Approval and Issue

Approved by : _____

Chief Executive Officer

NOTE:

1. Management Representative is responsible for issue and distribution of this document including amendments.

2. Holder of this copy is responsible for incorporation of all the amendments and currency of the document

Amendment Record

Amendment No.	Date of Amendment	Nature of Amendment	Page Ref.

Maintenance of Certification

1.0 Surveillance/Assessment Policy

Surveillance visit to be carried out at least once in a year to the Certified Supplier. The surveillance frequency can be more based on the recommendation of surveillance team leader. After three years complete reassessment of the certified supplier will be done including complete device testing.
The assessment is conducted by a trained auditor generally ISO 9001 empanelled auditor. 2 days training is also provided on the audit parameters & overview of Biometric device testing.

2.0 Special Visit

Special visit may be required because of

- Discovery of a major non-conformance in a system or product
- Failure to carry out corrective action
- Serious complaints from users and other stakeholders
- Refusal by the client to allow surveillance visit to take place
- Verification of the similar models from Quality angle, in case of broad-banding in product certification is requested.

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

3.0 Re-Assessment

Re-assessment is done after three years of Certification or

- High level of complaints
- High level of non-conformance or inadequate corrective action in respect of previous NCs
- Change of client ownership, management or senior personnel
- Change in nature of business, its size, place, facilities, activities, organizational structure
- Changes in legislation or in customers requirements/UIDAI requirement/CB requirement
- Changes in technology or products

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

4.0 Surveillance Visit

To ensure that the objectives defined in clause 2 of this document, are met a surveillance visit for one manday is carried out at supplier's premises. Each on-site surveillance visit shall include a review of atleast the following:

- Document control/changes to documentation for continued document adequacy.
- Corrective actions of previous visits.
- Compliance with the surveillance criteria as defined in clause 9 of this document.
- Customer complaints and Supplier (client's) response.
- Internal audits and management review results and actions/Preventive actions.
- Use of logo/mark/certificate by the Supplier (client's) - as *suppliers are not authorized to use either STQC or UIDA/ Aadhar logo.*
- Any outstanding issues as identified in previous assessment report.

5.0 Surveillance Criteria

5.1 Support System

- The supplier shall sign the contract with user (Enrolment agency/buyer/other applicable stakeholder) to support them for resolution of any problem. This as a minimum should have
  - Help Desk - First level of support-Resolution of Problem remotely (Telephone or email) immediately
  - Second level of support- if problem is not solved-Physical visit by expert-within 48 Hours
  - Supplier shall maintain records of support provided
  - Supplier shall have a policy to maintain a stock for easy replacement in case of non resolution of technical problem to ensure service continuity of the user.

5.2 Maintenance

- The Supplier shall have adequate (depending on Business volume and location) Repair and maintenance facility (including calibration) to support the user in operation and maintenance phase. If the supplier intends to use OEM/Principal facility, there shall be an agreement to this effect.
- Supplier shall maintain the maintenance records.

5.3 Training

- Training support to user operator of the device regarding process (enrolment and authentication) and procedure of device operation

- Supplier shall maintain records of training delivered to user/user group.

5.4 Environmental Protection

- Supplier shall have a plan to address requirements of EPA effective from May 2012.

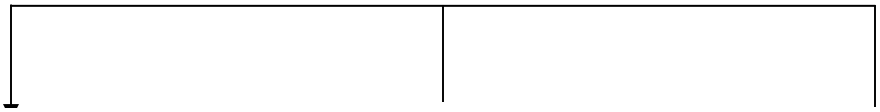
Note:

The Ministry of Environment and Forest (MOE), Govt. of India has notified e-waste management rules in the country. The e-waste (Management and Handling) Rules, 2011 recognise the producer's liability for recycling and reducing e-waste in India and put the onus of re-cycling of electronic waste on producers. The rules will apply to every producer, consumer and bulk consumer involved in manufacture, sale, purchase and processing of electronic equipment or components. They shall have eWaste collection Centre or introduce `take back' systems (at end of life). The rules, which come under the Environmental Protection Act (EPA), is effective from May 1, 2012.

5.5 Control of Device Quality

The supplier shall maintain test report as per test schedule requirement specified below:

Test Schedule



(Each Consignment -Lot-By-Lot Test)
By Manufacturer
Group A Tests
- Visual-Inspection (100%)
- Functional Testing (100%)
- Image Quality Testing (100%)

(Yearly – 1 Sample)
By Independent Quality Assurance of Manufacturer/ Any Test Lab.)
Group A Tests
- Visual Inspection
- Functional Testing
- Image Quality Testing

Group B Tests
- API Compliance Testing

(once in 3 year – 1 Sample)
By Independent Test Laboratory (BDTL)- Visual Inspection
- Functional Testing
- API Compliance Testing
- Integration & Interoperability Testing
- Physical & Dimensional Testing
- Image Quality Testing
- EMI/EMC Testing
- Eye Safety Testing
- Environmental & Durability Testing
- Visual Inspection
- Functional Testing
- Image Quality Testing

Note:
Manufacturer (OEM) is expected to test all Biometric devices for Group-A tests and ensure only compliant devices are delivered to supplier in India. The contract between OEM/manufacturer and the supplier in India should cover this aspect and OEM/manufacturer shall supply all test records/reports mentioned above to the supplier in India which will be audited during surveillance visit.

5.6 Other requirements

- Maintain the traceability records of the devices sold to the user/user group/reseller
- Supplier shall maintain technical construction file for each type of device
- Supplier shall have a procedure to ensure only compliant devices are placed in Indian Market.
- Supplier shall integrate Certification scheme requirement and surveillance criteria into their Quality Management System (which is in compliance with ISO 9001).

6.0 Procedure for Renewal Assessment

The entire system shall be re-assessed, before completion of three years of Certification validity. The review of past performance for the certification validity period shall be carried out prior to renewal which shall include aspects such as trend of non-conformities, areas of specific concerns.

On completion of all activities leading to renewal of certification, the Certification Body shall invoice the client for all the applicable charges as per the schedule of charges prior to issue of renewed certificate(s).

7.0 Surveillance Report

The Surveillance report shall clearly indicate the part of the system that was assessed during each surveillance visit. The team leader shall forward a copy of assessment report to Certification Body leaving the original with the Supplier (client's). In case minor non-conformances are found the client is required to provide a written response to the team leader. These non-conformances are closed based on the advice of the team leader. In case of major non-conformance the Team leader shall immediately notify the Certification Body. The clearance of the major non-conformance shall normally include a special visit.

The Surveillance Team shall generate a Report (in free format) covering supplier name, address, persons contacted with their designation, degree of compliance with observations to surveillance criteria, non-conformity and recommendation

for Certification Body. The report should be signed by the Surveillance Team and agreed by the supplier. The lead auditor shall forward the audit report to the certification body. Also acceptance of effective implementation of corrective action taken by supplier for the non-conformities observed shall be sent to certification body after verification.