the document and/or the specific page to be re-scanned on the System@DMT and returned to the OR-SD. Go To S4.1.

**S4.10.** **If the documents have been scanned correctly:** the OR-CD will certify the Documents have been scanned Completely and Accurately by placing his Digital Signature

**S4.11.** End

*S4.2 If documents are NOT available for scanning the System@DMT is updated with the details of documents NOT available.*

*S4.3 If the documents are NOT scanned correctly the OR-SD should be able to identify the specific document or page within the document and re-scan.*

*S4.6 Once the 'Digital Signature' is placed by the OR-SD the scanned document cannot be deleted. However with the authority could be replaced – while the original is retained.*

*S4.11: If the documents are NOT scanned correctly the OR-ApD will make a note of the document and/or the specific page to be re-scanned on the System@DMT and returned to the OR-SD. Go To S4.1.*

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[29] It should be possible to place the Digital Signature document by document or for a set of documents related to the specific application.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## *Process S5:  Managing of DMT Appointments*

**Note:**  This process should be available for all offices that operate the System@DMT.

**Exceptions**

### Meeting DMT Officer

**S5.1.**  On a daily basis each individual officer will log onto the System@DMT with his name, password.

**S5.2.**  Based on the information already available the system@DMT will determine the role assigned to the officer for the day. (**Note:** Follow the process 'Assigning of Roles on the System@DMT)

**S5.3.**  The information will be verified by the System@DMT to ensure the officer logging in has been assigned the role for the specific day. (**Note:** Roles will be assigned based on the Role Management Process).

**S5.4.**  The Officer Responsible for The Role (OR-TR) will be assigned the next token number.

**S5.5.**  The OR-TR will be able to access the data assigned to the next token number assigned to him.

**S5.6.**  At end of day the System@DMT will generate a report of all the appointments fulfilled for the day.

**S5.7.**  END.

### Appointments NOT Fulfilled

**S5.8.**  For those appointments NOT fulfilled – the System@DMT will generate a SMS Message requesting the applicant to contact the Officer Responsible for Rescheduling Appointments (OR-RAp) @DMT (with Role & Number of person to contact) to decide on future action.

**S5.9.**  The OR-RAp will check if the applicant requires to continue with the application and if so, the OR-RAp will schedule an appointment in consultation with the applicant and the applicant is informed to log onto the System@DMT and obtain the 'Appointment Confirmation'

**S5.10.**  **If Applicant cannot make appointment immediately:** The OR-RAp reset the System@DMT to permit the applicant to make new appointment and obtain the 'Appointment Confirmation' for the new date.

**S5.11.**  **END**

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**Assigning of Roles on the System@DMT**

**Note:** Employees of the DMT will be assigned to specific offices and the Main Supervising Officer of the specific DMT Office will have the final responsibility of assigning the Roles for his employees. However, the Supervising Officer may delegate the responsibility of assigning Roles to another Officer attached to the same specific DMT Office or the Head Office.

**S5.12.** The Officer Responsible for DMT will initially identify the Roles each employee could perform and complete 'Applicable Roles for Employee' Form (Format SF5.3).

**S5.13.** The Applicable Roles for Employee Form is thereafter reviewed and approved by the Chief Executive Officer of the DMT.

**S5.14.** Based on the approved Applicable Roles for Employee Form the details are captured into the system@DMT and the Applicable Roles for Employee Form is scanned into the system@DMT and the document is filed in the employee's personal file. (**Note:** There could be situations where the employee is assigned for many roles but not yet ready to perform – pending the required training).

**S5.15.** When the employee is ready to perform in the specific role the Officer Responsible for Assigning Roles will complete the 'Confirmation of Role Assignment Form' (Format SF5.4) and obtain the concurrence of the employee and the approval of the Officer Responsible for DMT.

**S5.16.** Based on the Confirmation of Role Assignment Form the system@DMT is updated and the Confirmation of Role Assignment Form is scanned into the system@DMT and the Confirmation of Role Assignment Form is filed in the relevant employee file.

**S5.17.** As may be required the Officer Responsible for Assigning Roles (OR-ARo) will Add, Delete employees to/from a role for which they have already been approved to perform. (**Note:** An employee may be assigned for a specific period or on a permanent basis)[30].

**S5.18.** END.

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[30] All additions and deletions of Roles must be tracked by the system@DMT and an Audit Report generated with all changes done on the Roles for Inspection by the Officer Responsible for supervising the OR-ARo.

Government Process Re- Engineering (GPR)                      **Confidential Final Report**
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Creating of New Roles on the System@DMT**

> **Note:** It should be possible to add new roles and employees as well as de-activate existing roles and employees. Even after an employee has left the organization his details should be maintained.

**S5.19.** The Officer Responsible for Creating New Roles (OR-CNR) based on the requirements of the organization should be able to add new roles to the System@DMT. (Refer format SF5.5 for role opening format).

**S5.20.** The OR-CNR will there after insert the new role within the workflow.

**S5.21.** Thereafter the OR-CNR will be able to assign the specific employees to the given role.

**S5.22.** END

**Removing existing Roles on the System@DMT**

> **Note:** It should be possible to remove roles and employees from a given role. Roles removed will also be deactivated within the workflow.

**S5.23.** Once it is decided to remove a role from the system@DMT, the Officer Responsible for removing existing roles (OR-RER) will analyse all the points the role interacts within the work flow.

**S5.24.** If the role could be removed from all the points it interacts with the workflow – the OR-RER will remove the role from the system. (**Note:** all employees from the removed role and all points the role interacts with the workflow will be deactivated).

**Re-assigning of Responsibilities within a Role**

> **Note:** It should be possible for the supervisor of a role to re-assign responsibilities to more or less employees within a role depending on the load at a given time.

**S5.25.** End

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## Process Support 6:   Applicant CANNOT satisfy DMT Requirements

**Note:**   When an applicant does not have all the documents identified by the system@DMT, or wants to extend the validity of a Pending Application the applicant is required to make an appointment with the Officer Responsible for Modifying DMT Requirements (OR-MDR) and if approved have the requirement modified.

| | **Exceptions** |
|---|---|

**S6.1.**   An applicant who does not have the required documents requested by the system@DMT or that required by the OR-RA, or cannot satisfy any other requirement the applicant is requested to log into the System@DMT and request for an appointment with the OR-MDR.

**S6.2.**   Based on time availability the system@DMT will make the appointment and generate an 'Appointment Acknowledgement'. **(Note:** If an authorized representative of the applicant is visiting the DMT the identification details of the representative should be captured into the system and stated in the 'Appointment Acknowledgement'.

**S6.3.**   The Applicant will visit the DMT and meet the OR-MDR.

**S6.4.**   Based on the reasons presented by the Applicant the OR-MDR will make a decision as to whether the requirements could be modified.

**S6.5.**   **If requirements cannot be modified:** The OR-MDR will inform the applicant the requirements have not been modified. If the requirement is related to documents - the Applicant is also informed how the document could be obtained.

**S6.6.**   The System@DMT is updated by the OR-MDR confirming the Applicants request, the decision not to modify the requirement and the reasons for the decision or inform him that the DMT would revert after making a Policy Decision on the matter.

**S6.7.**   **If Policy Related Matter:** On receipt of the outcome of the Internal Query – the OR-MDR will update the system@DMT with the decision made at policy level.

**S6.8.**   The OR-MDR will request the system@DMT to generate the 'Confirmation of Requirement Modification' (Format SF6.1) indicating the requirements have not been modified and handover same to the Applicant (or posted if the applicant is not present at the DMT Office). Go To S6.16.

**S6.9.**   **If requirements are modified:** The OR-MDR will inform the Applicant of the modified requirement – and if related to documents the modified document requirements.

*S6.5 If the request requires a policy decision an 'Internal Query' is raised and passed onto* **Process E.**

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**Exceptions**

**S6.10.** The OR-MDR will update the system@DMT confirming the applicants request and reasons for same, the modified requirements agreed (which may even mean excluding certain documents) and the reasons for such a decision.

**S6.11.** The Officer Responsible for Approving Requirement Modification (OR-ARM) at DMT will review information entered by the OR-MDR and decide to approve.

**S6.12.** **If recommended document modification is approved:** The OR-ARM will approve same on the system@DMT.

**S6.13.** The authority to action is passed on to the OR-MDR. Go To S6.8.

**S6.14.** **If recommended documents are NOT approved:** The OR-ARM will enter his observations and recommendations for alternate requirements (including alternate documentation) or reject the recommendation – together with the reasons for the amendment or rejection.

**S6.15.** The authority to action is passed on to the OR-MDR. Go To S6.7.

**S6.16.** End

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## Process7:    *Returning of Physical Documents*

**Note:**    This Process will define the procedure for returning the Physical Documents to the Applicant after the required information has been scanned.

**Returning of the Physical Documents at DMT**

**S7.1.**    On receipt of the document to be returned – the Officer Responsible for Returning of Documents (OR-RD) @DMT will update the System@DMT confirming the documents have been received to be returned Applicant are accepted and placed in a Temp Storage Point.

**S7.2.**    The System@DMT will display the DA Numbers of documents received for returning on a screen (visible to the Applicants).

**S7.3.**    Based on the DA Numbers displayed, the OR-RD will call the applicant to the Document Returning Counter.

**S7.4.**    The Applicant will present the 'Document Acknowledgement' (DA) to the OR-RD@DMT

**S7.5.**    Based on the DA, the OR-RD will gather the Physical Documents from the Temporary Storage Location.

**S7.6.**    The OR-RD will generate a 'Documents Returned to Applicant' (Format SF7.1) Report from the System@DMT confirming the documents being returned to applicant and the documents being retained by DMT.

**S7.7.**    The OR-RD will handover the Physical Documents and 'Documents Returned to Applicant to the Applicant (or his authorized agent) and obtain his signature on the 'Document Acknowledgement' that was issued to the Applicant when accepting the documents as confirmation of the documents being returned.

**S7.8.**    The OR-RD will update the System@DMT confirming the physical documents have been returned (including date documents were returned) and the 'Document Acknowledgement' (signed by the Applicant) is scanned into the System@DMT. Thereafter the Document Acknowledgement is shredded.

**S7.9.**    **If Number Plates have to be subsequently Collected:** The OR-RD@DMT will verify with the Applicant to ensure the arrangements mentioned in the 'Number Plate Collection Instruction' is OK.

**S7.10.**    On a daily basis - the OR-RD will generate a 'Statement of Returned Documents' (Format SF7.2) sorted by the OR-CD who handed over the documents, and attach the signed 'Document Acknowledgements' (DA) to the statement.

### Exceptions

*S7.1 If documents are NOT received as per the information in the System@DMT the system is updated and documents immediately returned to the Officer who transferred the documents for returning.*

*S7.6: When the Authorized Officer of the Applicant is NOT present to sign the 'Document Acknowledgement' the documents are retained for one week and thereafter posted.*

*S7.9 If NOT OK – the OR-RD will discuss with the applicant and modify the information as required and a new 'Number Plate Collection Instruction' is generated and handed over to the applicant.*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**S7.11.** The OR-RD will sign the 'Statement of Returned Documents' as confirmation of attaching all 'Document Acknowledgement' and sent to the relevant OR-CD.

**S7.12.** The OR-CD will confirm on the System@DMT the receipt of the Statement and DAs which will be filed in date order. (The Document Acknowledgement will be shredded by the OR-CD).

### Returning of Documents to DS

**S7.13.** On completing the Transaction the Officer Responsible for Certifying Dcouments (OR-CD) – will recall 'Document Acknowledgement' details relevant to the Application through the System@DMT.

**S7.14.** The OR-CD will update the System@DMT with all the documents to be returned to DS. (**Note:** The OR-CD will be able to add new document to the list that are being returned to the DS).

**S7.15.** The documents not returned are updated on the system@DMT.

**S7.16.** Based on the information entered by the OR-CD the System@DMT will generate a 'Document Return Note to DS' (Format SF3.7) where the Bar code of the DS is printed.

**S7.17.** The OR-CD will sign the Document Return Note to DS as confirmation of the documents being transferred to the DS, inserted into an envelope and handed over to the Postal Unit responsible for the Dispatch of Documents to DS.

**S7.18.** The Officer Responsible for Dispatch of Documents to DS (OR-DD) will accept the envelope for dispatch and scan the barcode of the Document Return Note to DS as confirmation of receiving the document for dispatch. The status of the application is updated to 'Completed and Ready for Dispatch'.

**S7.19.** The envelopes are retained in a Special DS Docket – until the documents are posted.

**S7.20.** On Periodic Basis: The OR-DD will take a docket at a time and scan the barcodes of the envelopes available for dispatch and generate 'Document Dispatch Note'.

**S7.21.** The envelopes are attached to the 'Document Dispatch Note' and prepared for Posting or handing over to a messenger. (For documents to be posted Go To 'Posting of Documents' Process).

**S7.22.** The System@DMT will now transfer the details contained in the 'Document Return Note to DS' to the relevant DMT-System@DS.

### Preparing Letters for Postage @ individual units

**S7.23.** All letters generated to be posted should have a Barcode Reference.

**S7.24.** The Officer Responsible to sign the Letter.

**Exceptions**

*S7.18 If all enevelopes transferred to the OR-DD is not acknowledged within the day an error message is generated by the System@DMT and investigated.*

*S7.20 If all the envelopes are not available as per the System@DMT a error message is generated – which will require investigation.*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**S7.25.** Thereafter the letter is placed in an envelope.

**S7.26.** The Officer Responsible to Dispatch Letters to Postal Division (OR-DLP) will open a 'Documents Dispatched to Postal Division Form' and scan the Barcode of the letters ready for dispatch.

**S7.27.** The System@DMT will associate the Barcodes scanned with the specific 'Documents Dispatched to Postal Division Form'.

**S7.28.** On completing the scanning of all bar codes: the system@DMT will print the 'Documents Dispatched to Postal Division Form'.

**S7.29.** The OR-DLP will attach the letters to the 'Documents Dispatched to Postal Division Form' and transfer to the Postal Dispatch Division.

### On Receipt of 'Documents Dispatched to Postal Division Form' @ Postal Dispatch Division

**S7.30.** The Officer Responsible for Postage of Documents will scan the 'Documents Dispatched to Postal Division Form' Barcode and recall the information and verify against the letters received.

**S7.31.** If all letters are received the 'Documents Dispatched to Postal Division Form' is accepted on the system and the Physical Document accompanying the letters are signed and returned to the OR-DLP.

**S7.32.** The letters so received are placed for posting.

### Postage of Documents

**S7.33.** On a daily basis the Officer Responsible for Postage of Documents will open a Registered Post Listing (Registered Post Listing Format SF3.9) for the documents ready for dispatch and scan into the system@DMT the letters ready for dispatch.

**S7.34.** Based on the details of the letters scanned the 'Registered Post Listing' is gathered through the System@DMT.

**S7.35.** The letters are attached to the 'Registered Post Listing' and sent to the Post Office.

**S7.36.** The Post Office will update the Registration Number of each Letter.

**S7.37.** Based on the Registration Number certified by the Post Office the OR-DD will update the system@DMT with the Registration Number for each Registered Letter. (There would be two listings – one for Colombo and one for outstations. The details of registrations numbers should be auto assigned when starting number and ending number is given or individually assigned).

**S7.38.** The Registered Post Listing certified by the Post Office is retained by the OR-DD on a daily basis.

**S7.39.** END.

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**Exceptions**

**Exceptions**

*S7.41 Any documents NOT received under a specific 'Documents Returned by DMT' is also updated on the DMT-System@DS. The OR-I will initiate an investigation on such shortages.*

*S7.48 If the document cannot be located – OR-HOD@DS will generate a 'Document Misplaced @DS' form and hand over to the applicant. Based on the 'Document Misplaced @DS' an investigation is initiated by the OR-I.*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**Receiving of Documents at DS**

**S7.40.** On Receipt of the 'Documents Returned by DMT' and the relevant Documents at DS – the OR-AD@DS will log onto the DMT-System@DS and recall the documents transferred within the specific 'Documents Returned by DMT' reference.

**S7.41.** The OR-AD@DS will update the DMT-system@DS confirming the receipt of the specific documents under each 'Documents Returned by DMT'.

**S7.42.** The documents are now retained to be handed over to the applicant.

**Policy Issues:**

- It was decided that the documents will be retained for a defined period and thereafter posted. (The date documents will be ready for collection will be informed to the applicant at the time of submitting the documents to the DS).
- It was decided that separate letters should be sent to the DS.
- The DS will check the documents before they are handed over or posted.

**Handing over the Physical Documents to the Applicant @ DS**

**S7.43.** When applicant arrives at the DS the Officer Responsible for Handing Over Documents (OR-HOD@DS) – will identify the applicant and enter his details into the DMT-System@DS.

**S7.44.** Thereafter the OR-HPD@DS will recall the details of the letters not yet handed over.

**S7.45.** The OR-HOD@DS will next identify the documents applicable to the specific applicant.

**S7.46.** The OR-HOD@DS will generate a 'Documents Handed Over to Applicant from DS' (Format SF7.xx).

**S7.47.** The OR-HOD@DS will obtain the signature of the applicant and hand over the documents.

**S7.48.** The OR-HOD@DS will update the system confirming the documents have been handed over to the applicant.

**S7.49.** The duly signed 'Document Handed over to Applicant from DS Form' is filed in date order by the OR-HOD@DS.

**S7.50.** END

**Exceptions**

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**Documents Returned from Postal Department**

**S7.51.** When the documents are returned from the Postal Department – the details of the documents returned are entered into the system and a tracking number assigned.

**S7.52.** The documents so returned are stored in tracking number order.

**S7.53.** When the applicant or the authorized representative of the applicant visits the point of delivery, the 'Documents Returned to Applicant' note is printed, the signature of the applicant obtained and the documents handed over to the applicant.

**S7.54.** End

**Note:** The documents to be returned will be sent by a DMT Officer to the DS and the applications collected at the DS will be accepted and brought to the DMT District Office.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

### Support Process S8: Manufacture & Issue of Number Plates

**Note:** It was decided that this process will be outsourced in the long term. However the process will be defined as an intermediate solution for manufacture and issue of number plates.

**Instructions to Manufacture of Number Plates and Distribution**

| | | Exceptions |
|---|---|---|

**S8.1.** Based on the details captured in the application and the amounts paid – when OR-AA@DMT approves the application – the system will generate a message that will request for the manufacture of the Number Plates from the Number Plate Company or their regional agents[31].(**Note:** The list of shortage/damaged Number Plates identified in the process will also be included for manufacture).

*S8.1: The System@DMT should provide the data to the Number Plate Manf. Company based on their current systems.*

**S8.2.** The Number Plate Company will thereafter manufacture the Number Plate based on the instructions received. (**Note:** The manufacturer should use the plates in Serial Number order for each type of plate[32])

*S8.2 The Number Plates may also include the sticker based on the type of Number Plate being manufactured.*

**S8.3.** Once completed the Number Plate Company will enter the Serial Numbers of the Plates corresponding to the Vehicle/Garage Number into the System@DMT[33] and generate a 'Number Plate Dispatch Instruction Note' (Format SF8.1) sorted by the location (requested by the applicant) for handing over to the Applicant. The serial numbers of the damaged plates are also entered into the System@DMT. (**Note:** A 'Number Plate Dispatch Instruction Note' is also prepared for Damaged Plates).

*S8.3: The Number Plate Manf. Company must provide details of all the number plates used/ damaged with Serial Numbers.*

**S8.4.** The Number Plate Manufacturer will sort the Number Plates by 'Number Plate Dispatch Instruction Note'.

**S8.5.** The 'Number Plate Dispatch Instruction Note' is signed by an Authorized Officer of the Number Plate Manufacturer as confirmation of the accuracy of the information as well as the completeness of the Number Plates being handed over to the DMT.

**S8.6.** The 'Number Plate Dispatch Instruction Note' and the corresponding Number Plates are handed over to the Officer Responsible for Number Plate Dispatch (OR-NPD) at DMT. (**Note:** The damaged plates will be retained by the manufacturer for destruction under DMT supervision).

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[31] As the DMT Services are being de-centralized – the Manufacture of Number Plates should be decentralized to provide the superior service to the citizen.

[32] The System@DMT should maintain the Serial Number Series for the different types/sizes of plates and when the numbers are NOT used in order an Exception Report should be generated for the Officer Responsible for Investigations and initiate an Investigation into same.

[33] The System@DMT should permit the capture of the Serial Numbers in stock (series may differ based on the size of the plate).

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**S8.7.** On Receipt of the 'Number Plate Dispatch Instruction Note' the OR-NPD @DMT will recall the information on the System@DMT based on the Number Plate Dispatch Note Number and verify the Number Plates Received and update the System@DMT confirming the receipt of the Number Plates. (**Note:** Any shortages are entered into the System@DMT and an investigation initiated).

**S8.8.** The OR-NPD will also verify if all Number Plates up to the Cut-Off point indicated on the 'Number Plate Dispatch Instruction Note' have been manufactured by generating the 'Non-Manufactured Number Plate' (Format SF8.2) Report.

**S8.9.** Based on the information entered into the System@DMT the OR-NPD will generate the 'Number Plate Shortage Report' (Format SF8.3) indicating the Short Number Plates. (**Note:** A single Number Plate Shortage Report could have information relating to multiple 'Number Plate Dispatch Instruction Notes' and also indicate the Serial Numbers that have been missed – if any).

**S8.10.** The 'Number Plate Shortage Report' is signed by the Officer Responsible for OR-NPD at DMT as confirmation of the shortages within the specific batch.

**S8.11.** The 'Number Plate Shortage Report' and the damaged Number Plates are handed over to the Number Plate Manufacturer to Manufacture. Go To S8.1.

**S8.12.** **For the Number Plates Received:** The OR-NPD will thereafter generate the 'DMT Number Plate Dispatch Instruction by Location' (Format SF8.4) (excluding the identified shortages) and attach the respective Number Plates to the dispatch note.

**S8.13.** Each 'DMT Number Plate Dispatch Instruction by Location' and Number Plates are handed over to the Courier Company by the OR-NPD. (**Note:** The Number Plates to be handed over at the DMT Distributing Office are given to the Officer Responsible to Handover Number Plates (OR-HNP) at relevant DMT Office.

**Receiving Number Plates @ DMT and Handing Over to the Applicant**

**S8.14.** When Number Plates are received by the OR-HNP at DMT or any other Location, the OR-HNP will confirm the receipt of the Number Plates relevant to the specific 'DMT Number Plate Dispatch Instruction by Location'.

**S8.15.** **If there are any Shortages and Damages:** The OR-HNP will enter same against the specific 'DMT Number Plate Dispatch Instruction by Location' number.

**S8.16.** The OR-HNP will generate the 'Shortage/Damage Number Plate @ Location' (Format SF8.5) Report – which is signed as confirmation of the Shortage/Damage and attach the Damaged Number Plates and handover

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

Confidential Final Report

to the courier (the following day) to return same to the OR-NPD at DMT.

**S8.17.** The OR-NPD (based on the information in the System@DMT) will investigate the shortage and enter a request from the Manufacturing Company to manufacture a new set of Number Plates for those certified as Short/Damaged. Go To S8.1.

**S8.18.** **For Number Plates Received:** The OR-HNP will update the System@DMT with the Number Plates received. (**Note:** Any Number Plates received by mistake are returned to the OR-NPD (through the courier) after entering into the system @DMT).

**S8.19.** The Applicant will handover the 'Number Plate Collection Instructions' to the OR-HNP @Location.

**S8.20.** The OR-HNP will enter the Reference Details of the 'Number Plate Collection Instructions' and confirm the Number Plates have been received.

**S8.21.** **If Number Plate is ready for Handing Over:** The OR-HNP @Location will validate the identity of the person coming to collect the Number Plates by requesting the Applicant to sign the Number Plate Collection Instructions.

**S8.22.** **If Applicant's Identity is Validated:** The OR-HNP retain the duly signed Number Plate Collection Instructions and update the identity of the person collecting the Number Plate on the System@DMT and hand over the number plate. Go To S8.25.

**S8.23.** **One week after the due date for collection and Number Plates being received at the Location:** The System@DMT will generate a letter/e-mail and SMS to the Applicant informing him to collect the Number Plates. (**Note:** This is repeated on a weekly basis – the OR-HNP may also personally call the applicants who are delaying to collect the Number Plates). Go To S8.19.

**S8.24.** **On a periodic basis**: the Officer Responsible for the Location should generate a listing of Number Plates not issued and verify same with the Number Plates physically available at the location.

**S8.25.** END

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## *Process 9:    Inspect & Issue of Inspection Certificates for Vehicles/Factory*

**Note:**  This process will outline how an Applicant would make an appointment for inspecting the Vehicle or Manufacturing site and obtaining a Certificate. The cost involved will have to be paid prior to fixing the appointment for inspection.

**Request for Appointment to Inspect Vehicle or Manufacturing Site**

| | |
|---|---|
| | **Exceptions** |

**S9.1.**    The Applicant will log onto the System@DMT using Acknowledgement Reference Number.

**S9.2.**    The Applicant will thereafter indicate the type of Inspection required as specified in the 'Application Acknowledgement'.

**S9.3.**    Depending on the type of Inspection required the system will decide if the inspection needs to be done at Applicant Facility or DMT Facility.

**S9.4.    If Inspection @ DMT Facility:** The Applicant will enter the convenient location and date for the inspection into the System@DMT.

**S9.5.**    The system@DMT will verify the availability of the Officer Responsible for Performing Inspection (OR-PI) capable of conducting the Inspection and assign the Applicant to the specific Officer. Go To S9.12. (**Note:** The OR-PI may have different capabilities which should be understood by the System @DMT when assigning the OR-PI).

*S9.10 To re-schedule the appointment the Applicant is requested to contact the OR-AI and the appointment information on the System@DMT is modified.*

**S9.6.    If Inspection @ Applicant Facility:** The Applicant is required to enter the address of the facility and the District of the Facility. (**Note:** E-mail will be a Mandatory Field for such applications).

**S9.7.**    The request will be received by the Officer Responsible for Assigning Inspections (OR-AI).

**S9.8.**    The OR-AI will assign a OR-PI and the date for the inspection based on the availability and Travel Schedule of the OR-PI on the System@DMT. (**Note:** At the beginning of the month a Travel Schedule for the subsequent month must be prepared for each OR-PI visiting Applicant Facilities).

**S9.9.**    Once the Appointment is made the System@DMT will generate an e-Mail with the details of the appointment and an SMS to the applicant to review the mail and respond.

**S9.10.**    The Applicant will log onto the System@DMT and review the date of appointment.

**S9.11.**    Applicant (after any modifications – if required) will confirm the appointment on the System@DMT.

**S9.12.**    The System@DMT will generate an 'Inspection Acknowledgement' (Format SF9.1) and Payment Instruction.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**S9.13.** The Applicant will confirm Printing the documents.

**Effecting Payment and Confirming the Appointment**

**S9.14.** Prior to the date of the Inspection - based on the Payment Instruction the Applicant will affect Payment (as Per Process S2) and obtain a Receipt.

**S9.15.** The Applicant will thereafter log onto the System@DMT and enter the Receipt details.

**S9.16.** The Applicant is informed the 'Inspection Acknowledgement' and Receipt should be handed over to the OR-PI.

**Inspecting the Vehicle @ DMT Facility and Preparing Report**

**S9.17.** On a daily basis each OR-PI will generate the 'Inspections for the Day' Report (Format SF9.2) – which will give details of the Inspections to be performed, vehicle number and receipt details.

**S9.18.** Based on the 'Inspection Acknowledgement' the applicant will visit the DMT Facility with the Vehicle, 'Inspection Acknowledgement' and Receipt.

**S9.19.** The Officer Responsible for Reception at DMT Facility (OR-RDF) will collect the 'Inspection Acknowledgement' & Receipt from the customer and update the system@DMT – confirming the Applicant visiting the DMT Facility.

**S9.20.** The System@DMT will inform the OR-PI of the next Applicant. (**Note:** The System@DMT will select the next appointment based on the appointment time and the applicants who have already arrived).

**S9.21.** The System will generate the 'Inspection Form' (Format SFS9.3) for the Specific Inspection. (**Note:** It will be necessary to develop different types of forms based on the type of inspection).

**S9.22.** The OR-PI will validate the Receipt with the information on the Inspection Form any changes are noted on the Inspection Form.

**S9.23.** Thereafter inspection of the Vehicle (as required by the form) is carried out and details entered on the Inspection Form[34]. (**Note:** A HHD should be used for this purpose).

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[34] Instead of a Inspection Form – it should also be possible to use a Handheld device – where the Inspection Form is downloaded, observations are directly captured on the device and transferred onto the System@DMT including the capture of photographs.

**Exceptions**

*S9.17 The OR-AI will make sure all OR-PI is available or make alternate arrangements to assign someone to that role.*

*S9.19 If payment is not made the Applicant is requested to make payment and return.*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**S9.24.** On finalizing the inspection the OR-PI will uplad the information into the system.

**S9.25.** The OR-PI will generate an Inspection Report (Format SF9.4) based on the information entered into the System@DMT. (**Note:** This could be a standard report format or each type of Inspection could have a separate report).

**S9.26.** The Inspection Report together with the Inspection From and the Receipt are passed onto the Officer Responsible for Approving Inspection Reports (OR-AIR).

**S9.27.** The OR-AIR will log onto the System@DMT and recall the information pertaining to the specific inspection.

**S9.28.** The OR-AIR will inspect the completeness and accuracy of the scanned Receipts, other documents and place his 'Digital Signature' on the documents as confirmation of the Completeness and Accuracy.

**S9.29.** The OR-AIR will thereafter review the 'Inspection Report' and make any corrections.

**S9.30.** The 'Inspection Report' is thereafter approved by the OR-AIR by placing his signature on the report. Go To S9.50 ("Issuing of Inspection Report" Process).

**Inspecting Applicant Facility and Preparing Report**

**Note:** This process will use, handheld devices to capture the required data – from the applicant site and will be applicable for Manufacturing Site Inspection. The process for inspection when Registering Bulk Imports, Assembled Vehicles, Auctioned Vehicles and Manufactured Vehicles will be covered within Process A.

**S9.31.** On the date the OR-PI will generate a 'Site Visit Schedule' (Format SF9.5) through the System@DMT.

**S9.32.** The OR-PI will also be required to generate the customized 'Inspection Form – Site Visit' (Format SF9.6) based on the information provided by the applicant and transferred onto the Handheld Device of the OR-PI. (**Note:** If payment information has been received by the System@DMT – details of the payment are also printed on the Inspection Form).

**S9.33.** Based on the Site Visit Schedule the OR-PI will visit the site.

**S9.34.** The OR-PI will request for the Inspection Acknowledgement and the Receipt to confirm the payment.

**S9.35.** The details of the receipt are verified against the information available on the Inspection Form – Site Visit and confirmed as being correct.

**S9.36.** The Inspection is thereafter carried out based on the specifications in the Inspection Form – Site Visit and information captured into the

*S9.29 If not scanned correctly the OR-PI will be requested to re-scan the Inspection Form.*

*S9.31 If Inspection Report information is incorrect the OR-PI is requested to amend the information and re-print the Inspection Report and forward to the OR-AIR.*

*S9.36 Any deviations on receipt details or non-availability of receipt details on System@DMT will require the information to be captured and original receipt retained.*

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

handheld device directly. (**Note:** Instructions to OR-PI for Site Visit Inspection refer annexure SA9.1).

**S9.37.** Additional documentary evidence required will be collected by the OR-PI and the Handheld device updated with the documents so collected.

**S9.38.** The hand-held device will also permit the capture of photographs of the specific areas required as specified in the Inspection Form – Site Visit. (**Note:** The time and date of the capture of photographs should be tracked by the system).

**S9.39.** On completion of all the visits for a specific day – the OR-PI will synchronize the handheld device information with the System@DMT.

**S9.40.** Based on the information in the Handheld device the System@DMT will request the OR-PI to scan the documents into the system@DMT. (**Npte:** The system@DMT should capture the details of the relevant OR-PI who carried out the inspection).

**S9.41.** The OR-PI may add his final comments onto the System@DMT and recommend or NOT recommend the application together with the reasons for same and how the situation could be corrected.

**S9.42.** The OR-PI will generate an Inspection Report – Site Visit (Format SF9.7) based on the information entered into the System@DMT.

**S9.43.** The Inspection Report together with the Receipt and any other documents are passed onto the Officer Responsible for Approving Inspection Reports (OR-AIR).

**S9.44.** The OR-AIR will log onto the System@DMT and recall the information pertaining to the specific inspection.

**S9.45.** The OR-AIR will inspect the completeness and accuracy of the scanned Receipt, other documents and place his 'Digital Signature' on the documents as confirmation of the Completeness and Accuracy of the scanned documents.

**S9.46.** The OR-AIR will thereafter review the 'Inspection Report' information on the System@DMT and the supporting documents.

**S9.47.** The 'Inspection Report' is thereafter approved by the OR-AIR by placing his signature on the report and updating the System@DMT as confirmation of the approval of the recommendation.

**S9.48.** The System@DMT will generate a response to the Applicant by e-mail as well as SMS confirming the application has been processed and the 'Inspection Report' could be collected.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**Issuing of the Inspection Report**

**S9.49.** The Approved 'Inspection Report', Receipt (and any other documents) are handed over to the OR-RDF.

**S9.50.** The OR-RDF will handover the Approved 'Inspection Report' and Receipt to the Applicant and Applicants Signature obtained on the Inspection Confirmation as evidence of issuing the 'Inspection Report' – which is scanned into the system@DMT.

**S9.51.** The OR-RDF will maintain the retained Inspection Confirmations by OR-PI order.

**S9.52.** At the End-of-Day the OR-RDF will generate an End-of-Day Inspection Summary (Format SF9.8) report of all the Inspections carried out during the day in OR-PI order. (**Note:** The Report will also indicate the Inspections scheduled and not carried out).

**S9.53.** The Inspection Confirmations are attached to the End-of-Day Inspection Summary for each OR-PI and handed over to the Officer Responsible for Scheduling Inspections (OR-SI) at DMT.

**S9.54.** The OR-SI place his digital signature as confirmation of the completeness and accuracy of the signed Inspection Confirmation. (**Note:** It may be possible to destroy the confirmations thereafter).

**S9.55.** The OR-SI will file all inspections carried out by each OR-PI in date order.

**S9.56.** END

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

**8.0**

**ASSUMPTIONS**

# 8.0   ASSUMPTIONS

The System envisioned will endeavor to address the many issues faced both in the system as well as regulating the motor vehicles in Sri Lanka. This is achieved by both sharing the information maintained by the DMT with its stakeholders as well as accepting information from other stakeholders involved with different aspects of the managing the import, manufacture and operating of motor vehicles in the country.

Systems required to support the DMT system is currently being developed (e.g., e Revenue License System, etc.), which we assume to take advantage in the operations of the DMT.

Where necessary web interfaces will be provided to stakeholders to integrate with the DMT system.

The processes and system has been designed assuming the following:

| | |
|---|---|
| 1. | The DMT will set up District Offices that would have the powers to handle the activities of the DMT. |
| 2. | The DMT District Offices will be connected to the DMT Head Office and have full functionality of the Systems implemented at the Head Office. |
| 3. | DMT Officers will be assigned to Divisional Secretariat Offices to assist the Public in DMT related activities and to collect documents relating to transfers. |
| 4. | All DMT offices will be connected with broad band internet connections that would support the information transfer between the DMT Offices. |
| 5. | The DMT will prepare a suitable alternatives to ensure uninterrupted connectivity with the DMT Offices (specially with the Port Offices). |
| 6. | The DS Office will be provided limited functionality of the DMT System to support the activities assigned to the DS Office. |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

Confidential Final Report

| 7. | The documents collected by the DS Office will be processed at the relevant DMT District Office assigned to the DS Office. |
|---|---|
| 8. | The DS Offices would use the LGN Network for its communications. |
| 9. | The DMT Officers at the DS would be provided internet facilities to access the information on the DMT System. |
| 10. | Access is provided to information on the DMT System through the internet to identified stakeholders – while implementing adequate data security to ensure the integrity of the information on the database. |
| 11. | The system will have tri-lingual capabilities to support the transactions in Sinhala, Tamil and English. |
| 12. | The DMT System will have access to the RPD System to validate the identity of persons. |
| 13. | All registered importers/manufacturers will have access to internet facilities to communicate with the DMT. |
| 14. | Information for issuing Prototypes Certificates will be the responsibility of the Official Local Agents. |
| 15. | Unless for special and specific purposes all vehicles imported to the country must have prior Prototype Approval. |
| 16. | Vehicles could be imported only after notifying the DMT and obtaining a Certificate authorizing the import of the vehicle. |
| 17. | The Customs will be required to enter the special conditions under which a vehicle was cleared into the DMT system through a interface provided for the purpose and certify the acknowledgement generated. |
| 18. | All vehicles will be inspected and issued an identity prior to leaving the port for individual vehicles and at the warehouse/factory for vehicles imported in bulk, assembled or manufactured. |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

19. Any sale of vehicle must be informed to the DMT office and acknowledgement obtained – prior to finalizing such sale.

20. The DMT will auction the Registration Numbers through a transparent system.

21. Chassis imports will be restricted to New Chassis, imported by the Agents.

22. All chassis should have clear chassis numbers engraved in keeping with the WIN number assigned to the specific make, model and country of origin.

23. The DMT will adopt a 16 character WIN Format for numbering the chassis.

24. At the point of import if the chassis number is duplicated in the DMT system a new chassis number will be assigned to the vehicle – which would have to be engraved by the owner of the vehicle.

25. Black Listed vehicles – will not be issued revenue licenses and insurance certificates.

26. Insurance Companies, VET Companies and Provincial Motor Traffic Department will provide feedback on vehicles which will be maintained within the DMT System.

27. The DMT will audit the systems to ensure compliance with the e-transactions and other relevant documents.

28. The DMT will ensure all authorized officers at the DMT will have digital signatures to certify the scanned documents within the system.

29. All applicants will visit the DMT and District Offices based on prior appointment.

30. Bar coding will be used to manage documents within the DMT Office.

31. The system will capture photographs of every vehicle registered with the DMT.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

| |
|---|
| 32. All entities collecting monies on behalf of the DMT must provide a statement in electronic format confirming the details of the monies collected. |
| 33. The DMT will provide a payment facility through the Lanka Gate to effect payment through credit cards. |
| 34. The DMT will also offer facilities to effect payment for DMT services through the Mobile Phone Network. |
| 35. Work bench will be available to manage the activities of the DMT. |
| 36. Prior to implementation of the system – it should be confirmed the necessary legal changes have been in-acted. |
| 37. Prior to implementation the DMT will be required to study the new roles and identify the staff to be assigned to the new roles. |
| 38. Any formats that have not been completed by the DMT will be completed prior to the commencement of the System Development phase. |

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

# 9.0
# FUNCTIONAL & NON FUNCTIOANL REQUIREMENTS

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

## 9.0    FUNCTIONAL & NON-FUNCTIONAL SPECIFICATIONS

The functional and non-functional specifications specified below supplement the system defined in detail in the processes. The system needs to meet the requirements specified in the processes as well as these specifications:

| ***GENERAL*** |
|---|
| 1.   The system should be able to handle information capture, recall and printing in Sinhala, Tamil and English. |
| 2.   The system should be able to generate letters in Sinhala, Tamil and English. |
| 3.   The system should have the facility to introduce new letters and modify existing letters. |
| 4.   It should be possible to generate standard letters using information in the database. |
| 5.   The system should offer work flow facilities to track and monitor the progress of any activity. |
| 6.   The system should track when a activity passes through different stages (**Note: Transfer Applications:** Receive intimation of Sale, Appointment Scheduled, Submit Application, Transfer Approved, CR Printed, CR Handed to applicant, Number Plate Preparation, Number Plate Issued, etc.). |
| 7.   All historical information and any document scanned and not accurate or complete should be maintained within the system and not permitted to be deleted. |
| 8.   The system should ensure adequate security is provided when officers at the District Office and DS access the system & update information. |
| 9.   It should be possible to modify the current 'Work Flow' if so required by the department. |
| 10.   The system must have a secure method to provide information access to 3<sup>rd</sup> parties (e.g., Police Department, Customs, Banks, Insurance Companies., Provincial Motor Traffic Department, General Public, etc.). |

11. The system must have a secure method to receive information from 3<sup>rd</sup> parties either through direct access to the DMT System or through web services (e.g., Customs, Insurance Companies., Provincial Motor Traffic Department, Importers, General Public, etc.).

12. The system should provide a drill down facility.

13. The system should generate a Bar Code for all documents that is generated through the system and the Postal Division should be able to scan such Bar Code when posting the letters.

14. For registered letters – it should be possible to generate lists that could be handed over to the Post Office. Also if the start no. and end no. is provided the system should assign the individual registration number to each letter – based on the order the list was printed.

15. Procedures for purging of data should be defined.

16. A complete Audit Trail for each transaction (indicating the user, date, time, type of transaction, modifications made, etc.) should be maintained in manner it could be verified.

17. Audit trails should be maintained on-line as far as feasible and transferred to an off-line storage which could be accessed based on chassis no., registration number as may be required. Access should be restricted to authorized personnel.

18. All changes to any item of data should be logged and user effecting the change identified.

19. Any access of information should be logged with the user identity and the location of access with time and date.

20. The system must have back-up connectivity – to facilitate processing of transactions even in the event of communication failures

21. The system should have a method of providing information alerts to the relevant persons who are required action within the workflow.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

22. A note pad like facility should be available to update comments as the information passes through the workflow.

23. The system would be required to be audited based on the e-transaction policy document developed by the department.

24. Consideration should be given to ensure the confidentiality of the information within the system.

25. Adequate security should be available to ensure only authorized persons are given access to the system – especially when writing data to the database from remote locations through the web interface.

26. Ensure 3rd Parties provided access to view information are NOT able to modify any information on the database.

27. The formats provided in Annexure 2 provides a guideline – which will have to be validated with the users prior to final implementation.

28. The Vendor should ensure that all formats of Forms/Reports, etc. are validated with the Users before finalizing the requirements.

29. A vehicle may last for over 50 years and the system should be able to maintain the integrity of the data for this period.

30. The system should permit the generation of ad-hoc reports in addition to generating reports to measure the identified critical success factors and stretch goals.

31. CCTV cameras should be available at all points of interaction with customers.

32. The system should be able to integrate with the PABX system to provide information based on CLI Facilities, etc.

33. The system should have back-up and data purging facilities – while being able to access even the purged data.

34. The system should conform to the LIFe standards specified by the ICTA.

35. The system should support transactions through the Lanka Gate.

36.     The system should comply with the e-Transactions Act.

37.     The system should maintain the status of an application as it passes the workflow.

38.     Any applicant should be able to view the status of his application over the web or through terminals to be provided at the DMT Office.

39.     The system should ensure all controlled documents are reconciled.

40.     The system must track all the Stretch Goals stated in the report.

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Assignment for Department of Motor Traffic, e-Motoring
Project.

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| PROCESS A: |
|---|

1.  The system should provide a web-interface for the submitting importer or manufacturer applications.

2.  All registered importers and manufacturers are given an interface to interact with the system – based on unique user name and password.

3.  The system should permit certain functions to be available on the interface based on the type of user.

4.  The system must capture the identity of the person who approves and accepts any scanned information onto the system.

5.  No information scanned and accepted by the Officer Scanning the information – will be permitted to be deleted from the system.

6.  The system should permit the soft copy of an application format to be downloaded, completed off-line and uploaded to the system at DMT (and associated with a specific reference number assigned).

7.  When request or applications are received the system should be able to generate an acknowledgement using the information provided by the applicant after the basic validation rules are satisfied.

8.  The applicant may be permitted to obtain multiple acknowledgement copies after validating the authenticity of the person requesting for the information.

9.  Any person approving the issue of a certificate must place his signature on the system using his special signature password.

10. It should be possible to place secure signatures on the certificates of those approving the application.

11. All approved Master Prototypes should be available on the Web Site for reference and access by prospective importers.

12. The system should also offer the opportunity for one-off Master Prototypes.

13. Based on the make, model, chassis number, engine number and color of the

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Assignment for Department of Motor Traffic, e-Motoring
Project.

Confidential Final Report

vehicle provided by the importer a 'Specific Prototype' should be issued.

14. All information provided by the importer should conform to the Prototype Specifications.

15. When chassis numbers are duplicated automatic investigations should be initiated.

16. One-off importers are also provided an interface to interact with the system and provide details of the vehicle being imported.

17. Importers and Manufacturers are permitted to submit information and obtain an acknowledgement.

18. The system must capture photographs of the vehicle as well as the chassis number (using fixed and/or mobile cameras) and information linked with the vehicle with the specific chassis number.

19. An interface is provided to all organizations who place a conditions on a vehicle as well as the customs department to capture all conditions placed on a vehicle.

20. The VID approving staff at the DMT must be adequate to ensure the smooth flow of the vehicles being cleared at port.

21. When Chassis Number is duplicated the system must maintain the chassis number stated on the chassis (and location of engraving) at the point of import as well as the chassis number assigned by the DMT to be engraved (and location of engraving) – which shall be the unique identifier of the system.

22. The quality of the information captured should be adequate to provide remote approval based on the photographs received.

23. Hand Held Devices (HHD) will be required to capture photographs and chassis numbers of vehicles and other information imported in bulk or those assembled or manufactured.

24. CUSDEC information is uploaded from the ASYCUDA System through a web service and checked against the data captured on the DMT System.

25. Any Importer or Manufacturer who is black listed will be barred from

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Assignment for Department of Motor Traffic, e-Motoring
Project.

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transacting business with the DMT.

26. It should be possible to disable certain functionality when a importer or manufacturer is either suspended or license cancelled.

27. It should be possible to register other manufacturers and suppliers associated with the DMT.

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Assignment for Department of Motor Traffic, e-Motoring
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| PROCESS B: |
|---|

1. The system should be able to send automatic requests to importers and manufacturers without based on pre-defined criteria (e.g. on specific date or every 6 months, etc).

2. Importers and manufacturers should be able to provide feedback on their stocks on a regular basis directly through the system.

3. It should also be possible to interpret data received in a 'spreadsheet' format.

4. The system should validate the information received and generate exception queries with the importer.

5. Report on information delayed.

6. Importers/Manufacturers will be provided an interface to inform the DMT of a prospective sale and obtain an acknowledgement.

7. The system should operate an auction area (like e-bay) where prospective bidders to obtain numbers opened for bidding where their e-mail & mobile numbers be registered for communication.

8. Those entering the bidding area will have unique user names and passwords during the period they are active.

9. The bidding process will conclude within 14 days after the 1$^{st}$ bid is open.

10. An authorized officer may have the ability suspend a specific number from the bidding process after the bidding has started & before closing – with reasons.

11. All results of the bidding process after its conclusion should be visible for the other users for a further period of 14 days of the transaction being concluded.

12. The bidding transaction will be concluded only after the payment for the bid is received and certificate of confirmation issued.

13. If the highest bidder does not obtain the certificate within the specified time frame the 2$^{nd}$ highest bidder is required to make the payment.

14. The payments will only be accepted if paid by credit card or to DMT bank.

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Assignment for Department of Motor Traffic, e-Motoring
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15. When the time frame is in default the Payment Instruction is also invalidated and payment will not be permitted.

16. Once the bidding on a specific number seizes those bidding on that number will become inactive. (**Note:** If the same bidder is bidding on another number which is active – such bidder may continue bidding on the other number).

17. The numbers for bidding will become active based on a criteria to be specified. (e.g., Next 30,000 numbers).

18. The system should be able to handle different series of numbers based on the class of the vehicle – where a starting and ending number is provided.

19. The system should be able to handle 2 alphabetic and 3 alphabetic characters followed by 4 numeric numbers.

20. The 1st owner of the vehicle should be able to interact with the system based on the acknowledgement number and ID Number.

21. Vehicles exported are de-registered and when re-imported issued with the previous registration number – based on a valid VID.

22. The processing of CR should follow a work flow within the DMT Office.

23. The system should capture the photograph and signature of the applicant in a manner it could be accurately printed in the CR.

24. Ability to use Digitized Signatures based on special password captured into the system as approval of the application.

25. If a number which has been booked (including payment) is not used at the time the number comes for usage – the reserved unused number will be considered a normal number and issued to the next applicant.

26. It should be possible to undertake multiple transactions (as specified in annexure BA3.4 with a single application.

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Assignment for Department of Motor Traffic, e-Motoring
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### PROCESS C:

1. The system should be able to log a request for transfer and issue and acknowledgement.

2. It should be possible to permit temporary de-registration of vehicles.

3. It should be possible to change the registration number of a vehicle – while maintaining all previous information.

4. Registration numbers once used will never be re-used.

5. Automatic link should be available with the Number Plate Manufacture Organization.

6. All Number Plates should be tracked until collected by the applicant.

7. It should be possible to register an objection.

8. The system should automatically remove an objection if not made permanent by a court order within a specified period.

9. Based on a Court Order it should be possible to make an objection permanent until removed by a court order.

10. It should be possible to Black List a vehicle.

11. Information must be shared with Insurance Companies and Provincial Motor Traffic Departments not to issue the Insurance Certificate and Revenue License on Black Listed Vehicles.

12. No transaction on the vehicle will be permitted when a vehicle is placed on Blacklisted or Objection status.

13. The system must permit the remove the Objection and Black Listed status of vehicles.

14. It should be possible to modify the attributes of the vehicle as long as the vehicle conforms to the defined prototype.

15. Modifications to chassis number may be required.

Government Process Re- Engineering (GPR)
Assignment for Department of Motor Traffic, e-Motoring
Project.

**Confidential Final Report**

| 16. | The System must capture reference number information pertaining to controlled documents and associated with the specific vehicle. |
|---|---|
| 17. | The system requires a method to capture controlled documents issued, used, damaged and in-hand. |
| 18. | The system should provide for destroying damaged unused controlled documents as well as collected controlled documents. |
| 19. | Any controlled documents used out of sequence should trigger an investigation. |
| 20. | It should be possible to share information with authorized 3$^{rd}$ parties, as may be required and approved in a secure manner. |
| 21. | The Department should be able to charge for this information been provided to the 3rd Parties on a per transaction rate. |
| 22. | The rates applicable for different 3rd party institutions could vary. |
| 23. | There should be adequate security to ensure the integrity of the information – and no 3$^{rd}$ party is permitted to modify or generate reports through the system. |

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Assignment for Department of Motor Traffic, e-Motoring
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| PROCESS D: |
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1. The system should register Master Revenue Collection Agencies and Sub Agencies attached to the master.

2. Each agent (master and sub) is permitted to interact with the DMT System and raise receipts for monies collected on behalf of the DMT.

3. There could be many types of Revenue to collected.

4. These Revenues could be collected by one type of entity of different types of entities.

5. System should provide a mechanism where the transaction could be carried out in the absence of connectivity (long term and short term).

6. All Revenue Collection Agencies MUST have information to validate – prior to collecting revenue and/or providing their service.

7. On receipt of the services provided by the Revenue Collection Agencies – (e.g. Issuing of Insurance Certificate) the system should be able to validate and ensure the monies due to the DMT have been collected or to provide exception reports.

8. It should be possible to upload information received from 3rd parties onto the system after verification.

9. The system based on the receipt information captured and the statement received (together with the bank statements) should be able to generate the reconciliation reports and confirm all monies have been received for invoices raised.

10. The system must maintain for which receipts the monies have been received and those for which money have not been received.

11. Based on the monies received the system should generate statements of the monies to be transferred to the Treasury.

12. It should be possible to suspend the issuing of receipts for a single sub-agent or the Master Agent – if so required.

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Assignment for Department of Motor Traffic, e-Motoring
Project.

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13.     It should also be possible to cancel such suspensions imposed after the inquiry.

14.     It should be possible to add new types of revenue and associate with either existing or new categories of revenue collection agencies.

15.     All payments received by 3$^{rd}$ Party collection agencies must be matched with a Payment Instruction.

16.     The system should be able to analyze the monies received based on pre-defined criteria and provide detailed and summarized statements for the payment of monies collected on behalf of other organizations and the treasury.

17.     The system should be able to receive information from authorized 3$^{rd}$ party information providers in pre-defied formats (either through web services or file transfer) and associate such information with a specific vehicle in the DMT (or a CUSDEC in the event the information is being received from the customs).

18.     It should be possible to receive new information in the future and associate the information with a vehicle.

19.     The system should be capable of testing the information received prior to permitting the data to be uploaded.

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| PROCESS E: |
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1. The system should log & track customer complaints until it is finalized.-based on a pre-defined work flow.

2. The system must be able to capture the comments of those within the workflow until the issue is resolved (**Note:** Such comments may be entered in any one of the 3 languages).

3. If the complaint gives rise to a change in policy and/or instructions issued to the staff – such decisions should be captured on to the system.

4. The knowledgebase should be maintained in Sinhala, Tamil & English – therefore all Sinhala & Tamil comments should be translated to English at the point the knowledgebase is being updated.

5. The system should display the status of an application (even those received through the DS Office) for review of any applicant – through the web, SMS or visiting the DMT Office.

6. The system should provide adequate information to validate the identity of a caller.

7. The system should have a knowledge base that is context sensitive and could be recalled based on key words.

8. It should be possible add, modify or delete the information within the knowledgebase.

9. The system should facilitate automatic investigations based on given conditions within the system.

10. New conditions for investigations will also be identified from time to time which is required to be captured in the system.

11. The system should support manual investigations.

12. The system must track and report on the progress of investigations that follows a workflow.

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| PROCESS F: |
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1.  The system should be able to display the documents required for each transaction as specified in the acknowledgement.

2.  The system should be able to capture additional document requirements after they are reviewed by an officer of the department and such additional requirements communicated through e-mail and SMS.

3.  When documents are accepted at the DMT counter an acknowledgement should be given to the applicant.

4.  The system should be able to identify the documents to be retained and those to be returned.

5.  Bar codes are generated for all the documents received as well as files opened.

6.  The location of the file should be captured into the system when opening a new file.

7.  When a document barcode is scanned the location of the file should be displayed.

8.  Each area of the record room should be assigned to a specific officer.

9.  The system should support HHD that could capture barcode information and upload onto the system.

10. The system should facilitate the random stock take of files.

11. The system must ensure that every file is located – prior to inserting the relevant documents.

12. When an officer is leaving the system should facilitate a complete stock take of files.

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## SUPPORT PROCESSES:

**Support Process S1:**

1. The system should be able to capture the Meta data of the specific document the applicant is required to submit to complete the transaction.

2. When complete the system should be able to set-up an appointment for the applicant by displaying the time slots available.

3. Different transactions will require different appointments with different roles.

4. Different transactions will require different time commitments of the different roles.

5. For those making reservation by phone – the system should generate an e-mail and SMS message confirming the appointment details.

6. Based on the reference number the system should be able to print the Appointment Confirmation & Payment Instruction at DMT Office or through the internet.

7. When the applicant is setting up an appointment after the time specified by the DMT – he should be informed that he is liable for a Penalty and if accepted a Payment Instruction for the Penalty should also be generated.

8. For those visiting the DMT the system should be able to provide a printout of the Appointment Confirmation and Payment Instruction.

9. When the resources assigned are inadequate (e.g. above 80% usage) – the system should highlight the fact to an assigned officer to review the opportunity to increase the resources for the particular role for the particular time/day.

10. The system should permit multiple transaction on a single appointment.

11. The system should be able to compute the time required for an appointment based on the time required for carrying out each transaction.

12. A single Payment Instruction should be raised for multiple transactions.

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Assignment for Department of Motor Traffic, e-Motoring
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13. Each transaction will have a different charge.

14. The system should be able to indicate the number of persons that need to be assigned for the roles where appointments have been given.

15. If there is a delay or a cancellation of an appointment due to any reason the system should be able to send such message through e-mail and SMS.

16. Only the role assigned to the appointment will be permitted to access the information relating to the application.

17. A supervisor may be permitted to shift appointments as may be required with the reasons for such shifting captured.

18. All movement of appointments must be tracked and it should be possible to generate a report of such movements.

**Support Process S2:**

19. The DMT Bank should be linked with the DMT System to issue receipts of the system.

20. Information from other banks (collecting cash on behalf of the DMT) received via a web service or in electronic format should be uploaded onto the system.

21. The system should be able to match and reconcile transactions based on the information within the system by matching Payment Instructions.

22. Monies on behalf of the DMT may be collected at the District Secretariat Offices and Divisional Secretariat Offices which should be managed within the system.

23. The system should also permit the effecting of payment through Lanka Gate – and issue a receipt through the system. (Refer the Lanka Gate Specifications).

**Support Process S3**

24. Based on the Appointment Confirmation the System should generate a 'Token' number as pre-assigned by the system.

25. The system should indicate on a large screen the 'Token' numbers assigned to each counter number.

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26. The Token numbers will be assigned to the counters on a FIFO basis.

27. Only once a token is assigned to a counter an role will be able to access the information related to the transaction.

28. The system should display the relevant meta data of the documents and confirm accepting the specific documents.

29. The system should be able to capture data related to the payment made by the applicant.

30. The system should be able to generate an acknowledgement for the documents accepted from the applicant.

31. The final application is printed from the system by the officer accepting the documents.

32. Barcodes will be generated through the system for all the documents accepted form the applicant.

33. The system should have a component through which the DS Office could update the documents accepted.

34. The Officer at the DS should be able to capture details of the documents received, details of the receipt and print the application through web application and issue an acknowledgement for the documents accepted.

35. The system at the DS Office should also be able to generate the Payment Instruction for the transaction.

36. The system@DS will also permit the printing of the barcodes to be pasted on the accepted documents.

37. Alternate methods of connectivity must also be considered for DS Offices that do not have the required connectivity under the LGN.

38. The documents transferred from DS to DMT office should be associated with a specific Transfer Note Number.

39. If the documents are posted the Registered Post reference details need to be captured into the system.

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40. The system should support to ensure all documents are received under the specific 'Document Transfer Note'.

41. For any shortage of documents – the system should generate the shaort documents.

**Support Process S4**

42. All documents used in the registration and investigation processes must be scanned into the system.

43. The scanning procedure must comply with the e-Transactions Act requirements.

44. Only the Officer Responsible for scanning will be permitted to delete a scanned document, before he places his digital signature on same.

45. No deletion of a scanned document is permitted.

46. No OCR facilities should be permitted within the scanning process at any time.

47. Any mistakes in scanning must be corrected by rescanning the document.

48. All incorrectly scanned documents must also be maintained within the system – and viewed if required with the appropriate authority.

49. The scanning should be done in a manner that the information on the document is legible.

50. All documents scanned – must be identified before scanning – for vehicle details, the type of document and the number of pages scanned and the total number of pages in the document.

51. The system should provide convenient method to scan large quantities of documents on a daily basis.

52. If a registration number of a vehicle is changed all scanned documents associated with the previous number should be associated with the new number.

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**Support Process S5**

53.     The system should maintain information on each employees and the roles he as been authorized to perform.

54.     The system should indicate the role requirements for a given day.

55.     A superior officer is authorized to assign individuals for roles.

56.     When an individual assigned to a role does not arrive the system should highlight such fact and assign another employee to perform the role.

57.     The system should indicate to the supervising officer of roles any delays.

58.     The supervising officer may add – additional resources as may be required from time to time to overcome delays.

59.     The system should indicate to each user what role he would be performing on a given day when he logs onto the system.

60.     The work will be assigned based on the token system – which will consider the time of appointment and time of arrival.

61.     Each token number will be assigned to a counter (or individual performing a role) based on the next issued number.

62.     If a number has been missed (since the applicant has arrived late) he will be issued a late arrival token and will be assigned to a special counter which will handle late arrivals. These tokens will be handled on a First Come First Serve Basis.

63.     The system should generate a report of appointments not fulfilled.

64.     The Officer Responsible for Re-scheduling Appointments must be contacted to re-set the system to permit the applicant to set-up an appointment.

65.     When the applicant is setting up an appointment – he should be informed that he is liable for a Penalty and if accepted a Payment Instruction for the Penalty should also be generated.

66.     The system should permit the addition of new roles and the deletion or deactivation of existing roles and to assign or remove such roles from the workflow.

**Support Process S6:**

67.     The system should permit an authorized officer to modify the document requirements – after documenting the reasons for such modification of document.

68.     Documentation requirements so modified is required to be approved by a senior officer.

69.     The system@DMT will be required to be updated with the new document requirements for the specific application.

**Support Process S7:**

70.     The system should be able to update the documents being returned and generating the appropriate acknowledgement – indicating the documents returned.

71.     The system should track the documents being returned through the DS.

72.     The documents being transferred to the DS is updated on the DMT System@DS.

73.     When the documents are posted from the DS the Registration Reference number should be captured into the system.

74.     The system should highlight the documents not returned.

75.     The system should track the person to who the documents were handed over.

76.     Documents returned from Postal Department – need to be captured into the system and retained until the applicant or authorized representative visits the DS or point of delivery.

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**Support Process S8:** This process is not required
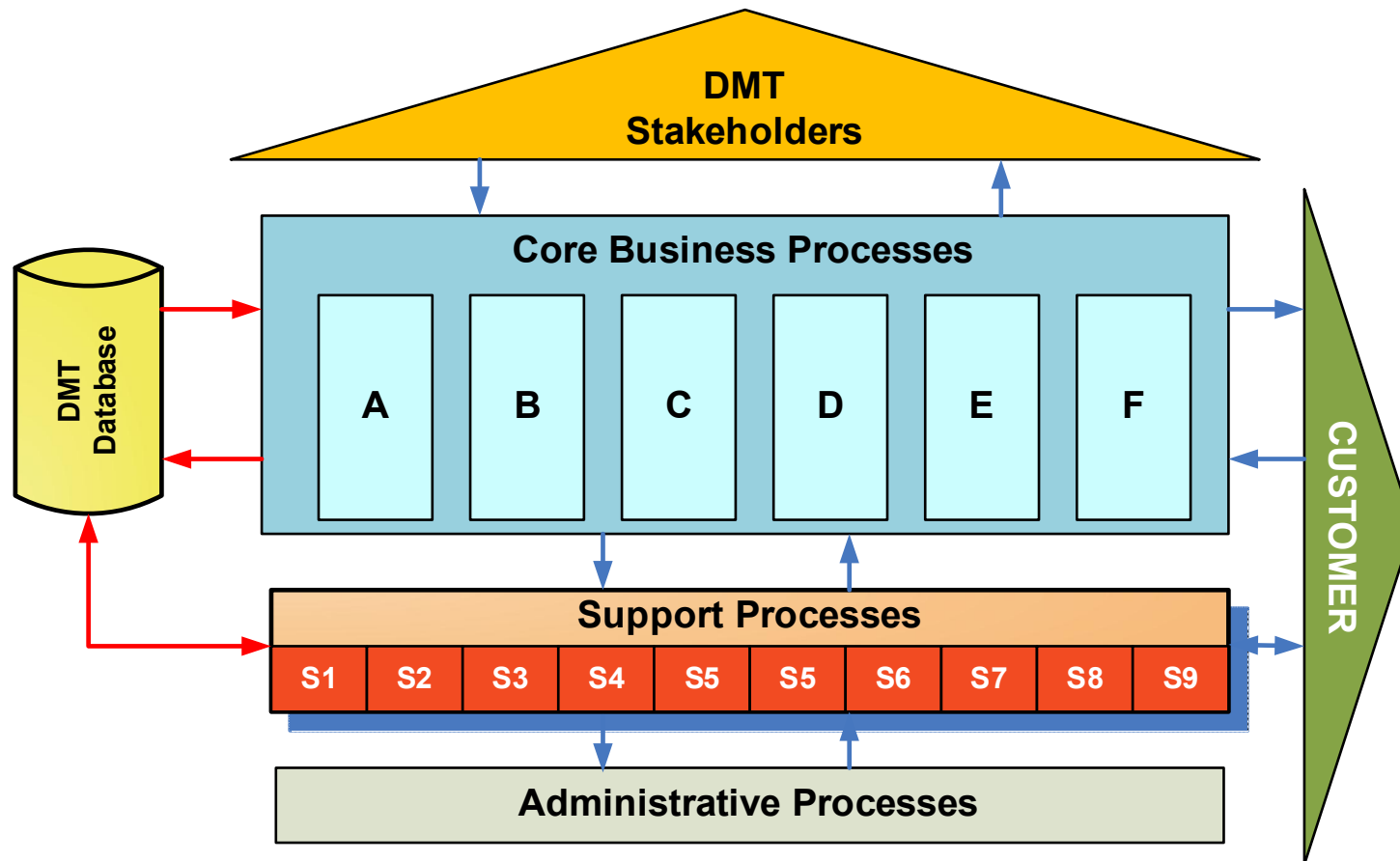

**Support Process S9:**

77.  The system should permit the making of appointments based on the expertise of the officer attached to the technical division.

78.  The inspection check list generated by the system should be based on the type of inspection.

79.  The inspection details should be captured through a Hand Held Device.

80.  The Inspection Report should be generated through the system and the signature of the authorizing officer placed through the system.

81.  All Inspection Reports issued should be available for action through the system.

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# ANNEXURE 1: LEVEL 1 - PROCESSES

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# DMT PROCESS ARCHITECTURE

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# LEVEL 1: - PROCESS A

## Registration of Importers/Manufacturers & Vehicles

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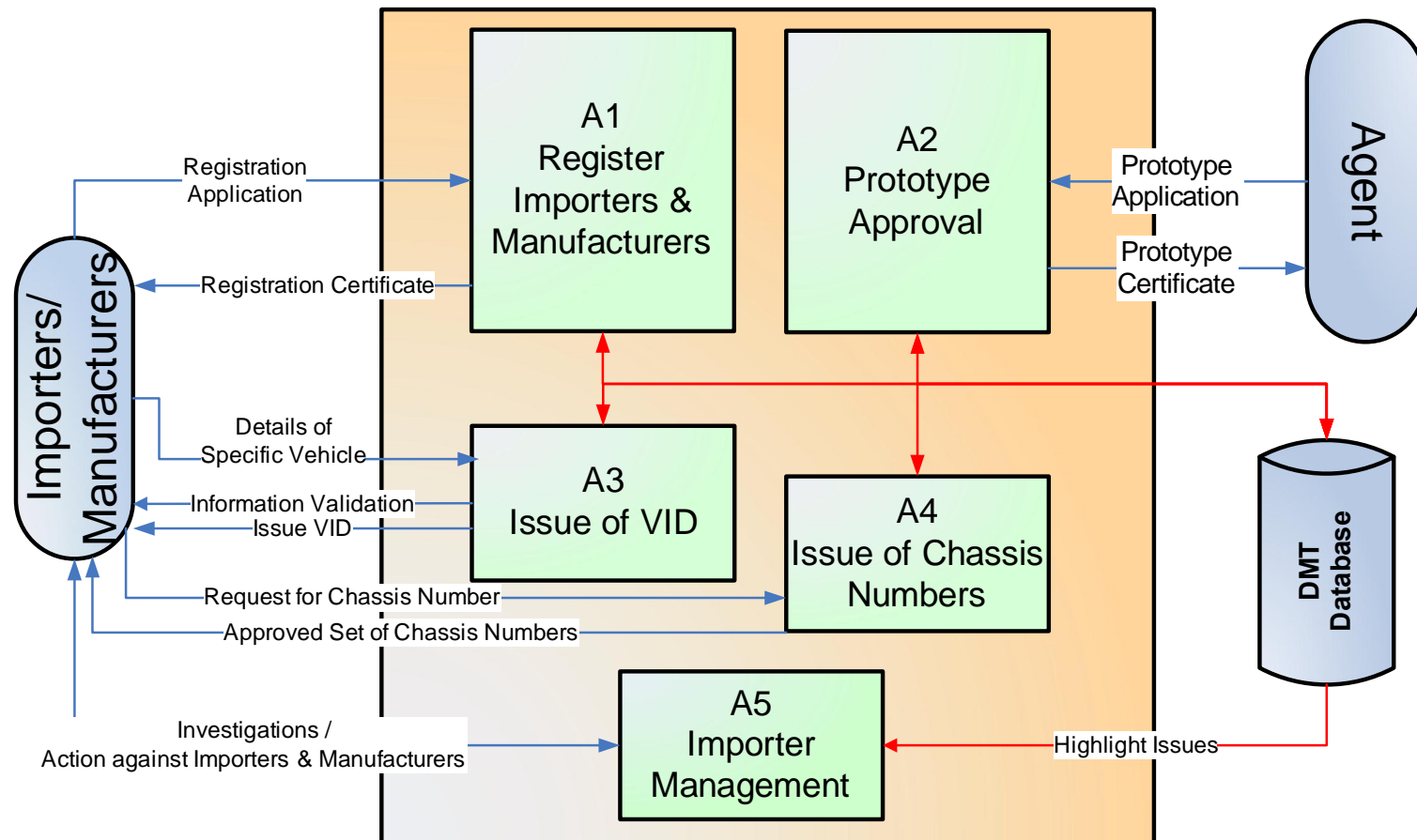
# LEVEL 1: - PROCESS B

# Registration of 1<sup>st</sup> Owner

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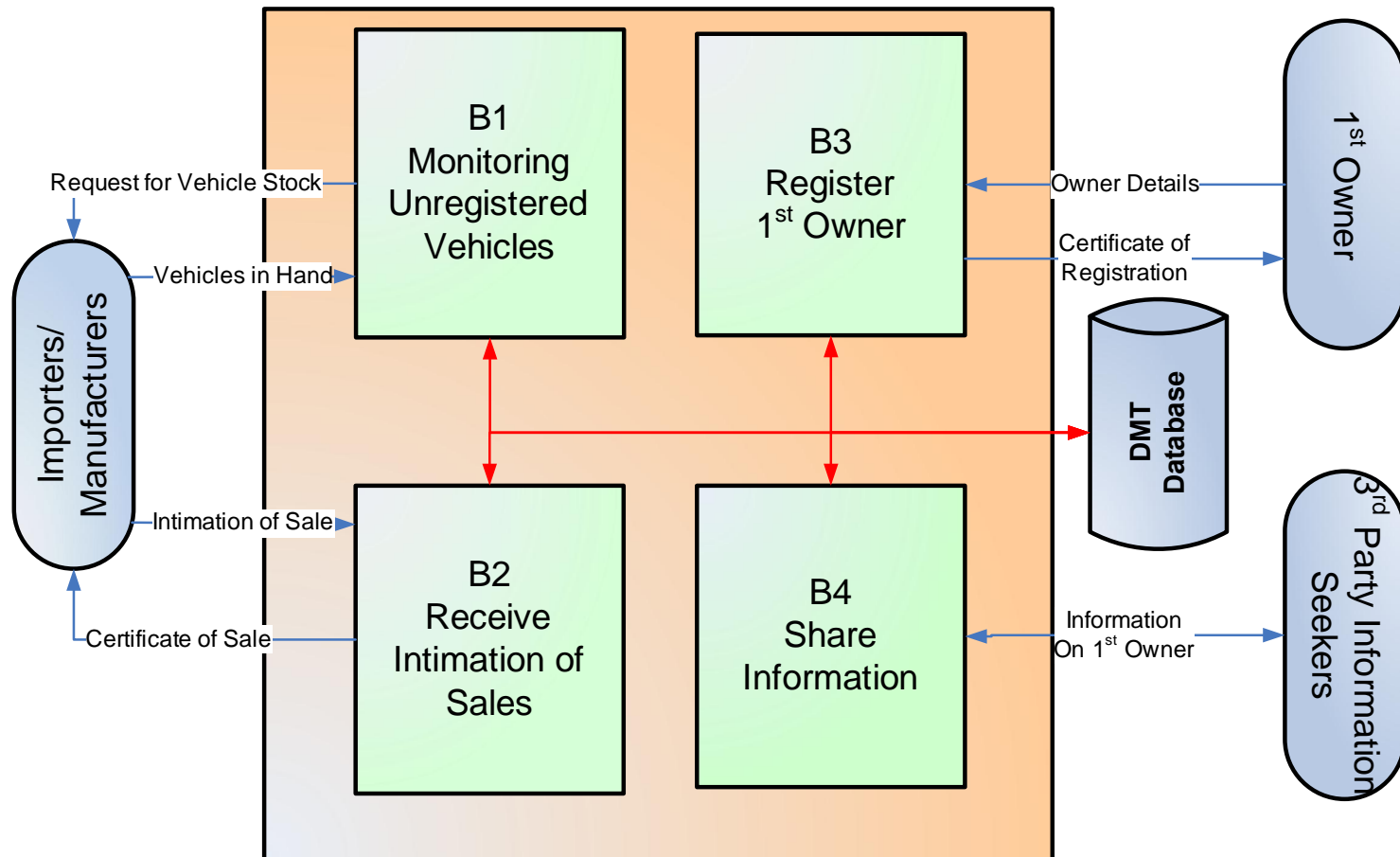
# LEVEL 1: - PROCESS C

## Owner & Attribute Change Registration

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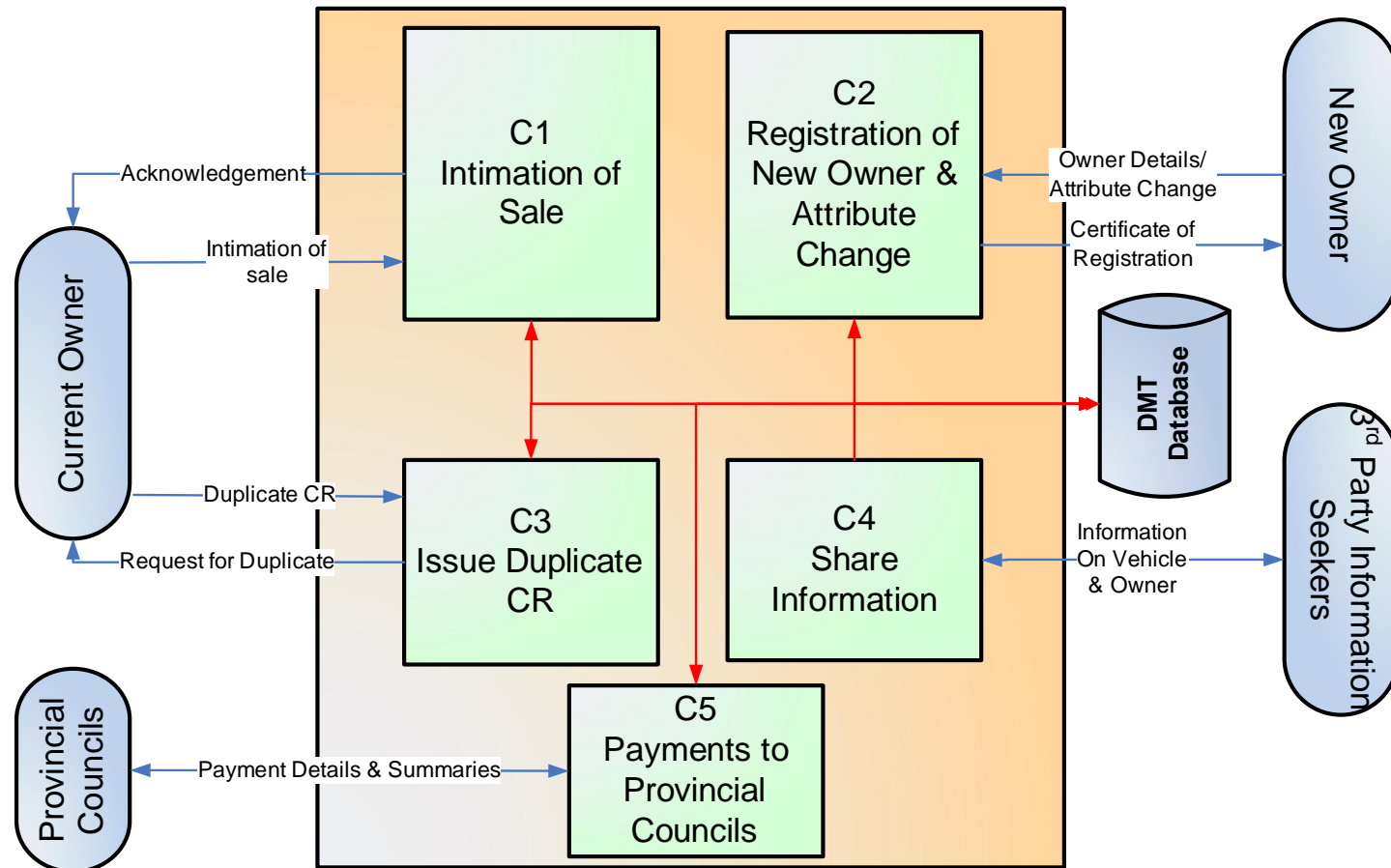
# LEVEL 1: - PROCESS D

# Managing Revenue Collection Entities (RCE)

# & Information Providers (IP)

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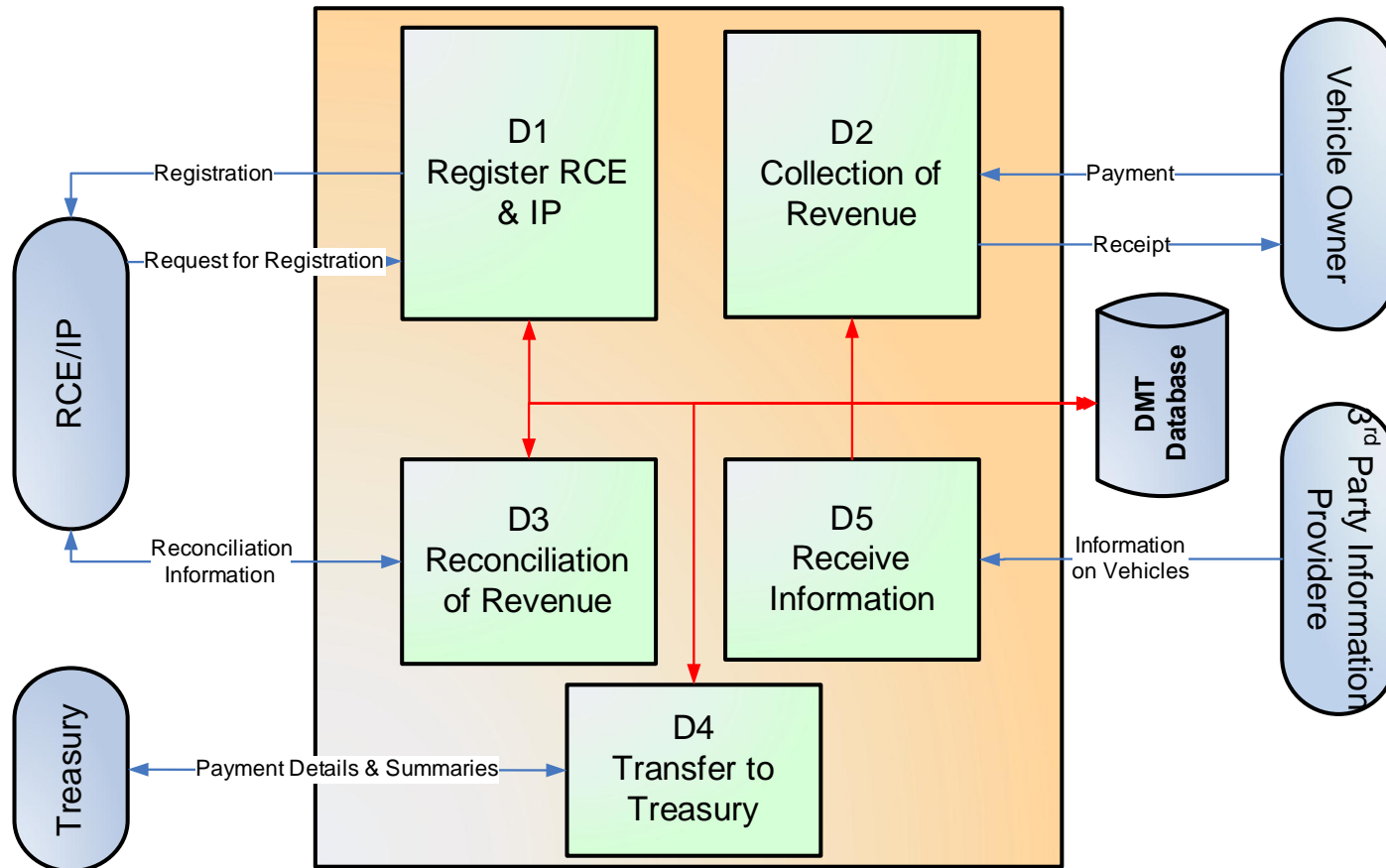
# LEVEL 1: - PROCESS E

## Complaints, Investigations & Query Management

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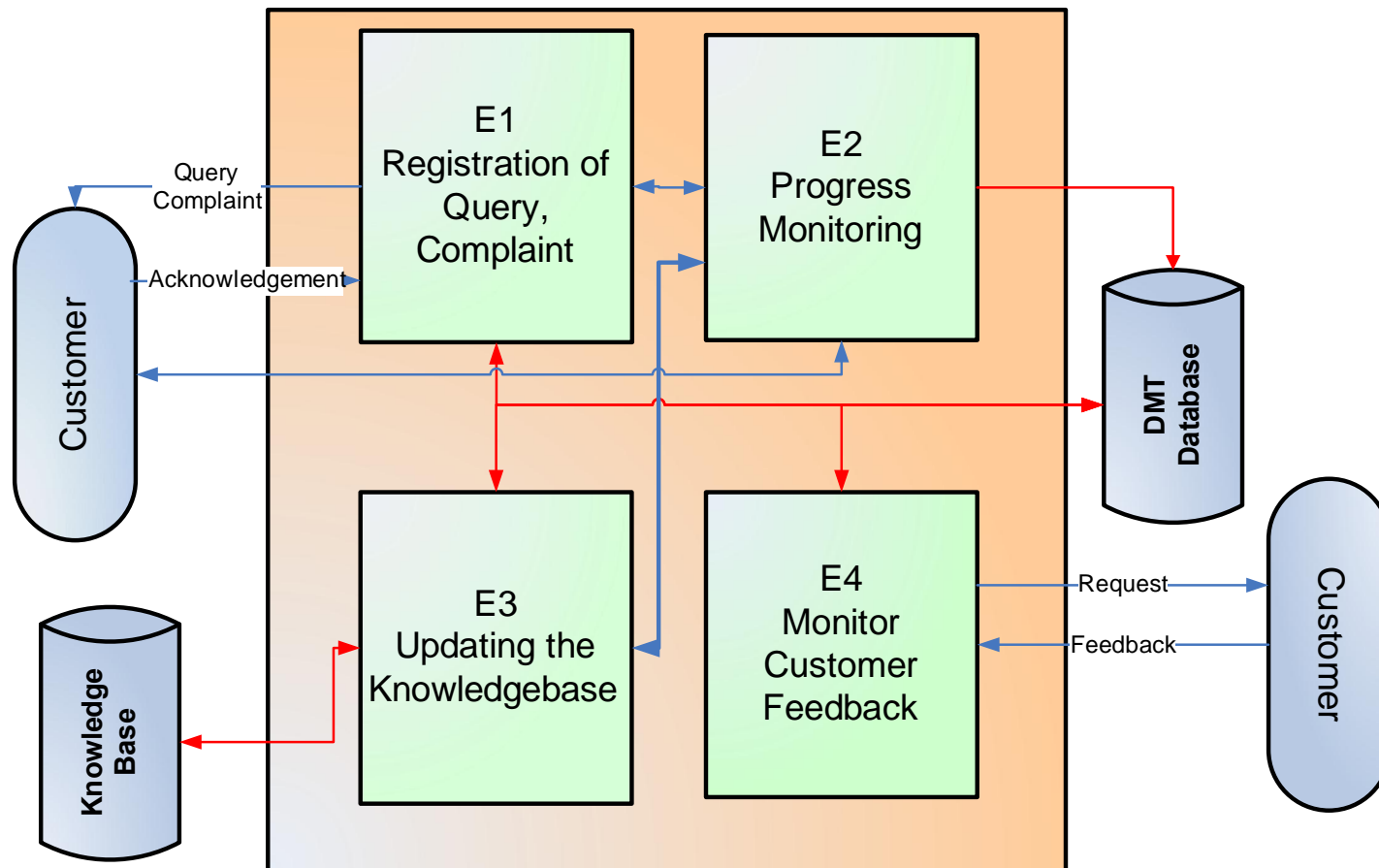
# LEVEL 1: - PROCESS F

## Document Management Process

Customers/ Stakeholders

Documents →

F1
Accept, Create
& Validate Files

F2
Retaining &
Storing

F3
Returning of
Documents

F4
Periodic Stock-
take of Files

DMT
Database

← Documents

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