



IT CERTIFICATION SERVICES
Rules and Procedures for Biometric Device Certification
(Authentication)

Document : (BDCS(A)-03-01)
Issue: 02 dated. 11.01.2016
Revision 00 dated.
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Rules and Procedures
for
Biometric Device Certification
(Authentication)
(BDCS(A)-03-01), Issue-2

STQC - IT Services

STQC Directorate, Department of Electronics & Information Technology,
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New Delhi – 110003



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Section 0: Preface

0.1 Objective

The objective of Certification of Biometric Devices is to facilitate availability of quality assessed authentication Biometric Devices to user agencies. This certification scheme provides confidence that certified devices are reliable, safe, and secure and meet the UIDAI requirements.

This objective is attained by ensuring device suppliers are empanelled based on the following:

- a) Suppliers are capable to supply Biometric Devices which meet the technical specification of UIDAI.
- b) Suppliers have adequate support systems to ensure dependability on device front. User agencies shall get adequate support in the device lifecycle. Which include but not limited to training on process to operator and maintenance of devices

0.2 Related Document

1. Biometric Design Standards document of UIDAI.
2. Conformity Assessment Requirements for e-Governance (CARE) [www.egovstandards.nic.in].

0.3 Approach and Principles

Biometrics means automated methods of identifying a person or verifying the identity of a person based on physiological, behavioral or biological characteristics. For UIDAI project, the physiological aspects chosen to identify a person are finger image and iris recognition. For successful match quality assessment of both enrolment as well as authentication devices is important. For assessing Quality of the biometric devices and providing confidence to the user agencies, independent testing of the devices is carried out as per the UIDAI requirements. In addition to the testing, following demonstrable controls on device level, manufacturer level and supplier level are also verified:

- The devices are designed, manufactured and delivered to meet the technical requirements of UIDAI. Final test report and release note of manufactured devices are available on demand.
- The devices are manufactured at a facility having established Quality Management System (QMS).
- Supplier has a system to provide confidence in the distribution and maintenance of devices.

The certification scheme is based on the following principles:

- Use of international applicable standards (preferably ISO Std.).
- Established test methodology and objective evaluation criteria to ensure repeatable, reproducible, and reliable test results.
- Grant of “Certificate of Approval” after analyzing STQC test reports and other certifications previously obtained by manufacturers and suppliers.
- Sustained assurance through surveillance/ monitoring during operational phase.

0.4 Scope of Certification

At present the following devices are covered under the scope:

- a) Single Finger Print Scanner for Authentication



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0.5 Approval & Issue

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

1.0 Introduction

The Unique Identification Authority of India (UIDAI) has been mandated to issue Unique IDs to every resident of the country. The Authority plans to use biometric attributes of the residents (all ten fingerprints and iris) to ensure uniqueness. A key requirement of the UID Systems is to minimize/ eliminate duplicate identity in order to improve the efficacy of the service delivery. Bio-metrics features are selected to be the primary mechanism for ensuring uniqueness.

For the purpose of authentication, large number of biometric devices (finger print scanners and iris cameras) will be used across the country in varied climatic conditions. To provide confidence about the quality of the system, emphasis has been given to Conformity Assessment through testing and Certification. The objective is to ensure that the components of the biometric devices of different vendors are seamlessly Integratable with the system and are interoperable. Formal testing and certification mechanism is required to ensure that the necessary aspects reflected in the different standards collectively provide adequate confidence on the devices.

The objective of device certification is to ensure its quality. The assurance required is for

- Device Portability
- Image Quality leading to data quality
- Durability for varied environmental and climatic conditions
- Safety and Electro-magnetic compatibility of the devices
- Functional, Interoperability(compatibility) and Security
- Authentication accuracy management

Section 1: General

1.1 Purpose

The purpose of this document is to lay down the policies and procedures for Testing and Certification of Biometric Devices. The scheme shall be operated jointly by Standardization Testing & Quality Certification Directorate, (STQC), and Unique Identification Authority of India (UIDAI) as per the applicable National/International standards and normative documents.

This document describes the organization of Certification Body and process of certification, which, by means of assessment/evaluation and subsequent monitoring provides an adequate level of confidence that the certified Biometric Devices are conforming to the specified requirements of the applicable standard, procedures and business rules and RFP/ tender/contract documents.

The Certification Body will evaluate Biometric Devices to determine its conformance to all the applicable requirements as defined. This includes:

- Identification of applicable standards/normative documents for test scenario, test condition



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- and test specification
- Test Methodology and Evaluation Criteria
 - Administrative and Technical Process for ensuring compliance
 - Requirement of competent personnel and /or test laboratories

This document is applicable to all those involved in providing the certification services such as testing labs., management review committee, certification committee, technical advisory committee, etc.

1.2 References

ISO/IEC Guide 65 - General requirements for bodies operating product certification systems
ISO9000 - Quality Management Systems- Fundamentals & Vocabulary
EN 45011 - European standard for 'General criteria for Certification Body operating Product Certification'
ISO/IEC 19795-1:2006 Information technology- biometric performance testing and reporting- Part I – Principles and framework
ISO/IEC 19794-2 Information technology - Biometric data interchange formats: Part 2: Finger minutiae data
ISO/IEC 19794-4 Information technology - Biometric data interchange formats - Part 4: Finger image data
ISO/IEC 19794-6 Information technology - Biometric data interchange formats - Part 6: Iris image data

1.3 Definitions:

For the purpose of this document, the following definitions, in addition to those given in ISO/IEC Guide 2 & ISO/IEC 19795-1 clause 4 shall apply.

Supplier (Services)

The party that is responsible for providing Biometric Devices and is able to ensure that Quality assessment is exercised. The supplier can also be client, vendor, channel partner, authorised agent with an legal entity in India. For the purpose of this scheme supplier is the applicant and responsible for placing devices in the market after obtaining the certification.

Manufacturer (Product)

Legal Entity anywhere in the world that makes Bio-metric 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 UIDAI requirements.

Quality Assessment

The totality of measures carried out consistently and systematically, in order to ensure that a Biometric Devices for UID Application conforms to the requirements of a stated specification/RFP/tender/contract.

Provisional Certificate

Certificate issued after successful completion of tests as per UIDAI specification and verification of documentary evidence demonstrating compliance of Bio-metric Devices with UIDAI requirements. Provisional certificate is issued once Biometric Device s meet UIDAI specification except FRR testing. vailidity of the Provisional Certificate will be till Field FRR test is conducted or one year, whichever is earlier.



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Certificate of Approval

Certificate issued after successful completion of all the tests in a control laboratory environment demonstrating objectively that all the Quality requirements of UIDAI. Certificate of Approval is issued once adequate level of confidence is obtained about the Quality of Biometric Device. This has validity of 3 years.

Certification System

System that has its own rules of procedures and management, for carrying out certification of compliance/ conformity.

Certification Body (CB)

The body which conducts certification of compliance/conformity with respect to published standards and any supplementary documentation required under the system.

Registration

Inclusion of the supplier's particulars and field of assessed capability by the Certification Body in an appropriate register or list.

Reseller. A reseller is a company or individual that purchases biometric 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.

Certificate of Compliance/ Conformance

Document issued under the rules of a Certification System indicating compliance/ conformance to the specified requirements of the applicable standard or requirements.

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 Biometric Devices for UID Application of the party affected.

Complaint

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

Minor Non-conformity

A Minor Non-conformity is an isolated lapse that will not directly affect the conformance of the Biometric Devices to the applicable requirements. However, if it persists, it may be considered a major non-conformity.



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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 Biometric Devices to applicable requirement.

Section 2: Certification Body

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

2.1 Name and Office Locations

Certification body will operate from STQC Directorate at New Delhi, India.

2.2 Legal Status

STQC Directorate is an entity under Ministry of communication and information Technology, Department of Information technology, Government of India. (Refer cl. No. 2.4: Organization description)

UIDAI is an authority under Planning Commission, Govt. of India.

2.3 Goal, Policy, Declarations and Objectives

Goal

To provide certification services for Biometric Devices in a competent and credible manner, leading to enhanced acceptability of Biometric Devices by user's organizations.

General Policy statements, declarations and commitments

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

All the procedures adopted by the Certification Body are administered in a nondiscriminatory manner. The Certification Body 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.

The Certification Body has a defined criterion against which the Biometric Devices of an applicant is assessed. In case of change in specification for any component viz-a-viz certification criteria, re-certification will be required.

The Certification Body is responsible for its decision relating to the granting, maintaining, extending, reducing, suspending and withdrawing certifications.



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The Certification Body has an identified management structure, which has the overall responsibility for the operation of Certification System.

The Certification Body has a documented structure, 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.

The Certification Body has a documented system to provide confidence in its ability to operate a certification system.

The Certification Body ensures that each decision on certification is taken by persons different from those who carried out the testing/assessment/evaluation.

The Certification Body has defined authorities and responsibilities relevant to its certification activities.

The Certification Body has adequate arrangements to cover liabilities arising from its operations and/or activities. (as specified in certification agreement).

The Certification Body has financial stability and resources required for the operation of the certification system, in the form of budgetary and resource support Department of IT. The financial administration of the scheme including determination of charges is the responsibility of Head (Certification Body).

The Certification Body 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).

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.

The Certification Body has a defined criterion for appointment and operation of all the committees needed for Certification process. These committees are free from any commercial, financial and other pressures that might influence decisions.

The Certification Body 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.

2.4 Organisation

Organisation description

The certification body has following constituents:

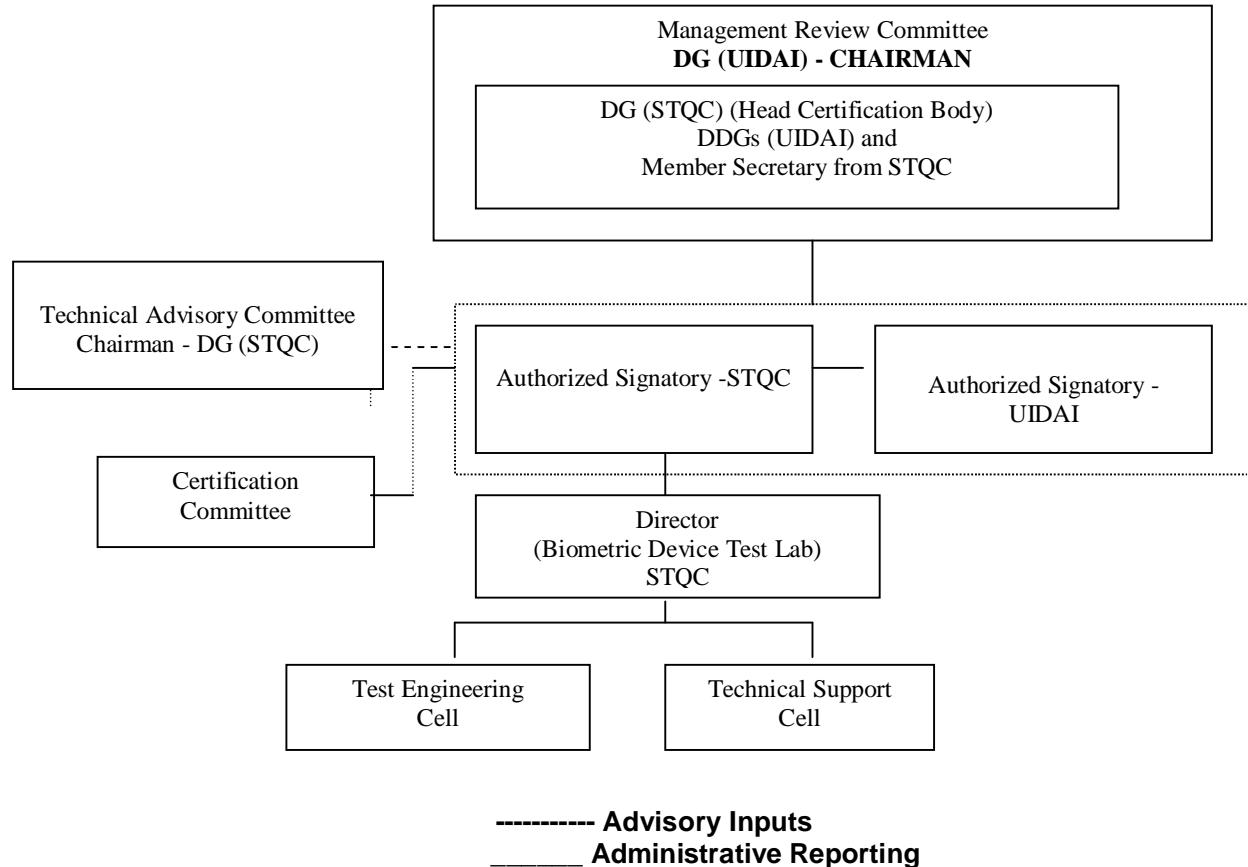
- I Management Review Committee
- II Head (Certification Body)
- III Technical Advisory Committee (TAC)
- IV Certification Committee (CC)
- V Director (Biometric Device Test laboratory)
- Test Engineering Cell



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ORGANISATION CHART OF CERTIFICATION BODY



Criteria, Composition and Terms of Reference

I) Management Review Committee (MRC)

The objective of management review committee is to carry out periodic review of effectiveness & efficiency of the certification scheme for Biometric 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 DG (UIDAI) and members include DG (STQC), DDGs (UIDAI), and Member Secretary from STQC.

II) 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 at least once in six months. TAC will be chaired by DG (STQC). The TAC will meet on the recommendation of MRC or on the following events:

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



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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.
- Guidance on issues of non conformances

The members are chosen among those interested parties involved in the:

- Formulation of UIDAI specification documents
- Formulation of Certification System documents
- Technology Experts on Biometric Technologies
- Testing Experts
- 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:

- Chairman (DG STQC)
- Representative of Industry (Two Members)
- Representative of STQC (One Member)
- Representative of DIT (e-gov division) (One Member)
- Representative of UIDAI (One Member)
- Representative of Academicians involved in formulation of UID Biometric Standards (One Member)

III) **Head, Certification Body**

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 & UIDAI 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.

IV) **Certification Committee (CC)**

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



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

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

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

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.

V) **Director (Biometric Device Test Lab) -**

The Director (Biometric Device Test Lab) will be responsible for management of testing and evaluation of Biometric Devices. He/ She will submit test report of biometric device to CC.

Test Engineering Cell (TEC)

To attain the confidence in testing process, maintain competency in test engineering and management. Test Engineering Cell is formed by Director (Biometric Device Test Lab) members are selected from the pool of trained test engineers based on their subject knowledge and analytical skills to carry out the testing activities. Constitution of the cell is dynamic in nature to make the process impartial and confidential. TEC defines test processes and reports.

Following category of tests will be conducted:

- Biometrics device – Hardware (Functional, environmental, safety, EMI/EMC, etc.)
- Biometric device – Optics/Opto Electronics
- Biometric device - APIs & Software application

Testers carry out testing activity independently on the basis of test methods and test cases approved by Director (Biometric Device Test Lab). The Team Leader does co-relation of results. All the test engineers'/testers sign test Reports.

2.5 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 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).



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2.6 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.

2.7 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.

2.8 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.

2.9 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

- a) Keeps records 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.

2.10 Changes in the Certification Requirements

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.



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Section 3: Certification Procedure

3.1 Responsibilities:

Certification Body: To interact with the supplier for facilitation of certification as governed by the rules and procedures of the Certification Body.

Biometric Device Test Laboratory: Director Biometric 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.

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 and sells the product under his own name.

3.2 Certification Criteria:

The objectives of Certification is to ensure that only compliant devices are placed in Indian Market. To respond to the needs of the market/user which are time and quality, is a two step process namely, "provisional certificate" and "certificate of conformity" is followed.

3.2.1 Eligibility Criteria for Application

To demonstrate its capability, the supplier shall prepare a technical construction file consisting of the evidence of conformity for the subject as defined in BDCS(A)-03-02 Procedure for obtaining Biometric Device Certification (Authentication). This is further elaborated below.

3.2.1.1 Manufacturing facility of biometric devices has sound Quality Management System –
Means of demonstration: compliance to ISO 9001 Certificate from an accredited certification body covering appropriate scope (scope shall cover design/development, manufacturing of Finger Print.

3.2.1.2 Biometric devices meet the UIDAI technical requirements

Means of demonstration:

Compliance through internal test reports and/ or certificates from accredited third party test lab. with respect to UIDAI requirements and specifications (FBI certificate, Safety Certificate, WHQL certificate, FCC Class-A or EMC Compliance Certificate/ declaration, UIDAI API Compliance test report.)

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3.2.1.3 Supplier has adequate system and resources to support implementation & usage of devices in India

Means of demonstration:

- a) *Certificate of Incorporation of supplier in India*
- b) *ISO 9001 certificate covers the scope of distribution, training, maintenance, and other support services for operation of the devices.*

Supplier is also responsible to ensure that a consignment contains devices from the same lot (if lot concept is applicable) from the same manufacturing facility.

Technical construction file should contain a procedure to this effect.

3.2.2 Biometric Device Testing:

The biometric devices will be subjected to following tests as UIDAI requirements & specifications:

- Hardware

- Visual & functional
- Physical & Dimensional
- Environmental (Durability/ Climatic – Temperature, Humidity, Shock/Vibration, Dust, etc.)
- Safety
- EMI/ EMC

- Image Quality

• Finger Print Scanner

- Resolution
- Gray Scale
- NFIQ

- APIs and software application

- Functional
- Authentication APIs

- Performance

- False Reject Rate (FRR)
- Acquisition Time

3.3 Certification

“Certificate of Approval” will be granted after analyzing STQC test reports and Technical Construction File supplied by the supplier.

Access to Records of Complaints to Supplier

The Certification Body will require the certified supplier to

- a) Keep a record of all complaints made known to the supplier relating to the Biometric Devices/Application/Services and their compliance with applicable requirements and to make these records available to the Certification Body when requested
- b) Take appropriate action with respect to such complaints and any deficiencies found in Biometric Device or services that affect compliance with the requirements for certification;
- c) Document the actions taken.

These will be checked during surveillance visit.



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3.4 Certification Process

The Application

The Certification Body requires an official Application Form for Certification duly completed, and signed by a duly authorized representative of the applicant, in which the applicant agrees to comply with the requirements for certification and to supply any information needed for its quality evaluation. The application shall be supported by a technical construction file consisting of the documents listed in application form.

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 and the procedures, "Terms and Conditions" of the Certification Body

Application processing

On receipt of application, Certification Body evaluates the technical construction file and informs the supplier to supply the biometric device (3-Number) to the designated test laboratories. At the same time CB inform the test laboratory for commencement of the test and also supplies the copy of application and test specifications to the laboratory.

Conduct of Test

The designated laboratory carries out the test as per supplied test specifications and following the prescribed test methods.

- 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 & biometric devices) by the supplier and test reports are preserved by the test lab. for 3-years.

Evaluation of test report by certification committee

Certification Committee evaluates the outputs of testing along with other inputs

- Technically
 - Procedurally
- a) To ensure the "fitness for use and conforming to specifications."
 - b) To ensure all the procedures have been followed.
 - c) To ensure criteria defined are fulfilled and in conformance.



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The certification committee shall evaluate test results and the data based on the declaration and the evidence provided by the supplier and obtained the confidence that the data/ reports provide the assurance of process implementations at different critical point. The certification committee shall look in technical construction file, critically the following:

- a) Controls at manufacturing facility
 - ISO 9001-2008 certificate, scope covering manufacturing of the desired devices (model No and brand), and the location of manufacturing
 - Test reports signed by designated technical manager (for that particular lot) and meeting the UIDAI requirements originated from the location described above
 - b) Device Test Reports from independent test laboratory
 - c) Quality management systems of the supplier.
 - ISO 9001-2008 certificate, scope covering distribution, training regarding use of device and necessary processes required for use, maintenance capabilities and support infrastructure of the desired devices.
 - d) Certificate of incorporation.
 - e) Other Certificates.
- and evaluates the test report in detail

After satisfactory completion of the evaluation, based on the recommendation of Certification Committee. Head (Certification Body) issues the Certificate of Approval.

3.5 Decision on Certification

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

Director Certificate Signing Authority (one from STQC and one from UIDAI) 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 Biometric 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.nic.in

The performance of Biometric 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.



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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 UIDAI project and that, between two products that meet requirements of UIDAI project, the STQC and UIDAI both does not recommend one over the other.

Provisional Certificate

Provisional certification is the conditional certificate with respect to:

- a) Evidence that manufacturer/ supplier Internal Test Results provide sufficient level of confidence that the product and services supplied by Supplier meets UIDAI requirements.
- b) Verification of the claim made by the Biometric device vendor, through the provisions of Certificates obtained by the manufacturer/ supplier before applying for UIDAI/STQC Certification. This shall involve physical verification of Certificates and may also involve conformation through checking of certified vendor lists published on websites eg. NIST Website giving Image quality specifications compliant vendor List at <https://www.fbibiospecs.org/IAFIS/Default.aspx> etc.

After Successful testing of biometric devices at STQC Lab or at its premises, suppliers may be given provisional certification as per procedure detailed below-

- i. Instead of FRR testing, STQC will perform authentication functional test on limited subject/small sample (approx 100) with maximum 2 failure allowed in fingerprint device and 1 failure allowed in Iris devices with same subjects. This test is to be conducted only when device is available from at least 3-5 different vendors.
- ii. Validity of the Provisional Certificate will be till Field FRR test is conducted or one year, whichever is earlier.
- iii. Maximum three attempts will be permissible with each Aadhaar holder including Fail to Capture (FTC) cases.
- iv. STQC will record Aadhaar number, Auth code, status, error code, time stamp for each transaction.
- v. Device vendor will be responsible for Authentication application development/deployment, AUA/ASA connectivity for internal FRR testing.
- vi. All the other Lab tests and certification requirements (other than Field FRR test) are mandatory for Provisional Certificate.
- vii. STQC will issue final Certificate after conducting Field FRR test with 5000 test subjects.
- viii. In case, any device gets failed in final field FRR testing, vendor will have to rollback all the devices deployed in the field. The related cost and loss will be borne by the concerned device vendor.



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- ix. A committee, comprising of representatives of UIDAI, STQC and concerned device vendors will actively supervise the Lab FRR testing with 100 subjects. Other device vendors may also be permitted to depute their representatives during the test.

After the provisional certificate, the supplier will be eligible for empanelment. The supplier details along with status, scope and validity of certification will be published on STQC website.

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.

If device fails in any compliance test he is advised to take corrective action and meanwhile provisional certificate will stand suspended. He shall have a system to withdraw the non-compliance devices from the market.

The status on the website shall be updated accordingly.

The validity of Certificate of Approval is three years. For the final certificate issued after field FRR testing, the validity of certification will start 3 years from date of issue of Provisional certification.

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

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

3.5 Monitoring and Re-assessment

STQC may carry out periodic monitoring at sufficiently close intervals as per maintenance procedure to verify that suppliers whose, Biometric Devices 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. UIDAI through the device users will also get the feedback on the device quality.

In case, UIDAI feels that retesting is necessary, it will supply test samples to STQC. The latter will provide testing services for a fee. If a supplier with a certified component makes major modifications or if other changes take place, which could affect the basis of the certification and observed during monitoring, the certificate will be suspended and empanelment will be withdrawn.

3.6 Suspension and Withdrawal/Cancellation of Certification

Suspension



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Certification may be suspended for a limited period, at the discretion of Certification Body under the following circumstances:

- If a trend is observed that suppliers are misusing the provisioning of provisional certificate. The basis of manufacturer authorizing a supplier will be questioned.
- If a device fails during the testing, all suppliers of that device will be suspended.
- If the testing / monitoring indicates non-conformance to the relevant Device/ System/ Software application requirements and the same is not cleared even after lapse of initial time period given for corrective actions.
- If the certified supplier is not regularly involved in the activities for which he is certified.
- If there has been any other contravention of the applicable requirements or rules of procedures of certification body.
- The performance of the device will be regularly monitored by an expert committee from the field data. If the data shows unsatisfactory trends/non-conformance with the requirements, the certificate will be suspended.

An official suspension will be confirmed by the Certification Body in a registered letter to the supplier or by equivalent means and will indicate the conditions under which suspension will be revoked. The Certification Body may publish notification of suspension. Upon fulfillment of the indicated conditions within the specified period, the Certification Body will revoke suspension and notify the supplier accordingly; otherwise, the certification will be cancelled and certificate will be withdrawn.

Withdrawal/Cancellation

The Certification Body will cancel certification; withdraw the Certificate under the following circumstances

- If provisionally certified supplier does not participate in the field FRR testing.
- If the supplier under suspension fails to rectify non-conformance within specified period (Six months)
- If the supplier either will not or cannot ensure conformance to changed rules of procedure of Certification Body
- if the supplier ceases to supply the Biometric Devices, process or service
- If the supplier fails to meet the financial obligation to Certification Body at the former request of the supplier
- If the supplier fails on the Certification Agreement signed between CB.
- any other serious contravention of applicable requirements of rules of procedures of Certification Body

The official communication by the Certification Body of the withdrawal/cancellation will be either through a registered letter or equivalent means. The Certification Body will publish notification of the withdrawal/cancellation.

3.7 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 as per maintenance procedure. The CB/UIDAI will carry out the monitoring of these documents along with the audit testing.



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

3.8 DISCLAIMER

1. The testing & certification services and the results thereof are provided on an AS IS basis without warranty of any kind. STQC/UIDAI disclaim any and all warranties, express or implied, including without limitation any warranties of merchantability or fitness for a particular purpose with respect to the testing services and the test results.
2. In no event shall STQC/UIDAI or any of their respective officers, directors, subsidiaries, parents or affiliates be liable to anyone claiming through Supplier, for any special, indirect, incidental or consequential damages of any kind or for any damages whatsoever resulting from reliance on the test results.
3. If the Biometric Device passes the tests as per UIDAI requirements, Supplier will be entitled to disclose the fact that the Equipment passed the test to third parties. Notwithstanding the foregoing, all right, title and interest in and to the test results, including without limitation, the copyright thereof, remains with STQC, its licensors or subcontractors.
4. This application form, including, without limitation, the terms and conditions specified in the scheme, represent the entire agreement between Supplier and the STQC/UIDAI relating to testing services and the results thereof. In case of any dispute, the decision of Appellate Authority i.e. Chairman Management Review Committee shall be final and binding. The test reports shall not be produced in any court of law, as they shall be issued only for the purpose of Certification of Biometric Devices against the requirements of UIDAI. Supplier rights and obligations arising under this agreement cannot be assigned, transferred or delegated to any other person.

3.9 INDEMNITY:

The empanelled suppliers will indemnify STQC/UIDAI against any misuse of STQC/UIDAI Name and Logo. For any misuse of STQC/UIDAI name and logo, the supplier themselves will be held responsible. STQC/UIDAI will take necessary actions for such cases. STQC/UIDAI will not be responsible for any miscommunication or harm caused to any party because of any misrepresentation of its name and logo by the intermediary or any other interested party.

The empanelled suppliers will not use the Name of STQC/UIDAI and its Logo, to promote their interest in any manner in any programme not connected / related or being undertaken for STQC/UIDAI.