



**IT CERTIFICATION SERVICES**  
**Maintenance of certification (Biometric Device)**

Document : BDCS-03-09

Issue: 04 dated. 13.08.2015

Revision 00 dated.

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# **Procedure On Maintenance of certification (Biometric Device)**



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### **Approval and Issue**

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**Approved by :**

\_\_\_\_\_  
**Chief Executive Officer**

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**Amendment Record**

<b>Amendment No.</b>	<b>Date of Amendment</b>	<b>Nature of Amendment</b>	<b>Page Ref.</b>
Issue 01	Nov.2011	-	-
Issue02	Mar.2013	Auditor competence added	Cl. 5,Pg3
Issue03	July2014	Complete revision- e.g offsite surveillance, Test Schedule revised	<b>All</b>
Issue04	May2015	Complete revision due to market dynamics	<b>All</b>



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## **Maintenance of Certification-Draft Procedure**

### **1.0 Purpose**

This document describes the procedure for Maintenance of Certification of Certified Biometric Device. The purpose is to ensure that the supplier (client) remains fit to hold Certificate of Approval (of Biometric Device) under Certification Scheme.

### **2.0 Objective**

- a) Supplier (Client's) defined system continue to remain adequate and effective to ensure that Biometric Devices placed in Indian market comply with the applicable UIDAI specification and consistency of Quality of Products is maintained
- b) The supplier support system is adequate, capable and implemented to ensure required services are effectively provided to users.

### **3.0 Scope**

Scope covers certification of FPS & IRIS Biometric devices for

- a) Enrolment
- b) Authentication

### **4.0 Responsibility**

#### **Certification Body (CB)**

Certification Body is responsible to ensure that supplier meets criteria specified in this procedure.

#### **Certification Committee (CC)**

Responsible for recommendations on continuation of certification, suspension, withdrawal etc.

#### **Chief Executive Officer (CEO)**

Decision on Certification following recommendations from CC

#### **Supplier**

1. To ensure criteria specified in this procedure are adhered.
2. To maintain the system and records to ensure that only UIDAI compliant devices are supplied



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## 5.0 Surveillance/ Recertification Policy

### 5.1 Surveillance:

Surveillance audit (Off site) will be carried out at least once in 3 year of certification cycle. Certified supplier shall provide documentation as per Annexure I to the Certification Body. Certification body will analyze the submitted documents for continuation of Certification.

The surveillance/audit frequency can be more based on the recommendation of surveillance team leader.

Every year supplier shall also deposit following documents stamped and signed by authorized signatory -

- Valid ISO 9001 certificate for the scope as specified in the certification scheme.
- Web site address and latest contact details.
- Help desk numbers

### 5.2 Re-certification:

The validity of the certificate is for 3 years after which supplier has to undergo re-certification process. Generally re-certification process will be initiated 3-6 months in advance before the expiry of certificate. The re-certification process will include limited device testing and On-site audit.

The supplier shall deposit one device sample at BDTL, Mohali along with a filled copy of application form for re-certification, TCF (only changes), inhouse test report for functional testing and fee of Rs. 1.00 lac + service tax(as applicable).

**Rs1 lac break up is detailed below-**

**Onsite audit-Rs30K**

**Offsite audit-Rs30K**

**Testing fee-Rs30K**

**Certification fee-10K**

**Total=Rs1lac+service tax**

BDTL will conduct following tests on the sample device:

a) To verify that the claim of no change in device is valid, BDTL will carry out following comparisons/ checks:

- Cross-verify device with its specification sheet & Manufacturer's Website.
- Visual appearance comparison (Physical shape, color, ports/ connectors, etc.)
- Dimensional measurement comparison



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- Weight measurement comparison
  - Output/ Image comparison (visual, image format, image size, etc.)
  - Device manufacturing location
  - Any other
- b) Functional testing of the device submitted
- c) Conduct Image Quality tests on the device submitted

In case of not satisfactory result in any of above, supplier will submit two devices for recheck/retesting. If results are still not satisfactory failure report will be issued.

**Retesting charges –Rs30,000/-+ service tax**

The audit (On-site/ off-site) generally one man-day is conducted as per following STQC Policy.

1. On-site audit at the time of Initial Certification (shall be conducted within six months of certification)
2. Off-site audit during certification period of 3 years (between 18 to 24 months of certification cycle)
3. On-site audit at the time of Re-Certification (shall be conducted within six months of re-certification)
4. Off-site audit during re-certification period of 3 years (between 18 to 24 months of certification cycle)
5. On-site audit at the time of second Re-Certification (shall be conducted within six months of certification)

Therefore in one certification cycle one On-site and one Off-site audit will be conducted.

Certification body will analyze the submitted documents during offsite surveillance for continuation of Certification.

## 6.0 Special Visit

Special visit may be required because of one or more of the followings:

- Discovery of a major non-conformance in a system or product
- Failure to carry out satisfactory corrective action
- Serious complaints from users and other stakeholders
- Non submission of Documents as per Annexure by the client

The decision to initiate the special visit is the responsibility of Certification Body. This special visit may also result in withdrawal/cancellation of the certificate.

## 7.0 Re-Assessment

Re-assessment is done whenever there are

- Large number or serious complaints



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- Changes in technology or products
- Change in specification /UIDAI requirements.

The decision to initiate Re-assessment is the responsibility of Certification Body. The report of re-assessment is expected to provide useful information to Certification process.

### **8.0 Procedure for certification /Recertification (Onsite) and Surveillance (Offsite) audit**

During audit (On-site/ Off-site) following documents shall be verified:

1. Technical construction file.
2. Continuing compliance to ISO 9001 certification.
3. “No change” undertaking as per Annexure II.
4. Supplier has system to address Customer complaint.
5. STQC or UIDAI/Aadhaar Logo is not used by supplier.
6. Supplier provides necessary trainings to user agencies.
7. Supplier continues to be authorized by OEM to supply devices in India.
8. Supplier continues to comply with latest version of API specification/VDM of UIDAI.
9. Supplier continues to maintain support service to user & also continues to maintain device quality as per UIDAI specification.
10. Supplier’s Help desk is effective.
11. Continues to comply with the provisions of the certifications scheme.
12. OEM conducts minimum following tests on all the devices before release.
  - a) Visual Inspection (100%).
  - b) Functional Testing (100%)
  - c) Image Quality Testing (100%).
13. Supplier’s web presence specifies
  - a) Certified device details
  - b) Prominently displayed help desk numbers.
  - c) Sales/Marketing persons for enquiry and contact details.

### **9.0 Renewal of certificate**

After three years certificate will be renewed for further period of three years if following are met.

1. Supplier meets the certification criteria during on-site recertification audit.
2. If no complaint received by STQC/Complaint addressed satisfactorily.
3. Satisfactorily Declarations given on time annually



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Extension of certification-In case recertification process is not complete before expiry of certification; validity can be extended for maximum one year period provided following conditions are met-

1. Supplier requests in writing with justification for extension before expiry of certificate.
2. Declaration under oath from supplier is received.
3. Past performance in respect of following is satisfactory-
  - Satisfactory onsite/offsite surveillance
  - No major customer complaints received by him
  - No negative feedback from UIDAI
  - Undertaking from supplier for no major complaints received by supplier

#### **10.0 STQC Charges:**

**Recertification charges- Rs1lac+service tax (as applicable)**

**The above charges includes testing charges and offsite surveillance charges**

#### **Annexure I**

1. Technical Construction File (Only for changes from at the time of previous certification).
2. Valid ISO 9001 certificate for the scope as specified in the certification scheme.(applicable only for any change).
3. Undertaking on No change in Material, Component, Design & Manufacturing process as per Annexure II
4. Evidence for handling customer complaints along with information on major customer complaint.
5. Undertaking by supplier that he is not making unauthorized use of STQC or UIDAI/ Aadhar logo/ mark/ certificate.
6. A copy of Contract agreement with user (format) , records of training delivered to user/user groups and a list of trained employees within supplier organisation
7. Supplier to give undertaking on continued authorization and support from OEM for devices supplied. Procedure on Exit Management plan /contract with Manufacturer.
8. Commitment on continued API/VDM Compliance for any change in API requirement by UIDAI
9. Record of support provided (Help desk report) and list of stock available at the time of call for record for repair, maintenance/replacement
10. Undertaking on compliance with the Biometric device certification scheme.
11. Corrective actions of previous audit (Offsite/Onsite).
12. Supplier to provide evidence of OEM testing/inspection before product release.
13. Evidence of supplier web presence.





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14. Internal audits and management review results and actions Corrective/Preventive actions.
15. Inventory/record of biometric Installations keeping lists of geographically spread biometric sites and installations with detailed information about them
16. Quality manual of supplier shall be supplied along with initial application and revision (if any) at the time of surveillance.
17. Any outstanding issues as identified in previous assessment report.

**Annexure II**

This is certified that there is no change in the Model ----- delivered in India (UIDAI application) in the duration from----- (Date) to ----- (Date) in respect of the followings:

1. Material and Components used,
2. Design of the device
3. Manufacturing process

(Authorized Signature)