



IT CERTIFICATION SERVICES
Rules and Procedure for POS/Mobile Terminal
Device Certification

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Rules and Procedure for POS/Mobile Terminal
Device Certification

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Part-I (Introduction)

1.1 Background

It is also known fact that unrestrained access to public goods and services is the basic principle of an open and efficient society. Government declares their policies for different social sectors and launches scheme to deliver various services. To ensure that services are delivered to entitled persons only technologically enabled online authentication is a key requirement. The purpose of Authentication is to enable residents to prove their identity and for service providers to confirm that the services are provided to entitled persons **(who they say they are)**.

UIDAI has implemented the necessary institutional, technical and legal infrastructure to issue unique identity numbers to individuals usually residing in India, which can be verified and authenticated in an online, cost-effective manner, and that is robust enough to eliminate duplicate and face identities (Aadhaar Based Authentication).

The aim of this procedure is to document testing and certification process to facilitate availability of quality assessed POS devices/mobile terminal devices to user agencies. There are challenges for Testing and Certification of these devices which include:

- Complex interfaces
- Multiple configuration
- Evolving Requirements

1.2 Purpose :

PoS/Mobile Terminal Certification is required to

- Maintain quality of POS devices across the eco-system for uniform resident experience
- Ensure Maximum compatibility and interoperability of devices across the application/ vendors
- Ensure Reusability of various authentication applications available across ecosystem
- have the consolidated benchmarking of POS devices vis-à-vis available industry standards
- Ensure service levels and support availability
- Ensure secure and transparent authentication

The purpose of this document is to define procedure and criteria of certification of POS/ Mobile Terminal devices to be used for various Gol programmes which require Aadhaar Based authentication.



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1.3 Objective:

The objective of Certification of POS Devices is to facilitate availability of Quality Assessed Devices to user agencies. This certification scheme provides confidence that certified devices are reliable, safe, secure and meet the requirements of user department.

This objective is attained by ensuring device suppliers are certified based on their capability to supply POS Devices/ Mobile Terminals which meets the technical specification of user department and suppliers have adequate support systems to ensure availability of device functionalities/services in its life cycle. This includes but not limited to training on process to operator and maintenance of devices.

Testing:

- a) To verify the degree of compliance of device characteristics and specification with user department requirements specification.
- b) Provide opportunity for Vendors to understand defects/ nonconformance to rectify the same leading to improvement in the quality.
- c) To grant certification and provide assurance to users of devices

Certification:

- a) To make purchase decision easy and fast from buyer perspective as certified devices are technical compliant with user department specification.
- b) Reducing overall cost of demonstrating compliance, as certification is a continuous compared to repeatedly demonstrating compliance tender wise to different buyers
- c) Enhancing Quality benchmarks systematically in a well structured way through consultative process with stakeholders.
- d) To provide a platform to stakeholders in regard to "Quality" of the device.

1.4 Scope:

Scope of certification covers a various type (Form factor) of POS Devices like

❖ **POS Device**

- Integrated POS devices are basically handheld devices in which many peripherals are console in a single unit. These are mobile battery operated devices which can be carried easily at field location.

❖ **Mobile Terminal**



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- Mobile phone/ tablet and peripheral devices with other integrated units like Biometric sensor, printer, smart card with battery backup etc.

Devices not covered under the scope

- **POS Devices** connected to a weighing instrument intending to be used for direct sale to a public are not covered in the scope of certification, even if they are manufactured as the separate unit (e.g. connected through RS232 interface).

1.5 Definitions and Explanations:

1.5.1 Definitions

Supplier (Services)

The party that is responsible for placing POS Devices into the Indian Market and is able to ensure that Quality assessment is exercised. The supplier can also be client, vendor, channel partner, □authorized agent with a legal entity in India. For the purpose of this scheme supplier is the applicant and responsible for obtaining the certification.

Manufacturer (Product)

Legal Entity anywhere in the world that makes POS Devices through a process involving raw materials, components (optical, opto-electronics, electronics, embedded software etc.) or assemblies, usually on a large scale with different operations divided among different workers. They are also responsible for Quality Assurance of the produced devices including Testing of Devices as per user department requirements.

Quality Assessment

The totality of measures carried out consistently and systematically, in order to ensure that POS Devices conforms to the user department requirements of a stated specification.

Certificate of Approval

Certificate issued to the supplier after successful completion of all the tests in a control laboratory environment, demonstrating objectively that all the Quality requirements of user department has been met.

Certificate of Approval is issued once adequate level of confidence is obtained about the Quality of POS Devices that it meets the user department specifications. This confidence is based on objective assessment of laboratory test reports and documented evidence supplied by the applicant demonstrating compliance with some of the requirements. This has validity of 3 years.

Certification Body (CB)

The body which conducts certification of compliance/conformity with respect to published user department specification. STQC is the certification body for POS certification.



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Reseller. A reseller is a company or individual that purchases POS Devices with the intention of reselling rather than using. A reseller's product fulfillment based business models can include a corporate reseller, retail or direct market reseller.

Certification Agreement

An agreement which is part of the Certification System and which details the mutual rights and obligations of the certificate holder and the Certification Body, and which includes the right to use the certificate.

Appeal

A formal expression of dissatisfaction by a party affected with a decision of a Certification Body, which is directly related to the certification status of the POS Devices.

Complaint

A formal expression of dissatisfaction with some matter related to a Certification Body, a certified supplier, a certified POS Devices or an individual.

Dispute

Expression of difference of opinion between two parties in relation to some matter related to a Certification Body, a certified supplier, a certified POS Devices an individual.

Minor Non-conformity

A Minor Non-conformity is an isolated procedural lapse that will not directly affect the conformance of the POS Devices to the applicable specification. If there are technical deviations from the specifications which appears to be minor to all CC Members, they can consult user department and/or Technical expert of TAC and if there is an agreement they can recommend for Certification after due recording.

If there is difference of opinion in CC Members, advice of TAC may be obtained. The functionality and performance of the device cannot be compromised for classifying a minor non-conformity. However, Certification committee can record the same and recommend for certification.

Major Non-conformity

A Major Non-conformity is the absence of or the in-effective implementation of one or more required system elements, or a situation, which would, on the basis of objective evidence or evaluation, affect the conformance of the POS Devices to applicable requirement of user department

1.5.2 Explanations

POS Device

POS is the place where a transaction occurs in exchange for goods and services, the ownership is transferred from the supplier to the buyer (or beneficiary) and a receipt is given. It can occur on a smart phone, tablet, laptop or mobile POS Device.



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POS terminal is an electronic device that is used for verifying and processing credit card transactions, connected via highly reliable connections, they require rapid dial up time, low power and reliable performance integrated solution. The various key components of POS terminals are key pad, smart card, magnetic card, bar code reader, LCD display, modem (PSTN), Pinter, Key Pad/Touch Screen with interfaces to the microprocessor. The processors have necessary security controls.

Integrated POS Device has these components in a single unit. Generally, the complete device is shipped in one box and is completely assembled. The internal printer has paper installed and is ready to use. The electrical component is attached to appropriate socket.

1.6 Approval & Issue

This document has approval of the competent authority and is the property of STQC & user department and should not be reproduced in part or full without the written consent.

1.7 Approach and Principles

Principles used for Certification

- i) Device are designed as per user department specifications
- ii) Devices are manufactured in a facility having sound quality management system ensuring consistent compliance with user department specifications
- iii) The device distributors in India have necessary and sufficient support infrastructure to ensure service continuity of the device by meeting agreed service levels.

For assessing Quality of POS Devices following approach is followed:

Controls required by Manufacturers/OEM

- i) Control of design of POS devices by the manufacturer ensuring compliance with user department specifications.
- ii) Control of processes of manufacturer at the manufacturer site.
- iii) Functional and Performance Testing to verify the Quality

Controls required by Suppliers

- iv) Demonstration of an established Quality Management System for supply of POS Devices
- v) Managed relationship between supplier and manufacturer (OEM) for sharing critical information

1.8 Quality Model

The Quality of POS Device is defined by the following characteristic:



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- a) Design to Specification
- b) Security Assurance
- c) Safety of the Device
- d) Reliability and Durability of the Device
- e) Environment, Health and Safety
- f) Electro-magnetic compliance
- g) Compatibility / functionality of software application

1.9 Stakeholders Roles and Responsibilities:

User department: Responsible for:

- a) Ownership and approval of the specification
- b) Reviewing the certification scheme
- c) Working closely with STQC and informing any changes, if required
- d) Providing inputs for the scheme based on the requirement

NIC: Responsible for:

- a) Providing technical inputs to STQC so that test cases and test scenarios can be designed
- b) Participating in technical advisory committee and management committee for the certification scheme

STQC: Responsible for:

- a) Operationalising certification scheme
- b) Closely working with NIC and user department to obtain all the required inputs for designing and running the scheme

Device Supplier: Since Supplier is placing the devices in the Indian Market they are responsible to ensure delivery of devices as per contract and having a support system for Life Cycle Management of the Devices. Supplier is responsible to provide inputs, information and the hardware etc. as outlined in Application Form. Supplier can sell its product to reseller under the scheme but is responsible to track the device & monitor its quality health. Supplier is also responsible to train the reseller and maintain all the records.

Reseller: Reseller is responsible to agree & maintain the service level agreement with the supplier. A reseller, also sometimes add value by providing training, support services & maintenance.

Golden Supplier: Under the scheme OEM shall appoint their golden supplier in India who is responsible to interact with STQC for the purpose of certification. The term golden supplier has no business connotation and term is used for operation



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convenience. OEM can have their own models for multiple authorized suppliers. The term "Golden supplier" is applicable between STQC and OEM only. The golden supplier should not be allowed to claim any type of special status from certification perspective. OEM can treat him as a preferential supplier as per his own internal policy. The test report will be owned by OEM and all the test charges needs to be paid as per Indian laws and regulations act. Hence different suppliers need not get the product tested again and again.

Device Manufacturer: Device Manufacturer is responsible to provide all technical support to the supplier (Applicant) and the facilitate the certification.

Director Test Laboratory: Director Test Laboratory is responsible for planning and managing the testing activity. Software test laboratory is responsible for conducting test on the devices and application in reliable and professional way.



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Part-II

Certification Procedure

2.1 Approaching STQC

Any interested supplier of POS devices can approach STQC for certification and can also obtain details from www.stqc.gov.in. Before applying for certification supplier shall understand the complete specification and certification procedure as listed below

2.2 Pre-requisite for Certification

Supplier shall understand the Certification and Surveillance requirements, applicable charges etc. before applying to Certification Body (STQC). Since specification consist of design and performance parameters of POS devices, a composite approach has been followed for certification purposes. This means that supplier with the help of a manufacturer has to provide an assurance that critical components, as required by specification are quality assessed. The quality assessment of these critical components as per user department specification is done by manufacturer, records are maintained and shared with authorized supplier. Their could be variety of methods of assessing the quality of these components example vendor appraisal or using quality reports of vendors/vendor selection methods or performing quality control at incoming inspection or using supply chain principle and maintaining traceability, etc. For each critical component the assurance method selected by manufacturer shall be documented in technical construction file.

Supplier shall establish a relationship with the manufacturer and a level of trust that this information will be used to get a confidence that devices meet the specification and can be certified. The critical components shall include but are not limited to the following:

- i) Biometric Sensor and Extractor (Finger Print)
- ii) Processor
- iii) Memory
- iv) Keypad
- v) Operating System
- vi) USB Ports
- vii) Audio
- viii) Status Indicators
- ix) Connectivity
- x) Non-Volatile Storage
- xi) Display
- xii) Printer
- xiii) Battery
- xiv) Antenna



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- xv) Power Adapter
- xvi) Speaker
- xvii) Sensor
- xviii) Camera Bar Code Reader
- xix) Other Accessories
- xx) Support
- xxi) Security
- xxii) GPS

There could be two situations

- a) Supplier represents a manufacturer (OEM - anywhere located in the world) in India and is responsible for device management in India.
- b) Supplier is a manufacturer in India based on indigenous or imported technology

In case of (a) above, the manufacturer (OEM) shall have an agreement/contract with Indian supplier to provide all the relevant details, which are not commercially confidential in nature to enable him to obtain the certification.

In case of (b) above, STQC shall be allowed to conduct a visit at the manufacturer premises to check adequacy of quality control method of these critical components to ensure that these components are purchased, inspected/tested and compliance with user department specification is ensured.

Supplier shall prepare a Technical Construction File (TCF). The clarity in TCF provides confidence to the Certification Body regarding Quality of POS Device. The requirements of TCF are given in Annexure III.

Assurance through design and internal Quality Control

Since it's a requirement that manufacturer (OEM) shall have an established quality management system and certified to the requirements of ISO 9001:2008 indicates that he has adequate control mechanism to meet customer and user requirement. Since the QMS of OEM is certified by an Agency which has got international accreditation, STQC is relying on internal controls for demonstrating compliance. In the production stage and/or during incoming quality control of materials/components/parts and after final testing/release the authorized representative of manufacturer (OEM) shall declare the conformance of critical components with specification (user department). The release note/final test report (or a reference) shall provide the following details of each critical component of the each device.

- part number of device
- Make/model No.
- Manufacturer/Distributor



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- Statement that internal testing and/or inspection done for these critical components and they are in compliance with user department specification for each device
- Release report/final test report of the device from authorizes person indicating compliance of the device (including these critical components) with user department specification.
- (OEM obtains declaration of conformity and/or test report from the manufacturer/distributor of these critical components to get assurance of compliance with the specification.)

Supplier is responsible for ensuring that device is a compliant (with user department specification) device, he shall provide these declarations based on test report as part of their technical construction file and shall maintain a record of release notes from OEM for each lot (consignment) which will be checked during surveillance visit.

The supplier shall place the details and configuration of the device (candidate for certification) in the public domain (on their website).

If supplier is confident regarding meeting the Certification requirement then he can apply to Certification Body (STQC). The contact details are given in the application form.

2.3 The Application

Requirements for Application

The Certification Body requires that supplier:

- a) Always complies with the relevant provisions of this certification scheme
- b) Provide all necessary inputs for testing and pay the applicable fee in advance as listed in schedule of charges.
- c) Shall sign "Certification Agreement Document" indicating agreeing with the rules, procedures, Terms and Conditions of the Certification Body

2.4 Inputs Required by STQC

Access to the followings information & facilities/ systems to undertake testing of POS devices will be required by STQC:

- Duly filled Application form along with the documents mentioned in the application form.
- Test and certificaion charges
- Technical construction file
- Three Nos. of POS Device to be tested, software application, database & test samples.
- Test environment for testing of specialized parameters (if required)
- Compliance statements and Test reports



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- Arrangement to witness the testing at manufacturer facility, in case the in-house facility for the same is not available with STQC

Supplier would need to be directly providing the documentation to STQC and as per the certification needs provide additional information/Test results if required.

Application processing

On receipt of application, Certification Body evaluates

- The completeness of the application along with necessary documentation
- The technical construction file

and informs the supplier to supply the POS devices (3-Number) to the designated test laboratories. At the same time CB informs the test laboratory for commencement of the test and also supplies the copy of application and test specifications to the laboratory.

2.5 Conduct of Test

Testing

Testing activity consist of the following task

- a) Study & Understanding of the device design and configuration
- b) Test Planning & Preparation
- c) Test Execution
- d) Test Report Preparation

STQC test lab will execute the testing as per Test Plan. In case of any non-compliance/failure STQC test lab shall inform to the supplier and stop the testing. The supplier should analyze the results and take corrective action, both at device level and at System Level. If corrections are required at Manufacture level (device level) supplier shall co-ordinate the same and inform to CB. The testing can be re-started if CB is satisfied with the analysis and corrective actions are satisfactory. CB and STQC test lab will decide whether to start test from zero level or partial testing is adequate depending on the situation and engineering analysis of the test data. This should be recorded and presented to Certification Committee at the time of Certification.

The supplier shall maintain analysis and corrective actions records which will be audited during surveillance visit.

The designated laboratory (STQC test lab) carries out the test as per supplied test specifications and following the prescribed test methods:



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- Tests are conducted by testers as per defined test methodologies.
- Test results are logged and whenever a defect is found during test, the same recorded with details of observations.
- A Test Report is prepared that summarizes the test results including defects and anomalies according to their degree of severity as per defined criteria.
- The test report is submitted to the Certification Body, after the completion of tests.
- The inputs supplied (documents & POS devices) by the supplier and test reports are preserved by the test lab. for 3-years.

After completion of the tests STQC test lab shall prepare the Test report in approved format and forward the detail test report to Certification Body

Policy of certification body in the event of the failure of the device

In the event of the failure of the device the test lab should inform the certification body. If failure is due to the software the supplier shall immediately take corrective/preventive actions and inform to the CB

- (a) Failure analysis and root cause analysis
- (b) Corrective and preventive actions
- (c) Action on change control/configuration control/version control of the software

If failure is due to the hardware testing should be stopped, supplier should be informed and a fresh testing with double the number of samples should be taken up after (a) and (b) stated above are implemented.

Additional test charges shall be calculated and levied for testing. Tests to be re-conducted and test charges will depend upon the stage of device failure.

If any of the two samples fails the testing activity should be concluded as fail.

2.6 Decision on Certification

Certification body will internally check the compliance with respect to Rules and Procedures of the scheme and put up to Certification Committee after

- a) Analyzing the test results
- b) Verifying compliance to evaluation Criteria

Certification Committee will review the reports and other information holistically, and give the recommendation for Certification. Certification Committee can use a reference Checklist.

The decision whether or not to certify a supplier's POS Devices will be taken by the Head (Certification Body) based on the recommendation of the Certification Committee. This will be on the basis of the information gathered during the certification process, evaluation of the test report and any other relevant information.



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Where necessary, the Certification Committee will seek expert's opinion to determine the technical basis for its decisions.

The Certification Body will not delegate authority for granting, maintaining, extending, reducing, suspending or withdrawing certification to an outside person or body without prior approval of Head (Certification Body) in each and every case.

Head (Certification Body) will issue the certificate after getting satisfied with the recommendation of certification committee. The certificate of approval covers:

- a) The name and address of the manufacturer and supplier
- b) The scope of the certification granted including brand and model no., standards and/or other normative documents to which POS Devices are certified
- c) The effective date of certification and the term for which the certification is valid

Simultaneously, arrangements will be made to update the list of certified suppliers available at www.stqc.gov.in

The performance of POS Device depends on the nature of the components used in the devices and also the configuration of the device. Therefore, the certificate will be valid for a particular nature of components used in the device and its configuration. Any change in the nature of the components used in the device and its configuration will require a re-certification.

Also note that the certification process is not intended to endorse one product over a competitor's product, but merely to certify that the product meets requirements of user department project and that, between two products that meet requirements of user department project, the STQC and user department both does not recommend one over the other.

Deliverables

On satisfactory completing all above activities and fulfillment of certification & Evaluation Criteria, CB will issue the final invoice and after receipt of payment issue the certificate along with the test report.

To ensure Certification remains valid, the supplier shall meets the maintenance of Certification Requirements

Test and Certification Schedule:

- It will take about 4-6 weeks to complete the testing and certification after required inputs have been provided by the client to STQC.
- The charges for 14 % (or as applicable) shall be extra.

Mode of Payment:

Application and Testing



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- Application, Testing and Surveillance Fee are paid in advance through DD/ PO drawn in favor of “Pay & Accounts Officer, DIT, New Delhi”
- The service tax @ 14% (or as applicable) shall be extra.

Terms and Conditions:

- The payments to STQC Directorate (being Government of India organization) are exempted from TDS under section 196 of Income Tax Act.
- The client shall arrange for DUT and support environment at STQC test lab where testing will be undertaken.
- In order to complete the testing, as per schedule, client shall ensure readiness of test related documentation and timely availability of the required information.
- STQC shall ensure timely completion of test activities as per plan and submit the deliverables.

2.7 Certificate of Approval

If the test results of device are satisfactory and meet all the requirements of certifications, the certificate of approval shall be granted after following the administrative process.

The status on the website shall be updated accordingly.

The validity of Certificate of Approval is three year.

2.8 Need of Re-Certification:

Any change after Certification, in any of the components of the device, will require re-certification. This may be due to change in

- POS device specification or
- Addition/ change in design, reconfiguration/ manufacture/ development of Biometric Devices

In case of no changes in the certified device, supplier has to give written declaration/ undertaking.

2.9 Monitoring and Re-assessment

STQC will carry out periodic monitoring to verify that certified POS device suppliers, continue to comply with the certification requirements. Supplier and manufacturer shall continue to comply with the requirement of the scheme based on which the certificate of approval was granted. Any non-compliance(s), field failure, and user complaint/ feedback reported to the certification body will be analyzed and appropriate action will be taken. These reported issues/ problem will be intimated to the supplier for root cause analysis and corrective/ preventive actions. This may involve retesting of the devices by STQC. Supplier will be charged for these tests.



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STQC will carry out periodic monitoring at sufficiently close intervals to verify that suppliers whose, POS are certified, continue to comply with the certification requirements. Supplier and manufacturer shall continue to comply with the requirement of the scheme based on which the certificate of approval was granted. Any short term non compliance(s) shall be reported to the certification body. user department through the device users will also get the feedback on the device quality.

2.10 Suspension and Withdrawal/Cancellation of Certification

At any stage if certification body finds that requirements are not complied with, the certificate can be suspended. Applicant can withdraw the certificate at any time.

2.11 Maintenance of Certification

For maintenance of certification, the supplier shall submit annually a statement regarding continuing compliance with the criteria and the requirements scheme along with objectively verifiable documents. The CB will carry out the monitoring of these documents along with the audit testing.

Based on the results of the audit/ testing and documents monitoring CB will take the decision for continuation of the certification or otherwise.



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Part-III
Governance Structure

3.1 Certification Body

The Certification body consists of officials and signatories from STQC. All the operations and functions of the Certification body will be performed by STQC.

Name and Office Locations

Certification body operates from STQC Directorate at New Delhi, India and STQC is an attached office under Ministry of communication and information Technology, Department of Electronics and Information technology, Government of India

Goal

To provide certification services for POS Devices in a competent and credible manner leading to enhanced acceptability of POS Devices by users organizations.

General Policy statements, declarations and commitments

The Certification Body provides unhindered access to all the eligible applicants seeking certification. However, the certified organizations will have to commit that they supply the certified biometric devices in the market (business/activities) and are involved in the activities for which they have been certified.

All the procedures adopted by the Certification Body are administered in a non discriminatory manner. It makes its services accessible to all eligible applicants, without any undue financial or other conditions.

The Certification Body confines its assessment and decision on certification to those matters specifically related to the scope of certification being considered.

It has a defined criterion against which the POS Devices of an applicant is assessed and is responsible for its decision relating to the granting, maintaining, extending, reducing, suspending and withdrawing certifications.

It has an identified management structure, which has the overall responsibility for the operation of Certification System including provisions to assure the impartiality of the operation of Certification Body. It further enables participation of all interested parties in the content and functioning of certification system.

It has sufficient number of personnel having the necessary education, training, technical knowledge and experience for performing certification functions under the overall responsibility of Head (Certification Body). It has a documented system to provide confidence in its ability to operate a certification system.



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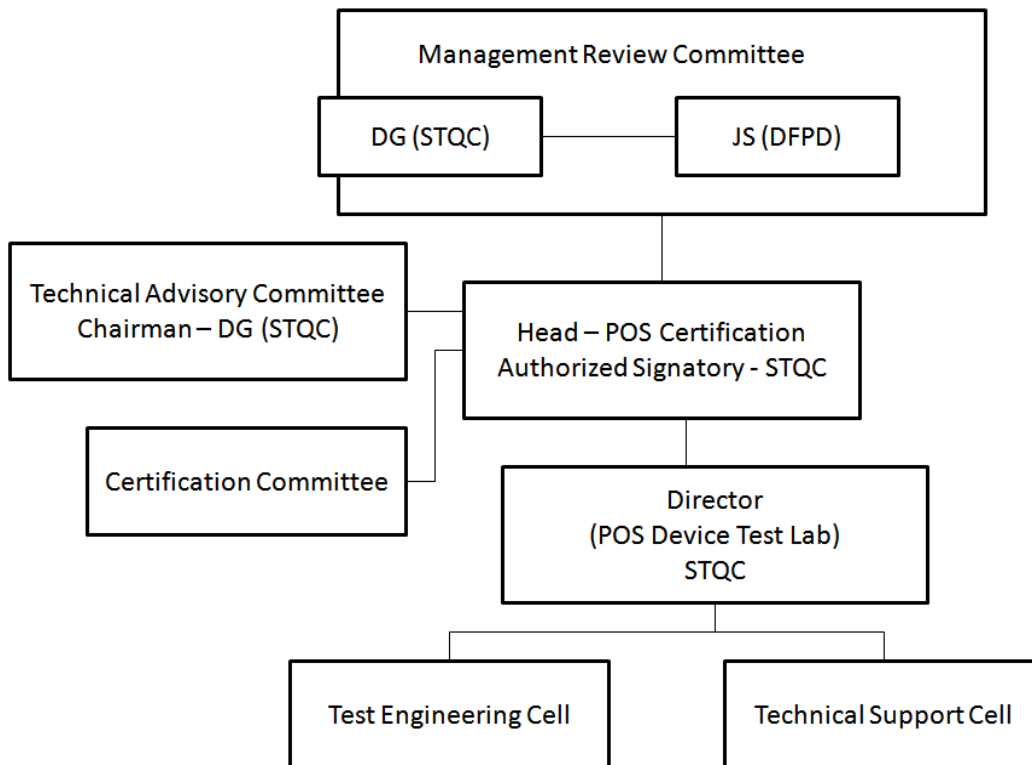
The Certification Body's personnel along with Head (Certification Body) & staff are free from any commercial, financial and other pressures, which might influence the results of Certification process. It has a defined policy and procedure for resolution of Complaints, Appeals and Disputes received from suppliers or other parties about the handling of certification or any other related matter.

3.2 Organisation

The certification body has

- Management Review Committee
- Head (Certification Body)
- Technical Advisory Committee (TAC)
- Certification Committee (CC)
- Director (Test laboratory)

ORGANISATION CHART OF CERTIFICATION BODY



Criteria, Composition and Terms of Reference



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- **Management Review Committee (MRC)**

The objective of management review committee is to carry out periodic review of effectiveness & efficiency of the certification scheme for POS Devices at least once in a year. They will also ensure implementation of necessary actions to meet the objectives. Management Review Committee will be chaired by JS (user department) and DG(STQC) or members nominated from user department and STQC.

- **Technical Advisory Committee (TAC)**

The object of the Technical Advisory Committee is to provide the technical advice to certification system at various levels, as per the requirements. The TAC will meet on the following events or recommendation of MRC:

- Change/ Review of user department specification documents
- Review and adoption of Certification Scheme documents
- Providing clarification and interpretation of technical issues, interpretation of standard requirement.

TAC would be responsible for:

- Drafting and reviewing, the scheme specific technical documents etc.
- Resolution of disputes received from supplier/developer with regards to the interpretation of specifications etc.
- Appeals, Complaints and Disputes brought before the Certification Body by suppliers or other parties.

The members are chosen among those interested parties involved in the

- Formulation of user department specification documents
- Formulation of Certification System documents
- Technology Experts on POS Technologies
- Testing Experts
- Technical expert on standards

The TAC has six representatives that have adequate academic and professional experience in the field they represent. Representative of STQC is the Member Secretary of the Committee. The other members are:

- Representative of Industry (Two Members)
- Representative of STQC (One Member)
- Representative of DIT (e-Gov division) (One Member)
- Representative of user department (One Member)

- **Head, Certification Body**



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Head (Certification Body) acting under the authority of STQC Dte. He is responsible to safeguard the impartiality of the Certification Operations and to provide confidence in its certification.

Head (Certification Body) along with STQC team is responsible for operation of the Certification System.

In case of conflict of opinion with the decision of the Certification Committee, he may take decision, as appropriate.

He is responsible for approval of System Procedures and Forms/ Formats.

- **Certification Committee**

The role of the Certification Committee is to advise the Certificate Signing Authority on decisions relating to

- Certification Biometric Devices after its technical evaluation.
- Certification of assessor/specialist resource for empanelment

The Certification Committee consists of a three representatives appointed by DG (STQC). The member secretary of certification committee will be responsible to brief Certificate Signing Authority, the results of evaluation.

While advising the Certificate Signing Authority, on certification related decisions, the Certificate Committee will

- ensure compliance through /evaluation to the defined criteria.
- review the reports of testing and evaluation for adequacy of their content.
- provide feed back for improvement
- seek expert's opinion where necessary for determining the technical basis for granting certification.

The Certification Committee normally meets as and when required. The convener of the committee presents all requisite information along with supporting documentation to the certificate signing authority. The authority will examine the inputs and inform the Head (Certification Body) on certification decision.

- **Director (Test Lab) -**

The Director (Test Lab) will be responsible for management of testing and evaluation of POS Devices.

3.3 Records

The Certification Body maintains a record system to comply with existing procedures. The records demonstrate that the certification procedures have been effectively implemented, particularly with respect to application forms, assessment reports, test and evaluation reports



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and other documents relating to granting, maintaining, extending, reducing, suspending or withdrawing certification. The records are identified, managed and disposed of in such a way as to ensure the integrity of the process and confidentiality of the information. These records are kept for at least one full certification cycle (i.e. 3 Years).

3.4 Documents and Change Control

Certification body maintains a formal document control system where all procedures, specifications etc. are controlled by Doc. No., Version No., and Records/ History of amendments and approval of changes. A master list of approved documents indicating above is maintained by certification body.

3.5 Confidentiality

The Certification Body has adequate arrangements, consistent with applicable laws, to safeguard confidentiality of the information obtained in the course of its certification activities at all levels of its organization, including committees and external bodies or individuals acting on its behalf.

The information obtained for the certification purposes shall not be disclosed to a third party without the written consent of the supplier. Where the law requires information to be disclosed to a third party, the supplier will be informed of the information provided as permitted by the law.

3.6 Liability

The Certificate of Compliance given to a Biometric Device Vendor, here in referred to as "Supplier", under the scheme shall not be regarded as in any way diminishing the mutual contractual responsibilities/obligations between the supplier and purchaser. While the Certificate of Compliance will normally be a sound indicator of the capability of supplier to provide quality products/applications/ services, it should not be taken as a sort of guarantee accorded by the Certification Body. The Certification Body will not be liable for any deficiency in the products/service supplied by supplier.

3.7 Appeals, Complaints and Disputes

Appeals, Complaints and Disputes brought before the Certification Body by suppliers or other parties are subject to the review of Technical Advisory Committee.

The Certification Body will

- a) Keep a record of all appeals, complaints and disputes and remedial actions relative to certification
- b) Take appropriate corrective and preventive action
- c) Document the actions taken and assess their effectiveness.

3.8 Changes in the Certification Requirements



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The Certification Body will give due notice of any changes it intends to make in its requirements for certification. It will take account of views expressed by the interested parties before deciding on the precise form and effective date of the changes. Following a decision on, and publication of, the changed requirements it shall verify that each certified supplier carries out any necessary adjustments to its procedures within such time, as in the opinion of the Certification Body, is reasonable. Certification Body will accept specification changes only from the committee, which is responsible for Specification Development.