


**Rules and Procedures for  
Biometric Device  
Certification(STQC/BDCS/D01)  
Issue :01**





BDCS Certification Body, STQC Directorate,  
MeitY, Government of India  
INDIA

	<b>Biometric Device Certification Scheme</b>	
	D01 – Rules and Procedures for Biometric Device Certification	Issue : 01
		Date : 04 Jan 2021
		Page : 2 of 26

## Table of Contents

0.1	Approval and Issue .....	4
1.	Introduction.....	6
2.	Objective.....	6
3.	Purpose .....	6
4.	Scope of Certification .....	7
5.	References .....	7
6	Definitions:.....	8
7.	Certification Body.....	9
	Legal Status .....	9
8.	Organization description .....	10
	Organisation Structure and top Management.....	10
	List of Appointments .....	19
9	Records .....	20
10	Documents and Change Control .....	20
11	Confidentiality.....	20
12	Liability .....	20
13	Appeals, Complaints and Disputes .....	21
13.	Changes in the Certification Requirements.....	21
14.	Certification Procedure .....	21
	Steps for Device Certification Process .....	21
15	Certification.....	22
16	Monitoring and re-assessment .....	22
17	Suspension and Withdrawal/Cancellation of Certification .....	23
	Suspension .....	23
	Withdrawal/Cancellation .....	23
18	DISCLAIMER.....	24
19	INDEMNITY:.....	25
	Annexure-I Procedures/Guidelines to the Applicant .....	26

 <p>STQC ॥ गुणोत्कर्षं समृद्धिः ॥</p>	<b>Biometric Device Certification Scheme</b>	
	D01 – Rules and Procedures for Biometric Device Certification	Issue : 01
		Date : 04 Jan 2021
	Page : 3 of 26	

 STQC ॥ गुणोत्कर्षं समृद्धिः ॥	<b>Biometric Device Certification Scheme</b>	
	D01 – Rules and Procedures for Biometric Device Certification	Issue : 01
		Date : 04 Jan 2021
	Page : 4 of 26	

### 0.1 Approval and Issue

This document is the property of Biometric Device Certification Scheme (BDCS) and should not be reproduced in part or full without the written consent.


**Reviewed by : Management Representative**

**Approved by : Head, BDCS Scheme**

#### Note:

- Management Representative is responsible for issue and distribution of this document including amendments.
- Holder of this copy is responsible for incorporation of all the amendments and currency of the document.



	<b>Biometric Device Certification Scheme</b>	
	D01 – Rules and Procedures for Biometric Device Certification	Issue : 01
		Date : 04 Jan 2021
		Page : 6 of 26

## 1. 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 UIDAI Eco-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 Enrolment/ Authentication, large number of biometric devices (finger print scanners and IRIS Scanner) and QR Code Scanner being 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. Formal testing and certification mechanism is required to ensure that the necessary aspects as per the specifications/ guidelines/standards are complied, and to provide adequate confidence on the devices.

## 2. Objective


The objective of Certification of Biometric Devices (BDCS) is to facilitate availability of quality assessed authentication/ enrolment Biometric Devices along with QR Code scanner device for offline authentication 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 comply with the UIDAI Aadhaar Specification.

## 3. Purpose

The purpose of this document is to lay down the policies and procedures for Certification of Biometric Devices and QR Code Scanners.

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 devices for UIDAI Aadhaar Ecosystem are conforming to the specified requirements of the applicable standard, procedures.

	<b>Biometric Device Certification Scheme</b>	
	D01 – Rules and Procedures for Biometric Device Certification	Issue : 01
		Date : 04 Jan 2021
	Page : 7 of 26	

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.

#### 4. Scope of Certification

At present the following devices are covered under the scope:


- a) Authentication Device (L0 and L1)
  - a. Finger Print Scanner
  - b. IRIS Authentication devices (Discrete and Integrated)
  - c. Registered Device Service
- b) Enrollment Devices
  - a. Finger Print Scanner
  - b. IRIS devices
- c) Pre-Certified Hardware (PCH)
- d) QR Code Scanner Devices for Offline Authentication

The assurance is required for the following characteristic of the device

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

#### 5. References

- ISO/IEC 17065 Conformity assessment — Requirements for bodies certifying products, processes and services
- ISO9000 Quality Management Systems- Fundamentals & Vocabulary
- ISO/IEC 19795-1 Information technology- biometric performance testing and reporting Part I – Principles and framework

	<b>Biometric Device Certification Scheme</b>	
	D01 – Rules and Procedures for Biometric Device Certification	Issue : 01
		Date : 04 Jan 2021
		Page : 8 of 26

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

ISO/IEC 29794-6 Biometric sample quality – Part 6: Iris image data

UIDAI device specifications

Note: Latest edition of above-mentioned standards to be referred.

## 6 Definitions:

For the purpose of this document, the following definitions, in addition to those given in ISO/IEC 17065& ISO/IEC 19795-1 clause 4 shall apply.

### Supplier (Services)

The party that is responsible for providing 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 Device 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 Devices for UIDAI Application conforms to the requirements of a stated specification.



	<b>Biometric Device Certification Scheme</b>	
	D01 – Rules and Procedures for Biometric Device Certification	Issue : 01
		Date : 04 Jan 2021
		Page : 9 of 26

**Device**

Device submitted for certification includes Finger print scanner, IRIS Scanner, Pre-certified Hardware and QR Code Scanners

**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.

**7. Certification Body**

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

All the operations and functions of the Certification body will be performed by STQC Directorate.

**Legal Status**


STQC Directorate, an Attached office of Ministry of Electronics & Information Technology, Government of India located at Electronics Niketan, New Delhi, India.

**Roles and functions of Certification Body**

All the procedures adopted by the Certification Body are administered in a non-discriminatory 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.
- Has a defined criterion against which the Biometric Devices of an applicant is assessed. In case of change in UIDAI specification for any component viz-a-viz certification criteria, device has to undergo for fresh certification.
- Is responsible for its decision relating to the granting, maintaining, extending, reducing, suspending and withdrawing certifications.
- Has an identified management structure, which has the overall responsibility for the operation of Certification System.


	<b>Biometric Device Certification Scheme</b>	
	D01 – Rules and Procedures for Biometric Device Certification	Issue : 01
		Date : 04 Jan 2021
	Page : 10 of 26	

- Has a documented structure, including provisions to assure the impartiality of the operation of Certification Body.
- Has a documented system to provide confidence in its ability to operate a certification system.
- Ensures that each decision on certification is taken by persons different from those who carried out the testing/assessment/evaluation.
- Has defined authorities and responsibilities relevant to its certification activities.
- Has adequate arrangements to cover liabilities arising from its operations and/or activities. (as specified in certification agreement).
- Has financial stability and resources required for the operation of the certification system, in the form of budgetary and resource support from STQC Directorate. The financial administration of the scheme including determination of charges is the responsibility of Head (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) are free from any commercial, financial and other pressures, which might influence the results of Certification process.
- 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.
- 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.

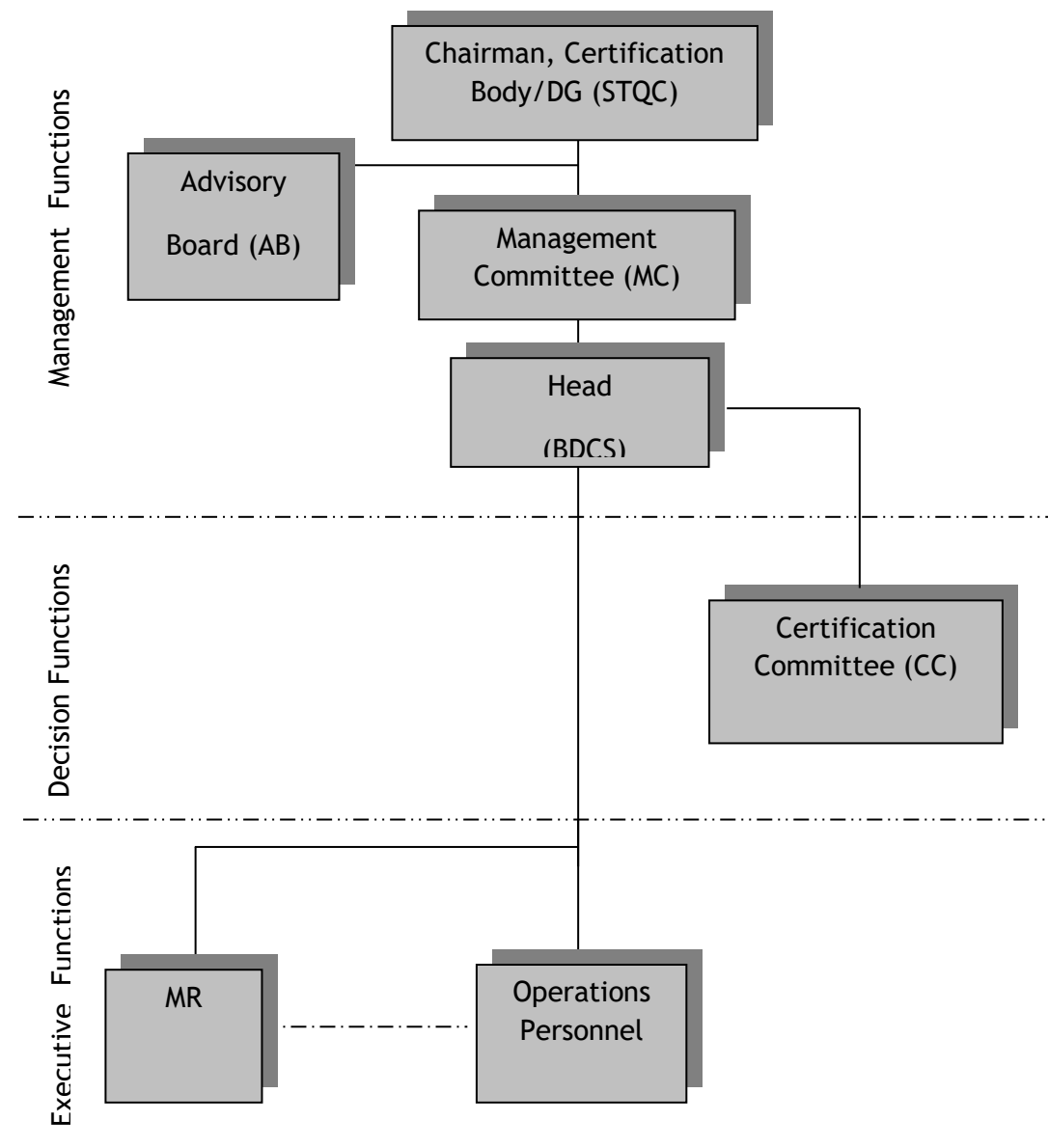
## 8. Organization description


### Organisation Structure and top Management

The Certification Body has a documented structure which safeguards impartiality, of the operation of Certification Body. It further enables participation of all interested parties in the content and functioning of the certification system.

	<b>Biometric Device Certification Scheme</b>	
	D01 – Rules and Procedures for Biometric Device Certification	Issue : 01
		Date : 04 Jan 2021
		Page : 11 of 26

The Certification Body has an identified management structure which has the overall responsibility for the operation of Certification System. The Organization Chart and the reporting structure is given below:



	<b>Biometric Device Certification Scheme</b>	
	D01 – Rules and Procedures for Biometric Device Certification	Issue : 01
		Date : 04 Jan 2021
	Page : 12 of 26	

**The Criteria, Composition and Terms of Reference are as below:**

**a) Chairman, Certification Body**

Director General, STQC is the ex-officio chairman of Certification Body acting under the authority of Secretary, Ministry of Electronics and Information Technology, Govt. of India. He is responsible for overall functioning of the ‘Biometric Device Certification Scheme (BDCS)’ in line with the objectives of STQC Directorate, as well as Ministry.

**b) Advisory Board**

**Objective of Advisory Board**

The objective of the Advisory Board is to have Mechanism to safeguard the impartiality, confidentiality and improvement of the Certification Operations to provide confidence in certification services provided by the Certification Body.

**Structure & Composition of Advisory Board**

The Advisory Board will have members including the Chairman and Head, BDCS as per the criteria mentioned below:-


- DG, STQC is the ex-officio chairman of Advisory Board.
- Members are chosen from among those interested parties involved in the process of certification.

The members have adequate academic and professional experience in the field of IT Security.

Knowledge of Biometric Standards is desirable.

- In general, the following is deemed as representing the interested parties:  
Interested parties

The members from interested parties representing public/ private sector, Government and Professionals are appointed by the Chairman, Certification Body, in consultation with respective interested parties, for a period of **3 years**. At the end of the tenure, the Chairman, Certification

	<b>Biometric Device Certification Scheme</b>	
	D01 – Rules and Procedures for Biometric Device Certification	Issue : 01
		Date : 04 Jan 2021
		Page : 13 of 26

Body may re-appoint the members for a further period of **3 years**. Depending upon the need, the Board may co-opt for more members. In any case, the number of co-opted members will not exceed three and their tenure of membership will not exceed the tenure of the current Advisory Board.

### **Terms of Reference (ToR) for Advisory Board**


- Formulation of policy matters relating to the operation of Certification Body and approval for adoption of policy related to Scheme documents.
- Having an overview of the implementation of its policies.
- Setting up of committees as required to which defined activities are delegated or delegate such authority to Management Committee.
- Safeguarding impartiality and enabling participation of all parties concerned regarding the content and functioning of the Certification Body.
- Ensuring that the Certification Body operates in a non discriminatory manner.

The Advisory Board has the power to obtain from the Head, Biometric Device Certification Scheme all such information on the conduct of its policy to enable it to discharge its duties properly. The Head, BDCS provides all the necessary information, including the reasons for all the significant decisions and actions, and the selection of the persons for a particular activity.

The advice of the board is binding on the Management Committee on certification related matters.

### **Business Procedure of Advisory Board**

Meetings of the Advisory Board shall be held at **least once in two year**. The date and place shall normally be decided during the previous meeting. The Chairman of the Advisory Board may at his discretion or at the request of at least three members call for a special meeting giving prior intimation to the members sufficiently in advance.

	<b>Biometric Device Certification Scheme</b>	
	D01 – Rules and Procedures for Biometric Device Certification	Issue : 01
		Date : 04 Jan 2021
	Page : 14 of 26	

The quorum of the meeting is obtained when more than half members are present at the meeting. If there is no quorum, the meeting shall proceed but in such circumstances where decisions require confirmation, voting by correspondence will take place subsequent to the meeting. However, in all cases of voting, the Chairman, Advisory Board and Member Secretary shall not have the right to vote, either in favor or against the matter under consideration for voting.

Depending upon the importance of the matter under consideration during a meeting, the Chairman, Advisory Board may decide for voting at the meeting & itself or voting by correspondence. The proposal on the subject matter is adopted when no opposing vote is received within the time specified in the correspondence, otherwise, the matter shall be dealt with at the next meeting.

The Certification Body shall maintain records of confidentiality and background experience of the board members.

### c) **Management Committee**

#### Objective of Management Committee

The objective of the Management Committee is to manage the certification activities in line with the charter of STQC Directorate and advice of Advisory Board.

#### Structure & Composition of Management Committee

- **Chairman**

Head, BDCS Scheme or senior most participating member of MC is the ex officio Chairman of Management Committee.

- **Members**

- Officiating Head, BDCS
- Senior officers of STQC/UIDAI having sufficient experience in management.

	<b>Biometric Device Certification Scheme</b>	
	D01 – Rules and Procedures for Biometric Device Certification	Issue : 01
		Date : 04 Jan 2021
	Page : 15 of 26	

- The committee shall include representative for each device certification scheme e.g. (BDCS) at least one person with appropriate competence in that field of certification
- Appointed by Chairman, Certification Body in consultation with Chairman, Management Committee depending on the need the committee may co-opt more members up to a maximum of 2 persons,
- Management Representative is the member secretary of the committee.

#### **Terms of Reference for Management Committee**

While being accountable to Advisory Board, the Management Committee will:


- oversee the implementation of Biometric Device Certification Scheme.
- make efforts for satisfactory resolution for conflict between BDCS certification committee, test laboratories and complaints/disputes received from clients or other parties.
- provide all requisite information and support to the Advisory Board to enable it to fulfill its obligations,
- ensure compliance on the observation of the Advisory Board,
- provide suggestions on BDCS Scheme operation and related policies
- review and approve all scheme specific documentation (except forms / formats),

#### **Business Procedure of Management Committee**

Meetings of the Management Committee shall be held generally **once a year**. A Special meeting of the Management Committee can further be held as and when required by the Chairman or at the request of any of the members.

The business transacted at the meeting shall be recorded in the minutes by Management Representative.

#### **d) Certification Committee**

	<b>Biometric Device Certification Scheme</b>	
	D01 – Rules and Procedures for Biometric Device Certification	Issue : 01
		Date : 04 Jan 2021
	Page : 16 of 26	

### Objective

The objective of the Certification Committee is to advise the Head, BDCS on decisions relating to Devices under certification.

### Structure & Composition of Certification Committee

The composition of the Certification Committee should have competence in auditing/Biometric Device and subject expertise, represented by one or more persons individually or collectively.

- Have adequate academic background or experience in Information Technology and Infrastructure related issues.
- Involved/engaged in IT/IT Security/Biometric related projects/activities.

Chairman, Certification Body shall appoint members of the Certification Committee.

### Terms of Reference for Certification Committee

While advising the Head, BDCS on certification related decisions, the Certification Committee will:

- ensure compliance of evaluation and validation to the defined criteria
- review the reports for adequacy of their content
- provide feedback for improvement
- seek expert opinion where necessary for determining the technical basis for granting certification,

While advising on technical interpretation to various committees, they are required to be:

- independent in opinion
- confidential
- impartial
- objective



	<b>Biometric Device Certification Scheme</b>	
	D01 – Rules and Procedures for Biometric Device Certification	Issue : 01
		Date : 04 Jan 2021
	Page : 17 of 26	

- technological relevant etc.
- accountable to the committees

### **Business Procedure of Certification Committee**

The committee shall normally meet once in a fortnight or as required. The independence of the committee in each decision shall be ensured by not involving committee members who took part in the testing process on which a decision has to be made. The minimum quorum of the committee should consist of at least three independent members. If excluding one or more committee members should result in inappropriate expertise, being present while needed to make a certification decision, the convener shall arrange for the participation of independent experts during the relevant parts of the meeting.

The Convener is not a party to the decision of the committee.


The convener of the committee presents all requisite information along with supporting documentation to the committee. The committee will examine the inputs and advises the Head, BDCS on certification decision.

The Committee shall not normally overturn a negative recommendation of the testing team. If such a situation should arise, the Certification Committee shall document and justify the basis for the decision to overturn the recommendation and seek clarification whenever required.

### **e) Certification Operations Personnel**

#### **i) Head, BDCS**

- is an active professional in QA, belonging to STQC Directorate and of the sufficiently senior level.
- has sufficient work experience (preferably not less than 10 years) in certification and accreditation matters.
- meets qualifications and criteria lead assessor in ISMS etc.
- Knowledge of Biometric Device/IT standards
- is appointed by Chairman, Certification Body.

	<b>Biometric Device Certification Scheme</b>	
	D01 – Rules and Procedures for Biometric Device Certification	Issue : 01
		Date : 04 Jan 2021
	Page : 18 of 26	

- Along with his team (certification personnel) is responsible thereby to the Advisory Board for day to day operation of the Certification System.
- will act on the advice of Certification Committee on certification decisions. In case of equal votes, the Certification Committee or conflict of opinion with the decision of the Certification Committee, he may take a decision.
- is the **member secretary** of the Advisory Board.
- is responsible for approval of Documents/ Procedures and Forms/ Formats.

ii) **Management Representative (MR)**

The Management Representative is a person, appointed by Chairman, Advisory Board having

- Adequate academic qualifications (preferably a Science/Engineering graduate) with adequate knowledge in Information Technology
- QA experience of atleast **10 years**
- Training, qualification and experience of a Management System Lead Assessor and other IT security standards
- Knowledge and awareness of matters related to Certification and Accreditation

**Responsibilities of Management Representative**

- To ensure that a system is established, implemented and maintained in accordance with this document
- To report on performance of the system to the management committee of the Certification Body for review and as a basis for improvement

iii) Operations Personnel

- The personnel looking after the certification operation of the Certification Body.
- are having adequate academic background (preferably Graduate/Diploma in Engineering or Science graduate)

	<b>Biometric Device Certification Scheme</b>	
	D01 – Rules and Procedures for Biometric Device Certification	Issue : 01
		Date : 04 Jan 2021
	Page : 19 of 26	

- having sufficient work experience (preferably not less than 2 years) in Quality Assurance, Information Technology and Information Security.
- preferably meet training & qualification related to relevant scheme and criteria.
- are responsible for day-to-day operations, all liaison/co-ordination within and outside the certification body.
- have adequate procedure and instructions/guidelines for carrying out their activities related to:
  - maintenance of files, records and website related to certification matters.
  - support to Certification Personnel
  - Maintenance of the database.


The Certification Body has defined criteria for appointment and operation of all the committees needed for the Certification process. These committees are free from any commercial, financial and other pressures that might influence decisions. Certification body retains authority to appoint and withdraw members of such committees.

### List of Appointments

The document, STQC/BDCS/D05 – “List of Appointments” identifies the personnel & other resources involved in the activities of Certification Body as follows:

- Members of Advisory Board
- Members of Management Committee
- Head, BDCS
- Members of Certification Committee
- Management Representative
- Certification Operations personnel

The responsibilities of all personnel involved in the certification activities are indicated in the document, STQC/BDCS/D06 – “Responsibility Matrix”.

	<b>Biometric Device Certification Scheme</b>	
	D01 – Rules and Procedures for Biometric Device Certification	Issue : 01
		Date : 04 Jan 2021
		Page : 20 of 26

## 9 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, audit reports, test 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).

## 10 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.


## 11 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.

## 12 Liability

The Certificate of Compliance given to a 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.

	<b>Biometric Device Certification Scheme</b>	
	D01 – Rules and Procedures for Biometric Device Certification	Issue : 01
		Date : 04 Jan 2021
	Page : 21 of 26	

### 13 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.


### 13. 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.

### 14. Certification Procedure

#### Steps for Device Certification Process

- 1 Device provider to study applicable Aadhaar specifications
- 2 Device provider should prepare a detailed technical construction file (TCF) and solution architecture document (if applicable) as per the requirements.
- 3 Device provider applies to STQC for certification by submitting application and technical construction file (TCF). The contents of technical construction file should at least consists of the artifacts defined in applicable UIDAI specifications and supporting documents
- 4 CB will allocate the application number under the scheme and same will be communicated to Test Laboratory/BDTL.
  - a) Based on application number, Device vendor shall contact Test Laboratory/BDTL for proposal, SRF, submission of charges and test samples.
  - b) Test laboratory shall evaluate the Device based on TCF submitted and other applicable requirements (if any), Vendor shall provide necessary support as

	<b>Biometric Device Certification Scheme</b>	
	D01 – Rules and Procedures for Biometric Device Certification	Issue : 01
		Date : 04 Jan 2021
	Page : 22 of 26	

and when required by Test Laboratory/BDTL.

- c) Device provider should demonstrate testing and validation required to established compliance to the applicable specifications.
  - d) Laboratory will submit the one copy (preferably digitally signed soft copy) of final test report including TCF review report to CB
- 5 CB will also appoint Auditor from the STQC lab/centers to conduct applicable audit to the device facilities, wherever required.
- a) Auditors will prepare the audit report and submit to the laboratory for release to the device Provider.
  - b) Lab will submit final Audit reports along with closure action taken by device provider to CB.

Based on the report submitted to Certification Body, a checklist for Certification committee will be prepared and Certification committee meeting may be arranged as per the directions of Head, CB.

## 15 Certification

Certification committee evaluates compliances in holistic way and integrates information from all channels stated above. Based on compliances along with Certification Committee recommendation, certificate of approval is issued to device provider.

The validity of the “certificate of Approval” will be issued for **Three years** from date of issue subjected to **yearly** surveillance audit.


After expiry of the certificate of Approval, Device will be treated as fresh and shall undergo full certification process in case of re-certification.

## 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 meets UIDAI specification except FRR testing. Validity of the Provisional Certificate will be till Field FRR test is conducted or one year, whichever is earlier.

## 16 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

	<b>Biometric Device Certification Scheme</b>	
	D01 – Rules and Procedures for Biometric Device Certification	Issue : 01
		Date : 04 Jan 2021
	Page : 23 of 26	

of approval was granted. Any short term non-compliance(s) shall be reported to the certification body.

In case, UIDAI feels that retesting is necessary, it will ask the vendor to supply test samples to STQC. 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.

## 17 Suspension and Withdrawal/Cancellation of Certification


### Suspension

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

	<b>Biometric Device Certification Scheme</b>	
	D01 – Rules and Procedures for Biometric Device Certification	Issue : 01
		Date : 04 Jan 2021
	Page : 24 of 26	

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.

## 18 DISCLAIMER

1. The testing & certification services and the results thereof are provided on an AS IS basis without warranty of any kind. STQC 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 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 relating to testing services and the results thereof. In case of any dispute,




	<b>Biometric Device Certification Scheme</b>	
	D01 – Rules and Procedures for Biometric Device Certification	Issue : 01
		Date : 04 Jan 2021
	Page : 25 of 26	

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.

#### **19 INDEMNITY:**

The empanelled suppliers will indemnify STQC against any misuse of STQC Name and Logo. For any misuse of STQC name and logo, the supplier themselves will be held responsible. STQC will take necessary actions for such cases. STQC 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 and its Logo, to promote their interest in any manner in any programme not connected / related or being undertaken for STQC.

	<b>Biometric Device Certification Scheme</b>	
	D01 – Rules and Procedures for Biometric Device Certification	Issue : 01
		Date : 04 Jan 2021
	Page : 26 of 26	

## **Annexure-I Procedures/Guidelines to the Applicant**

Following are the procedure/ guideline document for certification of devices covered in Biometric Device Certification Scheme

STQC/BDCS/P09: Procedure for Pre-Certified Hardware (PCH) Testing Evaluation and Certification

STQC/BDCS/P10: Procedure for obtaining Biometric Device Certification- Authentication/Enrolment

STQC/BDCS/P11: Procedure for Test, Evaluation and Certification of QR Code Scanner

STQC/BDCS/P12: Guideline to Applicant for Registered Device Service Testing

Note: The clients/vendors should to provide documentations for compliance for supply chain risk management to identify the risks/threats due to transportation of part/components or value addition at different nodes in device lifecycle

---