

*RFP Reference no: OBC/CO/DIT/RFP-UID/11/2014-2015  
(Only for vendors Empanelled as Enrollment Agency by UIDAI )*

# Request for Proposal

For

Selection of Enrolment Agencies

For

Implementation of UID Project –  
Phase- III



ओ.बी.सी.

**Oriental Bank of Commerce  
Department of Information Technology  
Corporate Office  
Gurgaon**

**Unique Identification Authority of India (AADHAAR) Project –  
Phase - III**

General Detail	
Tender Id :	
Tender No :	OBC/CO/DIT/RFP-UIDAI/11/2014-15
Department Name :	Oriental Bank of Commerce
Scope of Work :	Selection of Enrolment Agencies for Implementation of UID Project-Phase III
Tender Details :	REQUEST FOR PROPOSALS (RFP) FOR SELECTION OF ENROLMENT AGENCIES FOR IMPLEMENTATION OF UID PROJECT-PHASE III
Mode of Tender Submission	Online
Tender Type :	Open
Type of Contract:	Service
Bidding Type :	Indigenous
Consortium :	NOT ALLOWED
Download Tender Documents :	After meeting the Pre Qualification criteria
Purchaser Location :	Gurgaon
Key Dates	
Document Download Start Date & Time :	Monday August 11, 2014 10.00 AM
Document Download End Date & Time :	Monday September 1, 2014 5.00 PM
Last Date & Time of Online Bid Submission :	Tuesday September 2, 2014 5.00 PM
Date & Time of Online Bid Opening :	Thursday September 4, 2014 11:00 AM
Bid Validity Period (Days):	As per tender document
Project Duration :	As per tender document
Documents to be submitted Physically :	<ul style="list-style-type: none"> <li>i. Participation Fee DD,</li> <li>ii. B.G. or DD for EMD</li> <li>iii. Other documents supporting eligibility criteria etc. as per tender document.</li> </ul>
Tender Activity Configuration	
Pre-bid-Meeting :	A pre meeting will be held at 1 <sup>st</sup> Floor, Department of Information Technology, Plot No-5, Sector-32, Corporate Office, Gurgaon – 122001 on Tuesday August 19, 2014 at 3.00 P.M. Bidders may discuss their queries in the meeting. However queries must reach us on or before Friday August 15, 2014 5.00 PM through e-mail on <a href="mailto:dit@obc.co.in">dit@obc.co.in</a> , <a href="mailto:hodit_fi@obc.co.in">hodit_fi@obc.co.in</a> or <a href="mailto:sunil@obc.co.in">sunil@obc.co.in</a> .
Mode of Apo-Po :	Offline
Mode of Document Fees Payment :	Offline
Mode of EMD payment :	Offline

<b>Mode of Security Fees Payment :</b>	NA
<b>Payment Details:-</b>	
<b>Participation Fees:</b>	₹10,000/- (Not refundable)
<b>EMD Amount :</b>	₹5,00,000/-
<b>Performance Bank Guarantee</b>	10% of the contract value rounded off to the nearest thousand Indian Rupees
<b>Details</b>	
<b>Eligibility Criteria :</b>	As per Tender Document
<b>General Terms and condition :</b>	As per Tender Document
<b>Other Details :</b>	<ol style="list-style-type: none"> <li>1. The bidders must fulfil the Pre-Qualification criteria for being eligible to bid.</li> <li>2. The prospective bidders may mail their queries and suggestions for any changes required to be made in the bid document through e-mail on <a href="mailto:dit@obc.co.in">dit@obc.co.in</a>, <a href="mailto:hodit_fi@obc.co.in">hodit_fi@obc.co.in</a> and <a href="mailto:sunil@obc.co.in">sunil@obc.co.in</a> before Friday August 15, 2014. The suggestions and queries shall be responded in the pre-bid meeting on Tuesday August 19, 2014 and subsequent changes made based on the suggestions and clarifications as above shall be deemed to be part of the RFP document.</li> <li>3. No suggestions or queries shall be entertained after pre-bid meeting.</li> <li>4. The EMD and Bank Draft of ₹10,000/- on account of participation fees along with physical copies of all the documents mentioned in the Tender document in support of eligibility criteria etc. must be received at the following address before the date and time of submission of bid.</li> <li>5. Contact details of the Bank:</li> </ol> <p><b>Dy. General Manager (IT)</b>  Oriental Bank of Commerce,  Corporate Office,  Plot No-5, 1<sup>st</sup> Floor,  Sector-32, Institutional Area,  Gurgaon – 122 001  Phone: 0124-4126217, 0124-4126229  Fax: 0124-4126212  E-mail: <a href="mailto:dit@obc.co.in">dit@obc.co.in</a></p>

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## **1. INVITATION FOR PROPOSAL**

1. ***Oriental Bank of Commerce*** invites Techno Commercial bids for Selection of Enrolment Agencies empanelled by UIDAI for carrying out the enrolment activities for implementation of UID Project.
2. The Request for Proposal (RFP) includes the following sections:
  - a. Invitation for Proposal
  - b. Instruction to Bidders
  - c. Scope of Work
  - d. Technical Proposal
  - e. Commercial / Financial Proposal
  - f. Annexures including Standard Contract
3. The “Request for Proposal” is available on the website [www.obcindia.co.in](http://www.obcindia.co.in) for free download. The response to the RFP should be submitted on or before Tuesday September 2, 2014, 5.00 P. M. at the address for communication given below :

Dy. General Manager (IT)  
Oriental Bank of Commerce  
Department of Information Technology, Corporate Office  
1<sup>st</sup>, Floor, Plot No.5, Sector-32  
Institutional Area, Gurgaon-122 001
4. The *Oriental Bank of Commerce* reserves the right to reject any or all the Proposals in whole or part without assigning any reasons.
5. Address for Communication:

Dy. General Manager (IT)  
Oriental Bank of Commerce  
Department of Information Technology, Corporate Office  
1<sup>st</sup>, Floor, Plot No.5, Sector-32  
Institutional Area, Gurgaon-122 001

## 2. INTRODUCTION

### 2.1 About Oriental Bank of Commerce

**Oriental Bank of Commerce** is a leading Public Sector Bank with around 2150 Service Outlets (SOLs) i.e. Branches / Administrative Offices / Departments spread across the country and all are covered under Core Banking Solution (CBS). The Bank has a three tier organizational setup – Branches, Regional Offices & Corporate Office. Presently, there are 34 Regional Offices which are reporting to Corporate Office. Bank has implemented several Banking services viz. CBS, Internet Banking, SMS Banking, Mobile Banking, RTGS, NEFT, e-KYC etc. and also planning to launch few other applications very soon.

Bank has a Primary Data Centre (PDC) at Mumbai and Disaster Recovery Site (DRS) at New Delhi. All the live applications are running through the Primary Data Centre.

Bank is working as Registrar to UIDAI for implementation of UID project by enrolment of UIDs to public at large. The Bank as a Registrar shall select Enrolment Agencies which shall capture Know Your Resident (KYR) demographic data and biometric data from the residents to be given to UIDAI for issuance of UID number (also called Aadhaar). Along with KYR data, Enrolment Agencies will also capture additional fields what may be called as KYR+ and are detailed in Annexure VI.

### 2.2 About UID Project

The Government of India (GOI) has embarked upon an ambitious initiative to provide a Unique Identification (UID) to every resident of India and has constituted the Unique Identification Authority of India (UIDAI) for this purpose. The timing of this initiative coincides with the increased focus of the GOI on social inclusion and development through massive investments in various social sector programs, and transformation in public services delivery through e-Governance programs. The UID has been envisioned as a means for residents to easily and effectively establish their identity, to any agency, anywhere in the country, without having to repeatedly produce identity documentation to agencies. More details on the UIDAI and the strategy overview can be found on the website: <http://www.uidai.gov.in>

The widespread implementation of the UID project needs the reach and flexibility to enroll residents across the country. To achieve this, the UIDAI proposes to partner with a variety of agencies and service providers (acting as Registrars, Sub-registrars and Enrolling Agencies) to enroll residents for UID. By participating in enrolling residents, registrars and enrolment agencies across the country would be part of a truly historic exercise, one which can make our welfare systems far more accessible and inclusive of the poor, and also permanently transform service delivery in India.

In this context, the Registrars shall engage enrolment agencies empanelled by UIDAI for carrying out the various functions and activities related to UID enrolment such as setting up of enrolment centers, undertaking collection of demographic and biometric data for UID

enrollment and any other data required by the Registrar for the effective implementation of their projects. This Request for Proposal document is intended to invite bids from only those agencies which are empanelled by UIDAI for undertaking demographic and biometric data collection for enrolment of residents.

### 3. INSTRUCTION TO BIDDERS - STANDARD

#### PART I

#### STANDARD

<b>Definitions</b>	<p>(a) “Purchaser” means the agency with which the selected Bidder signs the Contract for the Services. In this project, the ‘Purchaser’ is the <i>Oriental Bank of Commerce</i></p> <p>(b) “Bidder” means any entity that may provide or provides the Services to the Purchaser under the Contract.</p> <p>(c) “Bid” means the Techno Commercial Proposal</p> <p>(d) “Instructions to Bidders” (Section 3 of the RFP) means the document which provides interested Bidders with all information needed to prepare their Proposals.</p> <p>(e) “Scope of Work” (SoW) means the document included in the RFP as <b>Section 4</b> which explains the objectives, scope of work, activities, tasks to be performed, respective responsibilities of the Purchaser and the Bidder.</p> <p>(f) “Contract” means the Contract signed by the Parties and all the attached documents listed in its Clause 1, which is the General Conditions (GC), the Special Conditions (SC), and the Appendices.</p> <p>(g) “Data Sheet” means such part of the Instructions to Bidders used to reflect specific country and assignment conditions.</p> <p>(h) “LOI” (Section 1 of the RFP) means the Letter of Invitation being sent by the Purchaser to the Bidders.</p> <p>(i) “Personnel” means professionals and support staff provided by the Bidder and assigned to perform the Services or any part thereof.</p> <p>(j) “Proposal” means the Pre-Qualification Proposal and the Financial Proposal consisting of one/ multiple Schedules.</p> <p>(k) “RFP” means the Request for Proposal to be prepared by the Purchaser for the selection of Bidder.</p> <p>(l) “Assignment / job” means the work to be performed by the Bidder pursuant to the Contract.</p>
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<b>1. Introduction</b>	<p>1.1 This RFP (Request for Proposal) is being issued only to the Enrolling Agencies empanelled by UIDAI for undertaking the Demographic and Biometric data collection of Residents of all states and UTs of the country. As on date 22 states/UTs are approved to UIDAI by Central Government.</p> <p>1.2 All the provisions listed out in the Request for Empanelment (RFE) issued by the UIDAI and Terms and Conditions of Empanelment shall be binding upon the participating bidders of this RFP.</p> <p>1.3 The detailed Scope of assignment / job has been described in Scope of Work <b>Section 4</b>.</p> <p>1.4 The date, time and address for submission of the proposals has been given in Part II Data Sheet</p> <p>1.5 Interested Bidders are invited to submit Techno Commercial bids for providing services required for the assignment named in the Data Sheet. The proposal, and any clarifications provided by the bidder along with the Scope of Work provided in the RFP will form the basis for contract negotiations and ultimately for a signed contract with the selected bidder.</p> <p>1.6 The Purchaser is not bound to accept any bids, and reserves the right to annul the selection process at any time prior to Contract award, without thereby incurring any liability to the Bidders.</p> <p>1.7 Bidders shall bear all costs associated with the preparation and submission of their proposals and contract negotiation.</p>
<b>Only one Bid</b>	1.8 A Bidder shall only submit one proposal. If a Bidder (single/consortium partner) submits or participates in more than one proposal, such proposals shall be disqualified.
<b>Bid Validity</b>	1.9 The Part II Data Sheet to Bidder indicates how long Bidders' bid must remain valid after the submission date.
<b>Consortium Members</b>	1.10 Only those consortiums which have been empanelled by UIDAI are eligible to submit a consortium bid. In such a case, the lead agency empanelled by UIDAI shall be the lead member of the consortium and shall be responsible and liable to the Purchaser for every aspects of their proposal, contract etc.
<b>Soft Copy of Tender Document</b>	1.11 The soft copy of the tender document will be made available on the bank's website <a href="http://www.obcindia.co.in">www.obcindia.co.in</a> . However Bank shall not be held responsible in any way, for any errors / omissions / mistakes in the downloaded copy.

	<p>The bidder is advised to check the contents of the downloaded copy for correctness against the printed copy of the tender document. The printed copy of the tender document shall be treated as correct and final, in case of any errors in soft copy. The bidders who are submitting the bid by downloading from the Bank's website will have to pay the non-refundable fee of ₹ 10,000/- by way of demand draft or banker's cheque drawn in favour of Oriental Bank of Commerce and payable at Gurgaon. The bidders participating in the pre-bid meeting shall pay the tender document fee before attending the pre-bid meeting.</p>
<b>2. Clarification and Amendment of RFP Document</b>	<p>2.1 Bidders may request a clarification in the RFP document up to the number of days indicated in the Data Sheet before the proposal submission date. Any request for clarification must be sent in writing, or by standard electronic means to the Purchaser's address indicated in the Data Sheet.</p> <p>2.2 At any time before the submission of Proposals, the Purchaser may amend the RFP by issuing an addendum/ corrigendum in writing or by standard electronic means. The addendum/ corrigendum shall be sent to all Bidders and will be binding on them.</p>
<b>3. Preparation of Bids</b>	<p>3.1 The preparation of bid as well as all related correspondence exchanged by the Bidders and the Purchaser shall be written in English.</p> <p>3.2 The Technical and Commercial Bids should be prepared using the attached Standard Forms (Section 5, Annexure- I II, III and IV). The Financial Bids shall not include any conditions attached to it and any such conditional Financial Bid shall be summarily rejected.</p> <p>3.3 The Bidder shall submit a copy of the letter of Empanelment issued by UIDAI duly indicating the level and tier as well as the list of States the Bidders is eligible to work in. Non-submission of the letter of empanelment may be grounds for disqualification.</p>
	<p>3.4 The purchaser shall verify the contents of the 'Letter of Empanelment' with the list of empanelled agencies provided by UIDAI to check the eligibility of the Bidders.</p>
<b>Taxes</b>	<p>3.5 The Bidder may be subject to local taxes (such as: value added or sales tax, social charges or income taxes on non resident Foreign Personnel, duties, fees, levies) on amounts payable by the Purchaser under the Contract. Bidders shall include such taxes in the financial proposal.</p>
	<p>3.6 Bidders should provide the price of their services in Indian</p>

	Rupees.
<b>Earnest Money Deposit (EMD), and Performance Guarantee.</b>	<p><b>3.7 Earnest Money Deposit</b></p> <p>I. An EMD of Rupees Five lakhs, in the form of DD drawn in favour of <i>Oriental Bank of Commerce</i> payable at <i>Gurgaon</i>, must be submitted along with the Proposal.</p> <p>II. Proposals not accompanied by EMD shall be rejected as non-responsive.</p> <p>III. No interest shall be payable by the Purchaser for the sum deposited as earnest money deposit.</p> <p>IV No bank guarantee will be accepted in lieu of the earnest money deposit.</p> <p>V The EMD of the unsuccessful bidders would be returned back within one month after closure of RFP process.</p>
	<p><b>3.8</b> The EMD shall be forfeited by the Purchaser in the following events:</p> <p>I. If Proposal is withdrawn during the validity period or any extension agreed by the Bidder thereof.</p> <p>II. If the Proposal is varied or modified in a manner not acceptable to the Purchaser after opening of Proposal during the validity period or any extension thereof.</p> <p>III. If the Bidder tries to influence the evaluation process.</p> <p>IV. If the First ranked Bidder withdraws its proposal during negotiations (failure to arrive at consensus by both the parties shall not be construed as withdrawal of proposal by the Bidder).</p>
	<p><b>3.9 Tender Fees:</b></p> <p>All Bidders are required to pay ₹. 10,000/- towards Tender Fees in the form of Demand Draft drawn in favour of <i>Oriental Bank of Commerce</i> payable at <i>Gurgaon</i>. The Tender Fee is Non-Refundable.</p>
	<p><b>3.10. Performance Bank Guarantee</b></p> <p>I. The selected Bidder shall be required to furnish a Performance Bank Guarantee equivalent to 10% of the contract value rounded off to the nearest thousand Indian Rupees, in the form of an unconditional and irrevocable bank guarantee from a scheduled commercial bank in India in favour of <i>Oriental Bank of Commerce</i> for the entire period of contract with 90 days claim period.</p>

	<p>II. The bank guarantee must be submitted after award of contract but before signing of contract. The successful bidder has to renew the bank guarantee on same terms and conditions for the period up to contract including extension period, if any. Performance Bank Guarantee would be returned only after successful completion of tasks assigned to them and only after adjusting/recovering any dues recoverable/payable from/by the Bidder on any account under the contract.</p> <p>III. On submission of this performance guarantee and after signing of the contract, demand draft submitted towards EMD would be returned in original.</p>
<b>4. Submission, Receipt, and Opening of Proposals</b>	<p>4.1 The Technical and Commercial proposal shall contain no interlineations or overwriting, except as necessary to correct errors made by the Bidders themselves. The person who signed the proposal must initial such corrections.</p> <p>4.2 An authorized representative of the Bidders shall initial all pages of the original Technical and Commercial Proposals. The authorization shall be in the form of a written power of attorney accompanying the Technical and Commercial Proposals or in any other form demonstrating that the representative has been dully authorized to sign. The signed Technical and Commercial Proposals shall be marked "ORIGINAL".</p> <p>4.3 The original Technical Bid shall be placed in a sealed envelope clearly marked "TECHNICAL BID".</p> <p>Similarly, the original Commercial Bid shall be placed in separate envelopes, sealed and clearly marked "COMMERCIAL BID".</p> <p>The envelopes containing the Technical Bid, Financial Bid, EMD, and Tender Fee shall be placed into an outer envelope and sealed. This outer envelope shall bear the submission address and be clearly marked "<b>DO NOT OPEN, EXCEPT IN PRESENCE OF THE OFFICIAL APPOINTED</b>".</p>
	<p>4.4 The Bid must be sent to the address indicated in the Data Sheet and received by the Purchaser not later than the time and the date indicated in the Data Sheet, or any extension to this date in accordance with point no. 2. Any proposal received by the Purchaser after the deadline for submission shall be returned unopened.</p>
<b>Right to Accept/Reject the Application</b>	<p>4.5 Purchaser reserves the right to accept or reject any Proposal and to annul the RFP process and reject all such Proposals at any time prior to award of contract, without thereby incurring any liability to the affected applicant(s) or any obligation to inform the affected applicant(s) of the grounds</p>

	for such decision.
<b>5. Public Opening and Evaluation of Financial Proposals</b>	<p>5.1 Commercial proposals of only those firms who pass the Technical stage shall be opened publicly on the date &amp; time specified in the Data sheet, in the presence of the Bidders' representatives who choose to attend.</p> <p>5.2 The name of the Bidders and their financial proposal shall be read aloud.</p> <p>5.3 The Evaluation Committee will correct any computational errors for each Schedule. When correcting computational errors, in case of discrepancy between a partial amount and the total amount, or between word and figures the formers will prevail.</p> <p>5.4 The Contract shall be awarded to the lowest bidder</p> <p>5.5 Bank may empanel more than one bidder for enrolment subject to their matching of prices with L-1.</p>
<b>6. Disqualification</b>	<p>Purchaser may at its sole discretion and at any time during the evaluation of application, disqualify any applicant, if the applicant:</p> <ul style="list-style-type: none"> <li>(i) Submitted the application after the response deadline;</li> <li>(ii) Made misleading or false representations in the forms, statements and attachments submitted in proof of the eligibility requirements;</li> <li>(iii) Exhibited a record of poor performance such as abandoning works, not properly completing the contractual obligations, inordinately delaying completion or financial failures, etc. in any project in the preceding three years;</li> <li>(iv) Submitted an application that is not accompanied by required documentation or is non-responsive;</li> <li>(v) Failed to provide clarifications related thereto, when sought;</li> <li>(vi) Submitted more than one application either as a Single Agency/ Prime Agency/ consortium member;</li> <li>(vii) Was declared ineligible/blacklisted by the Government of India/State/UT Government;</li> <li>(viii) Is in litigation with any Government in India;</li> </ul>
<b>7. Award of Contract</b>	<p>7.1 After Commercial Evaluation the Purchaser shall issue a Letter of Intent to the selected Bidder, and promptly notify all Bidders who have submitted proposals about the decision</p>

	<p>taken.</p> <p>7.2 The Bidders will sign the contract after fulfilling all the formalities/pre-conditions mentioned in the standard form of contract in Section-7, within 15 days of issuance of the letter of intent.</p> <p>7.3 The Bidder is expected to commence the assignment on the date and at the location specified in the Part II Data Sheet. In case the winning Bidder fails to start the enrolment work within 30 days of issue of Letter of Award of Work/ Letter of Intent, then the Registrar may cancel the award of work.</p>
<b>8. Confidentiality</b>	<p>8.1 Information relating to evaluation of Proposals and recommendations concerning awards shall not be disclosed to the Bidders who submitted the Proposals or to other persons not officially concerned with the process, until the publication of the award of Contract. The undue use by any Bidder of confidential information related to the process may result in the rejection of its Proposal.</p>

**INSTRUCTION TO BIDDERS – DATA SHEET*****PART II******Data Sheet***

<b>Paragraph Reference</b>	
<b>1.1</b>	<p><b>Name and Details of the Purchaser:</b></p> <p style="padding-left: 40px;">Dy. General Manager (IT) Oriental Bank of Commerce Department of Information Technology, Corporate Office 1<sup>st</sup>, Floor, Plot No.5, Institutional Area, Sector-32, Gurgaon-122 001</p> <p>Contact number : 0124-4126217,4126229 email ID : <a href="mailto:dit@obc.co.in">dit@obc.co.in</a></p> <p>Website : <a href="https://www.obcindia.co.in">https://www.obcindia.co.in</a></p> <p><b>Method of selection:</b></p> <ol style="list-style-type: none"> <li>a) Technical Evaluation of eligible Bidders</li> <li>b) Commercial Evaluation</li> <li>c) Bank intends to empanel more than one vendor. Accordingly after deciding the L-1 vendor, counter offer shall be given to L2, L3 etc. at the rates quoted by L-1 and the technically compliant vendors willing to match L-1 rates will be considered for empanelment. It will be endeavored to distribute work evenly among all the empanelled vendors. However, the vendor giving better performance may be given preference.</li> </ol>
<b>1.2</b>	<p><b>Name of the assignment:</b> <i>Selection of Enrolment Agencies for enrolment of residents into UID System</i></p>
<b>1.3</b>	<p>The Proposal submission address is:</p> <p style="padding-left: 40px;">Dy. General Manager (IT) Oriental Bank of Commerce Department of Information Technology, Corporate Office 1<sup>st</sup>, Floor, Plot No.5, Institutional Area, Sector-32, Gurgaon-122 001</p> <p>Bids (Technical and Commercial Proposals) in two separate sealed envelopes, EMD, and Tender Fee) must be submitted not later than the following date and time: Date: Tuesday September 2, 2014 Time: 5.00 PM</p>

1.4	<p>A pre-proposal conference will be held on Tuesday August 19, 2014 at 3.00 PM</p> <p style="text-align: center;">Dy. General Manager (IT) Oriental Bank of Commerce Department of Information Technology, Corporate Office 1<sup>st</sup>, Floor, Plot No.5, Institutional Area, Sector-32, Gurgaon-122 001</p>
1.5	Proposals must remain valid for 90 days after the submission date.
2	<p>Clarifications may be requested not later than 10 days before submission date. The address for requesting clarifications is:</p> <p style="text-align: center;">Dy. General Manager (IT) Oriental Bank of Commerce Department of Information Technology, Corporate Office 1<sup>st</sup>, Floor, Plot No.5, Institutional Area, Sector-32, Gurgaon-122 001 email ID : <a href="mailto:dit@obc.co.in">dit@obc.co.in</a></p>
3	The estimated tenure of contract is two years from the date of signing of the contract.
4	<p>Bidder must submit the following:</p> <ol style="list-style-type: none"> <li>a) Original and 1 duplicate hard copy and 1 Soft Copy (on a non-rewriteable CD) of the Technical Proposal</li> <li>b) Only the Original of the Financial Proposal.</li> </ol>
5.1	<p><b><u>Qualification Criteria</u></b></p> <p>A Single company/ organization (e.g. Govt./ Semi-Govt./ Private/ PSU/ NGO/ Not-for-Profit/ Microfinance Institution) or Consortium of companies/ organizations (maximum of 4 members) registered in India are eligible to submit proposals for carrying out the enrolment work as per this RFP. In case of a Consortium, one of the members of the consortium should act as the Prime Agency and shall be solely responsible to the Registrar for executing the enrolment activities and contractual obligations, if selected for carrying out enrolment activities. The Prime Agency should submit the bid on behalf of the Consortium.</p> <ol style="list-style-type: none"> <li>1. The Bidder (single agency/ prime agency) should have been in existence in India for a period of at least 3 years as on 31-03-2014.</li> <li>2. The Bidder (single agency/ all consortium members) must be incorporated or registered in India under the Indian Companies Act, 1956 (including Section – 25 of the Act), the Partnership Act, 1932, Societies Registration Act 1860, the Indian Trusts Act 1882/ it's equivalent in the respective states OR Proprietorship entities having a PAN number.</li> </ol>



3. The Bidder should be on the panel of UIDAI, having pan India presence.
4. Please refer **Annexure VII** for minimum Net worth and minimum Turnover requirement for bidders.
5. The Bidder (single agency/ consortium members) should not have been blacklisted by Central, or any State/ UT Government.
6. The services of the Bidder should not have been terminated for unsatisfactory work or fraudulent activity by Central, or any State/ UT Government.

Only those bidders who meet the eligibility criteria specified above will be eligible to respond to this RFP. The bidder's proposal shall contain the relevant information & supporting documents (as specified below) to substantiate the eligibility of the bidder vis-à-vis the Technical criteria.

**The list of mandatory supporting documents to be submitted are:**

1. Certificate of Incorporation from Registrar Of Companies (RoC) or Certificate of Registration/ Evidence of legal status of Bidder (Single Agency/ all Consortium members)
2. Letter of Association in case of Consortium/ certified true copy of the consortium agreement between the Prime Bidder and the other members of the consortium, describing the respective roles and responsibilities of all the members, in meeting the overall scope and requirements of the proposed Project.
3. Company Auditor Certified Financial Statements (of Single Agency/ Prime Agency in case of consortium) for the financial years 2013-14, 2012-13 and 2011-12 (Please include the sections on P&L, Turnover, Assets and Balance Sheet) should be provided by all types of bidders.
4. Declaration from the senior management citing that the organization has not been blacklisted by Central/ State/ UT Government and has not been charged for any fraudulent activity.
5. Declaration from the Senior Management citing that the service of the organization has not been terminated for unsatisfactory work or fraudulent activity by any Central/ State/ UT Government.
6. In case of NGO/ Not-for-profit organizations, declaration from the Senior Management citing that the organization is a non-political and non-denominational organization with no affiliation to any political party or religion.
7. Proof for Organization PAN number, VAT/ Service Tax number

	<ol style="list-style-type: none"><li>8. Profile of the Organization giving relevant details of nature of work, experience, infrastructure, resources etc.</li><li>9. Letter of empanelment of UIDAI</li></ol>
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## 4. SCOPE OF WORK

The scope of work of the Enrolling Agency (EA) is defined below

1. Functional scope
2. Geographical scope

### 4.1 Functional scope

The functional scope of this engagement shall include all the steps from setting up an enrolment station/center for enrolment of residents for the *UID Project up* to providing requisite MIS reports to Registrar and UIDAI on enrolments completed on a daily basis till the whole enrolment operation for the targeted population is completed. The functional scope shall also include the collection of demographic details as per the KYR+ data requirements of Oriental Bank of Commerce. The Enrolling Agency shall also be responsible for delivering additional services as required by the Registrar through this RFP. The enrolment agencies shall have to visit any of the branches of Oriental Bank of Commerce.

#### 4.1.1 Procure Biometric Devices as per UIDAI Specifications

The enrolling agency should themselves procure web/digital camera and biometric devices (for fingerprint and iris capture), used for capture of biometric data at the enrolling station, which conform to UIDAI specifications and certified by UIDAI appointed agencies.

#### 4.1.2 Setting up of Enrolment Stations and Enrolment Centers

The number of enrolment stations / centers and the duration shall be decided by the Bank taking into account a number of factors like population density, geographical and topographical features, accessibility etc. The Annexure VII of this document provides minimum number of Enrolment Stations the Enrolment agency is expected to set up based on:

1. Population to be covered
2. Density of population and
3. Maximum distance between two enrolment stations

The exact location and catchment area of the stationary enrolment station and catchment area for the mobile enrolment station shall be decided by the registrar in consultation with the Enrolment agency. A stationary enrolment station in this context would mean an enrolment station that shall be available at a particular location and address for a period more than 3 days to complete enrolment of the population in the catchment area assigned. The Registrar may decide to provide the facilities to house the stationary enrolment station at these locations. A mobile enrolment station in this context would mean an enrolment station housed in a mobile vehicle with facilities as defined in this section and shall move around in the catchment area (locality) assigned until the enrolment of the target population in the locality is completed.

The process for setting up Enrolment centre is defined in 4.3 Set up Enrolment centre sub process flow at the end of this document. The minimum facilities in the setup are as below.

#### a. Setting up of Enrolment station

Enrolment Station refers to an individual enrolment booth/enclosure inside the Enrolment Centre. The capture of Demographic and Biometric data is done in this Station.

An enrolment station including a mobile enrolment station shall be equipped with all the necessary machinery as specified by UIDAI and published on its website. It includes:

<b>Mandatory Requirements</b>	
<b>A</b>	<b>Enrolment Station</b>
A.1	Laptops with OS
A.2	UIDAI software installed, tested, configured, registered with CIDR as per installation and configuration manual
A.3	List of Introducers loaded on laptop
A.4	Iris capturing device available(record Make & Model)
A.5	Fingerprint capturing device available(record Make & Model)
A.6	Digital Camera(record Make & Model)
A.7	White back ground screen available for taking photographs
A.8	Extra monitor for residents to verify their data (15-16" with a resolution above 1024x768)
A.9	All devices as per UIDAI standards
A.10	Working of all equipment at every station tested
A.11	Data backup device (4 GB pen drive sufficient for 1 centre/day i.e. 5 stations. Enrolment Centre should maintain a stock of 20 days )
A.12	Printer ( A4 laser printer; must print photo with good quality receipt)
A.13	Printer Paper( Inventory for 5 stations for 10 days ~ 20 rims)
A.14	GPS Receiver (USB/built in)/ GPS System & 4GB
A.15	AntiVirus / Anti Spyware checks
A.16	Data Card /Internet connectivity for Enrolment Client to be online every 24-48 hrs
A.17	All Operators and Supervisors enrolled into AADHAAR and registered with CIDR
A.18	The pre-enrolment data from the Registrars, if used, is available for import on laptops
A.19	If Registrar has additional fields to be captured , then the KYR+ software for capturing the KYR+ fields is configured and tested
A.20	Scanner for scanning of documents

#### b. Setting up of Enrolment Centre

Enrolment Centre refers to the premises located in the area where the enrolment is being carried out. The location for the enrolment center and number of enrolment stations per center shall be determined by the Enrolling agency and approved by the Registrar.

The process for setting up Enrolment centre is defined in 4.3 Set up Enrolment centre sub process flow at the end of this document. The minimum facilities in the setup are as below.

The enrolment plan and schedule for the center shall be prepared by the Enrolment Agency and shared with the registrar. One Enrolment Centre can host a single or multiple Enrolment Stations. Following are the specifications for a stationary/mobile enrolment center.

<b>Mandatory Requirements</b>	
<b>B</b>	<b>Enrolment Centre</b>
B.1	Backup power supply (generator) of 2 KVA capacity for every five enrolment stations kept in a centre
B.2	Fuel to run the generators
B.3	Printed enrolment forms for filling data available in sufficient numbers
B.4	Preprinted Bubble Envelopes size 10, for pen drive transfer to CIDR via India Post (2 Envelopes/day/centre. Enrolment Centre should maintain a stock of 20 days)
B.5	Adequate lighting, fans & power points for plugging various biometric devices available
B.6	Local authorities informed of enrolment schedule
B.7	Introducers informed of enrolment schedule
B.8	Banner for the Enrolment Centre placed at entrance
B.9	Posters depicting enrolment process in English & the local language present in visible places
B.10	Grievance handling Helpline Number and other important numbers displayed prominently inside/outside the enrolment centre
B.11	The User Manual of the software available for ready reference & operators aware of the same
B.12	Sponge for wetting and hand-cleaning cloth available

Enrolment Centers can be opened ONLY after prior approval of the Registrar (Municipal Commissioners and District Collectors) after updating all requisite details about the center in the UIDAI portal. Any center not following the above directive shall be deemed to be an illegal center and necessary action shall be taken against the concerned Enrolment Agency.

- i. An enrolment center shall be manned by a supervisor and technical personnel in addition to the operators at the enrolling stations. A ratio of 5:1 operators to supervisors as well as operators to technical staff subject to a minimum of one technical staff per one enrolment centre should be maintained by the Enrolment Agency.
- ii. The premises of the enrolment center are expected to be provided by the Government authorities wherever available. However the enrolling agency shall ensure required infrastructure like connectivity, power (if not already available)

etc with the help of the local body authorities. In cases where such facilities are not available, the enrolling agency shall be responsible for providing alternate arrangements like power generator etc.

- iii. An area in the enrolment center shall be clearly demarcated for enrollees waiting to be enrolled and facilities for seating should be provided.
- iv. In case of mobile enrolment centers/stations, the decision on frequency/period of availability shall be decided by the Registrar based on density of population, geographical terrain etc.
- v. Key figures on the enrolment stations/centers are provided separately in Annexure VIII.

#### **4.1.3 Hire & Train Manpower for Enrolment**

##### **Hiring Manpower:**

The Enrolling Agency shall hire manpower to operate the enrolment station/center as per the guidelines prescribed by UIDAI.

- i. Operator: The enrolling agency shall hire manpower (operator) to execute enrolment at the enrolment stations as per the criteria provided below
  1. The operator should have passed minimum Matriculation
  2. The operator should have a basic understanding of operating a computer and should be comfortable using the computer.
  3. The operator should have undergone training on the various equipment and gadgets as specified in 1.a above.
  4. The operator should have passed the Operator test for UID enrolment and certified from a testing and certifying agency authorized by UIDAI.
- ii. Supervisor: The enrolling agency shall hire Supervisors to supervise enrolment at the enrolment centers as per the criteria provided below
  1. The supervisor shall preferably a graduate
  2. The supervisor shall have a good understanding and experience in using a computer.
  3. The supervisor should have undergone training on the various equipment and gadgets as specified in 1.a above.
  4. The operator should have passed the Supervisor test and certified from a testing and certifying agency authorized by UIDAI.

- iii. Technical personnel : The enrolling agency shall hire Technical personnel to provide technical support during enrolment at the enrolment centers as per the criteria provided below
1. The Technical personnel shall be a Graduate and have a certification/experience on hardware/software trouble shooting and maintenance
  2. The Technical personnel shall have a good understanding and experience in using a computer.
  3. The Technical personnel should have undergone training on the various equipment and gadgets as specified in 1. above.
  4. The Technical personnel should have passed the Technical personnel test and certified from a testing and certifying agency authorized by UIDAI.
- iv. Induction training: After hiring the personnel as described above, the Enrolment Agency should impart induction training on the various activities involved in the enrolment process to enable them to understand and adjust to the local situation. The induction training is to be given just before actual deployment of the personnel for enrolment operations and shall be compulsory. The period of induction training shall be from 10 to 15 days.

**Training of Manpower:**

The EA may also opt to identify resources to employ in the Enrolment operations, get them trained and certified and then deploy them on the enrolment stations. UIDAI shall empanel training institutes to impart training in UIDAI prescribed enrolment operations. EAs may opt for engaging specialized training agencies (only those who have been empanelled with UIDAI) for providing training to its enrollment personnel. However the enrolling agencies may also train their own manpower subject to certain conditions as prescribed below.

1. The training schedule and content shall be as prescribed by UIDAI on its website.
2. The enrollment agency may prefer to have master trainers onboard. Master trainers shall be identified by the enrollment agency from its pool of trainers and get them trained by UIDAI/ its representative as per its schedule. Master trainers shall train the trainers.
3. The enrollment agency shall have the requisite number of trainers for training its personnel. Trainers have to be trained by the Master trainers and should have passed the certification exam.
4. The training and enrolment operations shall be separate activities.
5. Duration of the training will vary depending on the category/ level of the participant and shall be prescribed by UIDAI on its website.

6. The enrolling agency involved in training shall translate the training material into local language and hand it over to the course participants.
7. The enrollment agency shall ensure the availability of the requisite infrastructure for imparting training which shall include
  - a. Availability of at least two sets of the equipment and gadgets listed in 4.1.2.a above.
  - b. Certified trainers
8. The size of a batch for training shall not exceed 40 per batch.
9. The training schedule and contents for training shall be defined by UIDAI/its representative.
10. The manpower trained by the Enrolling Agency/Empanelled training agency shall be considered qualified only after passing the Certifying test conducted by a Testing and Certifying Agency authorized by UIDAI. Therefore the agency shall coordinate with the testing agency for testing and certifying its trainees.
11. The agency shall be subject to process audits for training from time to time by UIDAI/its representative.

Indicative training modules and duration is provided in Annexure VIII. Alternatively an individual can undergo self training based on the content provided on the UIDAI website and attend the certification test. Upon successful certification the individual is deemed competent to perform in the role he is certified and can be hired by the Enrolment agencies for enrolment operations.

No Outsourcing of working shall be allowed, and all supervisors, operators, technical staff and managerial staff for the project to be on Agencies payrolls and paid at least more than Minimum Wages and after following all relevant Labor laws in the State. The payment should be made through banking channels only. The EAs need to open Aadhaar enabled bank accounts of the staff members for the same.

All the staff deployed by the enrolment agency at the enrolment centers should clearly display their company ID Card with name and photograph.

The EAs need to put the IEC material (at their own cost) at the prominent places in the centers, failing which they may be liable for penalties.

#### **4.1.4 Conduct Enrolment Operations as per Standard Processes specified by UIDAI/Registrar**

Prior to the commencement of the Enrolment operations, the Enrollment Agency shall work closely with the local governing bodies, key introducers in publicizing the UID, its importance and schedule for UID registration in that location. During the enrolment operation also publicity and awareness shall be done in coordination with the local authorities to



encourage UID registrations. All content and material for such publicity will be jointly worked by UIDAI/Registrar and shall conform to specifications laid down by UIDAI.

UIDAI has defined clear-cut standard processes for enrolment as mentioned hereunder.

The Enrolment Agencies would use the software provided by the UIDAI/Registrar for the collection of demographic data and the biometric data. The software will be supported by a User Manual.

**Step 1a: Collect demographic data after due verification as prescribed by UIDAI**

Please refer to 5.1.1, 5.1.2 in Annexure V for detailed standards and guidelines for demographic data collection. Please refer to process 4.5 for the detailed process flow of capturing Demographic and Biometric data capture.

**Step 1b: Collect demographic data after due verification as prescribed by Bank**

Bank proposes to collect additional information (called KYR+), wherever available or applicable, during enrolment process. The KYR+ data and guidelines for capture of the details given in Annexure VI.

**Step 2: Collect Biometric data from the enrollees as prescribed by the UIDAI.**

Please refer to 5.1.4 & 5.1.5 in Annexure V for detailed standards and guidelines for capture of Biometric data. Please refer to the process flow 4.5 and 4.6 Capture Demographic & Biometric Data & Ready for Transfer Sub Process Description of Annexure V for detailed steps involved in Biometric data collection.

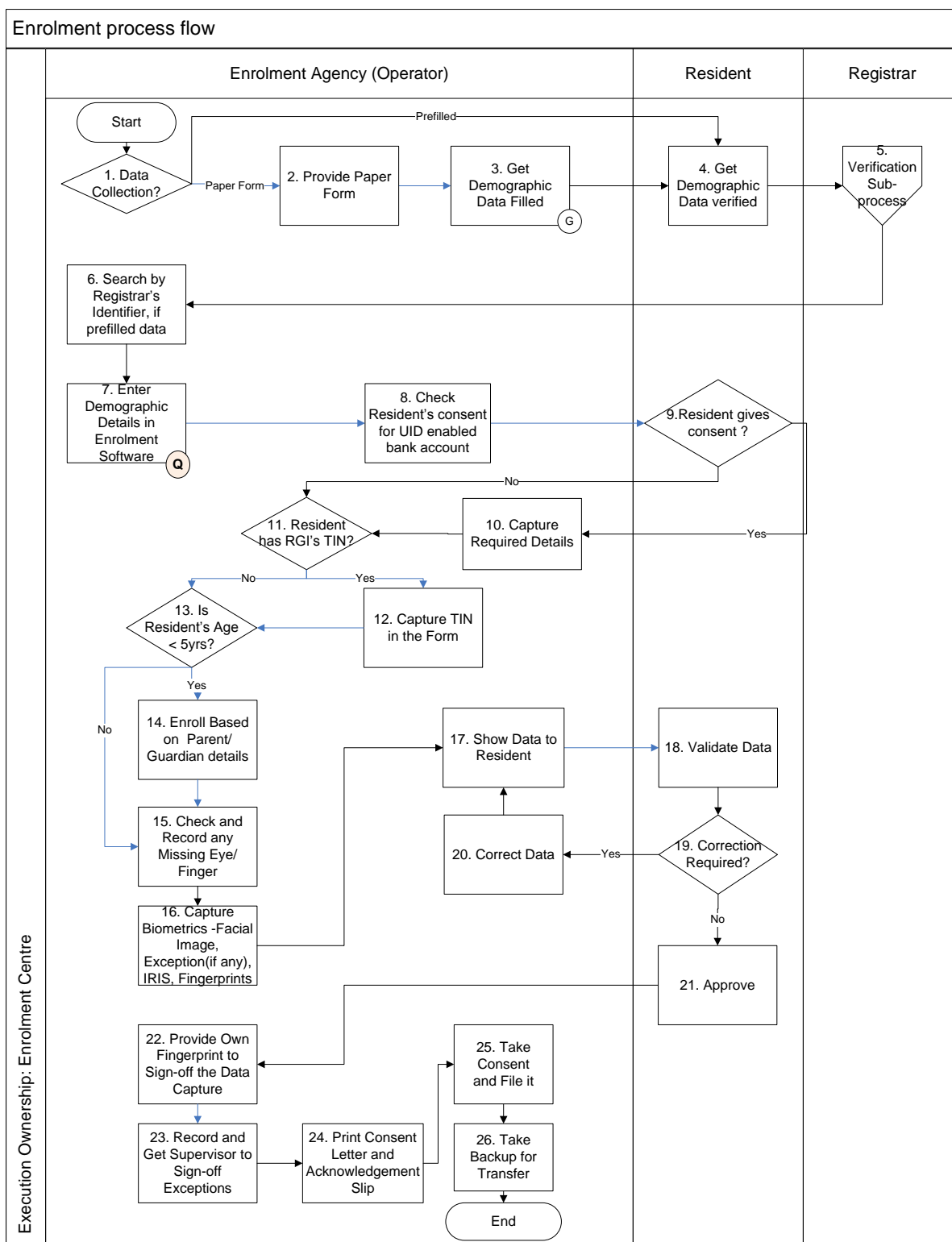
**Step 3: Get consent letter and generate acknowledgement receipt.**

After the demographic and biometric details are captured the enrolment operator shall show the demographic data to the enrollee and get his consent. If needed, any corrections are made to the data and signed off by the operator by providing his finger prints. All exceptions need to be signed off by the Supervisor. A consent letter has to be printed and the signature/thumb impression of the enrollee obtained and the letter filed. An acknowledgement receipt is then printed and provided to the enrollee as a reference.

**Step 4: Data backup and transfer:**

The data thus collected would be transmitted to the UIDAI for a process of de-duplication and allotment of the AADHAAR Number.

Please refer to the Guidelines for enrolment for detailed process flows of the various activities in the Enrolment process as prescribed by UIDAI. Process flow for Enrolment operations is as given below:



**However, please note that any change made in the enrolment process by UIDAI at any point of time shall be applicable to the bidder.**

#### 4.1.5 Send Enrolment Data to Registrar

The UIDAI will separately prescribe the methods by which the data has to be transferred to the Authority for storage in Central Identities Data Repository (CIDR). The guidelines from UIDAI will relate to the transfer of data into specific memory devices and transporting them

through a secure network or physically by the postal or courier services to the address which will be specified. The enrolling agencies are therefore advised to obtain these instructions before they proceed to collect the demographic and Biometric Data of the willing enrollees. The UIDAI will also issue separate instructions on the form of capture and storage for the PoI and PoA documents. UIDAI will not be responsible for storage of POA/POI documents.

#### **4.1.6 Privacy & Security**

Enrolling agencies are responsible to make sure that the data is kept in a very secure and confidential manner and under no circumstances, shall they neither use the data themselves nor part with the data to any other agency other than the UIDAI. Mechanisms to ensure the same have to be put in place by the Enrolling agency and shall be subject to audit by UIDAI/Registrar/their representative from time to time.

#### **4.1.7 Document Management System**

UIDAI has appointed an agency for Document Management Services for pickup of hard copy documents, scanning and storage etc. The enrolment agencies need to provide the hard copy of the documents collected in the format prescribed by UIDAI to the DMS agency.

**The responsibility of safe custody of the documents till the handover to the DMS agency of UIDAI lies entirely with the enrolment agency and any non compliance of the same shall attract strict penalties.**

UIDAI is expected to discontinue the DMS process and the agencies may need to scan the documents at the enrolment centers during the time of enrolment and upload the scanned documents as part of the enrolment data packet. The hard copy of the documents is to be returned to the residents after completion of the enrolment. The detailed guidelines for the same shall be released by UIDAI and the same shall be applicable to the project. Enrolment agencies are advised to abide by any new policy / guidelines incorporated by UIDAI for DMS.

#### **4.1.8 Scanning of documents**

Presently, no scanning needs to be done by the enrolment agencies at the enrolment centers. The hard copy collected from the residents need to be handed over to the DMS agency appointed by UIDAI.

UIDAI is expected to discontinue the DMS process and the agencies may need to scan the documents at the enrolment centers during the time of enrolment itself and upload the scanned documents as part of the enrolment data packet. The hard copy of the documents is to be returned to the residents after completion of the enrolment. The detailed guidelines for the same shall be released by UIDAI shortly and the same shall be applicable to the project.

#### **4.1.9 Provide Electronic MIS Reports on Enrolment Status Daily**

Operator shall send enrollment statistics on enrolment status to Registrar/UIDAI on a daily basis. The formats and contents of the MIS reports shall be decided by the UIDAI/Registrar.

#### **4.2 Geographical Scope**

The geographical scope of work for enrolment operations shall include the following areas that shall be catered to by the Enrolment agency by setting up stationary/ mobile enrolment stations as specified in Annexure VII of this RFP. The geographical locations/area and the target population for that geographical location/area to be catered to by the Enrolment Agency is as follows:

**Refer Part 3 of “Instruction to Bidders”**

#### **4.2 Roles and Responsibilities**

The roles and responsibilities of the various parties viz. Enrolment Agency, Supervisor, operator & Registrar involved in the Enrolment process are defined in Annexure IX.

#### **4.3 Payment to the Enrolment Agency**

Payments shall be made to the Enrolment Agency by the Registrar on a monthly basis based on the number of successful AADHAAR enrolments completed and coverage of the scope of work. This payment shall be subject to adherence to the Service Level Agreements and after recovering the full amount of penalty if any, imposed on the Supplier by Bank. The supplier to submit his bills / Invoice with comprehensive statement of enrollment / UID issued etc. details as per The Banks requirements to be submitted to respective Bank’s controlling authorities as identified by Bank for payments. Tax deducted at source (TDS) as applicable will be recovered from payments to the Supplier.

## **5. TECHNICAL PROPOSAL**

The Technical Proposal shall consist of the Technical Proposal Submission Form and the Technical Proposal Application Form and the documents required as per the list of mandatory documents as given in Para 5.1 of Data Sheet

It is the responsibility of the applicants to provide all supporting documents necessary to fulfill the mandatory eligibility criteria. In case, information required by *Oriental Bank of Commerce* is not provided by applicant, *Oriental Bank of Commerce* shall proceed with evaluation based on information provided and shall not request the applicant for further information. Hence, responsibility for providing information as required in this form lies solely with applicant. Non-submission of any of the required documents as per the list of mandatory documents given in Para 5.1 of the Data Sheet shall be grounds for rejection of the Proposal.

### **5.1 Technical Proposal Submission Form**

The Bidders shall submit the Technical Submission Form as given in Annexure I

### **5.2 Technical Proposal Application Form**

The Bidders shall submit the Technical Proposal Application Form as given in Annexure II. The Bidders shall also submit all the mandatory documents as given in Para 5.1 of the Data Sheet.

## **6. FINANCIAL / COMMERCIAL PROPOSAL FORMS**

The bidder shall quote the total cost for providing services as per the Scope of Work given in Section 4 which shall include the cost for collection of demographic and biometric details of residents as per the requirements of the *Oriental Bank of Commerce and UIDAI* and the cost for providing other additional services specified in the Scope of Work. The total cost quoted shall be inclusive of all expenses like travel and lodging, cost of setting up enrolment centers and mobile units, taxes and duties.

### **6.1 Financial Proposal Covering Letter**

The Bidders shall submit the Financial Proposal Covering Letter as given in Annexure III.

### **6.2 Financial Proposal Form**

The Bidders shall submit the Financial Proposal Form as given in Annexure IV. Financial Proposals which are not submitted as per the Financial Proposal Form shall be summarily rejected. Any conditional bids shall also be rejected during the evaluation of the financial proposals.

**Annexure I – Technical Proposal Covering Letter**

(To be submitted on the Letter head of the applicant)

To,

Dy. General Manager (IT)  
Oriental Bank of Commerce  
Department of Information Technology, Corporate Office  
1<sup>st</sup>, Floor, Plot No.5, Institutional Area,  
Sector-32, Gurgaon-122 001

Dear Sir,

Ref: Request for Proposal (RFP) Notification dated Monday August 11, 2014.

1. Having examined the RFP document, we, the undersigned, herewith submit our response to your RFP Notification dated 08-08-2014 for UID Project, in full conformity with the said RFP document. (in case of consortium, the names of the consortium partners shall be provided here)
2. We have read the provisions of the RFP document and confirm that these are acceptable to us. Hence, we are hereby submitting our Proposal, which includes this Technical Proposal, and Financial Proposal sealed in separate envelopes.
3. We further declare that additional conditions, variations, deviations, if any, found in our RFP shall not be given effect to.
4. We agree to abide by this RFP, consisting of this letter, the detailed response to the RFP – Technical proposal and financial proposal and all attachments, for a period of 60 days from the closing date fixed for submission of proposal as stipulated in the RFP document.
5. We would like to declare that we are not involved in any litigation with any Government in India and we are not under a declaration of ineligibility for corrupt or fraudulent practices.
6. We hereby declare that we have not been blacklisted by any Central/ State/ UT Government.
7. We hereby declare that we have not been charged with any fraudulent activities by any Central/ State/ UT Government.
8. We hereby declare that all the information and statements made in this RFP are true and accept that any misrepresentation contained in it may lead to our disqualification.
9. We understand that Oriental Bank of Commerce *is* not bound to short-list / accept any proposal received in response to this RFP.

10. In case we are engaged by the *Oriental Bank of Commerce* as an Enrolling Agency, we shall provide any assistance/cooperation required by *Oriental Bank of Commerce*, UIDAI appointed auditing agencies/ UIDAI officials for performing their auditing and inspection functions. We understand that our non-cooperation for the same shall be grounds for termination of service.
11. In case we are engaged as an Enrolling Agency, we agree to abide by all the terms & conditions of the Contract that will be issued by Oriental Bank of Commerce

Our correspondence details with regard to this RFP are:

No.	Information	Details
1.	Name of the authorized Contact Person	
2.	Address of the authorized Contact Person	
3.	Name, designation and contact address of the authorized person to whom all references shall be made regarding this RFP	
4.	Telephone number of the authorized Contact Person	
5.	Mobile number of the authorized Contact Person	
6.	Fax number of the authorized Contact Person	
7.	Email ID of the authorized Contact Person	
8.	Corporate website URL	

We hereby declare that our proposal submitted in response to this RFP is made in good faith and the information contained is true and correct to the best of our knowledge and belief.

Sincerely,

[Applicant's Name with seal]

Name:

Signature:

Title:

Date:



### Annexure II Technical Proposal Application Form

Sl.No	Information required	Information to be provided by bidders
1	Is it Single Agency Bid OR Consortium Bid:	
2	Name of Single Agency/ Prime Agency:	
3	In case of Consortium Bid, name of Consortium Members: a. .... b. .... c. ....	
4	Legal Status of Single Agency/ Prime Agency: a. Whether Government/ Semi-Government/ PSU/ NGO/ Not for Profit/ Private etc.: b. PAN number of the Organization c. VAT/Service Tax Registration number of the Organization (Provide these above details for each consortium member, in case of a consortium bid)	
5	Date of Incorporation of Single Bidder/ Consortium team members:	
6	Brief Write-up on the Organization's activities and Business Areas in case of Private/ Commercial Organization/ PSU/ Govt. Company/ Autonomous Body (include details on each consortium member, in case of consortium bid):	

7	<p>In case of NGO/ Not for Profit, please provide the foll: information (include details of each consortium member also separately):</p> <p>a) Principal field(s) of activity/operation</p> <p>b) Principal sources of funding</p> <p>c) Managing Committee/ Governing Body/ Office Bearers</p>				
8	<p>Contact Name, Designation, Address, Email &amp; Phone numbers:</p>				
9	<p>Net Worth of the Single Agency/ Prime Agency as on 31<sup>st</sup> March 2014, in case of a Private/ Commercial organization/ PSU/ Govt. Company/ Autonomous Body, duly certified by the Company Auditor (do not include intangible assets)</p>	<p><b>Assets in INR Lakhs</b></p>		<p><b>Liabilities in INR Lakhs</b></p>	
		Current Assets		Short term liabilities	
		Fixed Assets		Long term liabilities	
		Long term investments			
		<i>Total Assets (A)</i>		<i>Total Liabilities (B)</i>	
		<p><b>Total Net Worth as of 31<sup>st</sup> March 2014 (A-B)</b></p>			
10	<p>Turnover of Single Agency/ Prime Agency in the previous two financial years in case of Private/ Commercial organization/ PSU/ Govt. Company/ Autonomous Body, duly certified by the Auditor and as evidenced from the provided Financial Statements</p>	<p><b>Financial Year</b></p>		<p><b>Turnover in INR Lakhs</b></p>	
		2011-12			
		2012-13			
		2013-14			

11	Turnover/ Grants in Aid of Single Agency/ Prime Agency in the previous two financial years in case of NGO/ Not-for-Profit, duly certified by the Auditor	<b>Financial Year</b>	<b>Turnover in INR Lakhs</b>	<b>Grants-in-Aid in INR Lakhs</b>	
		2011-12			
		2012-13			
		2013-14			
12	Locations where the organization and consortium members has offices:				
13	Number of Employees of organization and consortium members:				
14	Number of successful biometric enrolments (fingerprint and/or Iris capture only) completed in last 3 financial years:  (The kind of biometrics captured and the Project under which the enrolment was done should be mentioned clearly)				
15	Schedules (and corresponding Geographical areas) where the Agency is interested in undertaking work (mandatory information)				

The applicant should submit information in the above format and should mandatorily provide all supporting documents as required in the application form.

**Annexure III – Financial Proposal Covering Letter**

(To be submitted on the Letter head of the applicant)

To,

Dy. General Manager (IT)  
Oriental Bank of Commerce  
Department of Information Technology, Corporate Office  
1<sup>st</sup>, Floor, Plot No.5, Institutional Area,  
Sector-32, Gurgaon-122 001

Dear Sir,

Ref: Request for Proposal (RFP) Notification dated Monday August 11, 2014

1. We, the undersigned, offer to provide services to *Oriental Bank of Commerce* for carrying out the enrolment functions for the Unique Identification (UID) project of Government of India in accordance with your Request for Proposal dated 08-08-2014.
2. We hereby certify that we have taken steps to ensure that no person acting for us or on our behalf will engage in bribery.
3. We undertake that, in competing for (and, if the award is made to us, in executing) the above contract, we will strictly observe the laws against fraud and corruption in force in India namely “Prevention of Corruption Act, 1988”.
4. We understand you are not bound to accept any Proposal you receive.
5. The financial proposal submitted by us for evaluation of L-1 takes care of entire operational, technical and functional cost for providing services as per scope of work defined in Section 4 of RFP and the customers shall not be charged over and above price mentioned in Commercial Bid.

We remain,

Yours sincerely,

Authorized Signature [*In full and initials*]: \_\_\_\_\_

Name and Title of Signatory: \_\_\_\_\_

Name of Firm: \_\_\_\_\_

Address: \_\_\_\_\_

**Annexure IV – Financial Proposal Form**

**Financial Bid for undertaking enrolment activities:**

<i>Item</i>	<i>Costs In INR</i>
Total Cost* for undertaking demographic and biometric enrolment activities as well as delivering additional services for the Issuance of one UID Adhaar Number.	

*\* The total cost shall include all costs like the equipment costs, manpower costs, vehicle costs, travel and lodging costs, taxes and duties and any other miscellaneous costs. Bidders are requested to provide the separate sheet for separate State as per Annexure VIII.*

**Annexure V – Guidelines for Enrolment**

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## **2. How to Read This Document**

This process document is organized into below sections:

### **1. Process Overview**

- a) **Goals and Objectives:** The section provides a description of what this process document intends to accomplish. The objectives represent specific measurable outcomes of this process document.
- b) **Scope:** This section lists the key activities covered in this process document.
- c) **Prerequisites for Process:** This section lists criteria that need to be fulfilled before the enrolment process covered in the scope of this document begins.
- d) **End of Process:** This section informs what the output of the Resident Enrolment Process is?

### **2. Process Details**


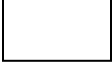
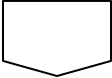
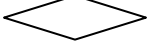


- a) **Process Flowcharts:** Flowchart diagrams are used to define process in this document, showing the steps as boxes of various kinds, and their order by connecting these with arrows. This diagrammatic representation gives a step-by-step process flow. Process step is represented in these boxes, and arrows connecting them represent flow / direction of flow of data/information. Refer the Legends section to understand the significance of various symbols used in flowchart.
- b) **Process Description:** Process description is used for each flowchart to convey to the reader, a detailed description of each process step and references to annexure/other processes and sub processes. Refer Abbreviations used section for deciphering abbreviations used in the descriptions.

### **3. Annexure**

- a) **Standards and Guidelines:** This section describes the standards recommended by UIDAI that need to be referred to during the enrolment process. Guidelines are provided to streamline the processes and help achieve better quality output.
- b) **Formats, Templates and Checklists:** This section consists of sample formats of various forms and checklists used in the scope of this process.



**Legends**

	Signifies Start /End of Process
	Signifies Activity/Task
	Signifies an off page reference of a Sub Process
	Signifies a Decision Box
	Signifies a Reference to either a Guideline(G), Form(F) or Quality Check point (Q) depending on the text used inside the circle
	Signifies an external process being referred

**Abbreviations used**

- UID - Unique Identification
- UIDAI - Unique Identification Authority of India
- DDSVP - Demographic Data Standards and Verification Procedure
- KYR - Know Your Resident
- KYR+ - Fields required in addition to KYR fields required by the Registrars
- PoI - Proof of Identity
- PoA - Proof of Address
- DoB - Date of Birth
- RGI - Registrar General of India
- TIN - Temporary Identification Number provided by RGI
- NGO - Non Government Organisation
- CSO - Civil Society Outreach
- FI - Financial Inclusion

## **3 Process Overview**

### **3.1 Goals and Objectives**

This document is intended to provide necessary inputs to the Enrolment Agency to make sure that the data capture is done in a proper manner and also the verification of the details given is done as prescribed for the process of issuing AADHAAR.

The objective is to provide detailed guidelines for the enrolment process which consists of setting up enrolment centres, capturing demographic data and biometric data, handling exceptions, and storage of data.

### **3.2 Scope**

- Readiness of Enrolment Centres in terms of logistics, devices, hardware, software and trained operators
- Verification of Resident's information according to prescribed verification procedure
- The exercise of collection of demographic data, biometric data and storage
- Readiness for submission of enrolment data by Enrolment Agencies

### **3.3 Prerequisites for Process**

- Enrolment Agencies appointed by Registrars
- Registration number provided to registrars, enrolment agencies and enrolment centre (Registrar On-Boarding Process)
- Introducers identified (Introducer Enrolment and Monitoring Process)
- Client enrolment software shared with enrolment agencies (Registrar On-Boarding Process)
- Grievance handling and technical support for enrolment agencies and residents in place (Grievance Handling Process)
- Training and certification modules for enrolment agencies in place
- Communication content and methodology for residents defined (Resident Awareness and Demand Generation Process)

### **3.4 End of Process**

- UID data and biometrics for residents captured and ready to be taken to a designated location for transfer to CIDR (1<sup>st</sup> Mile Logistics Process)

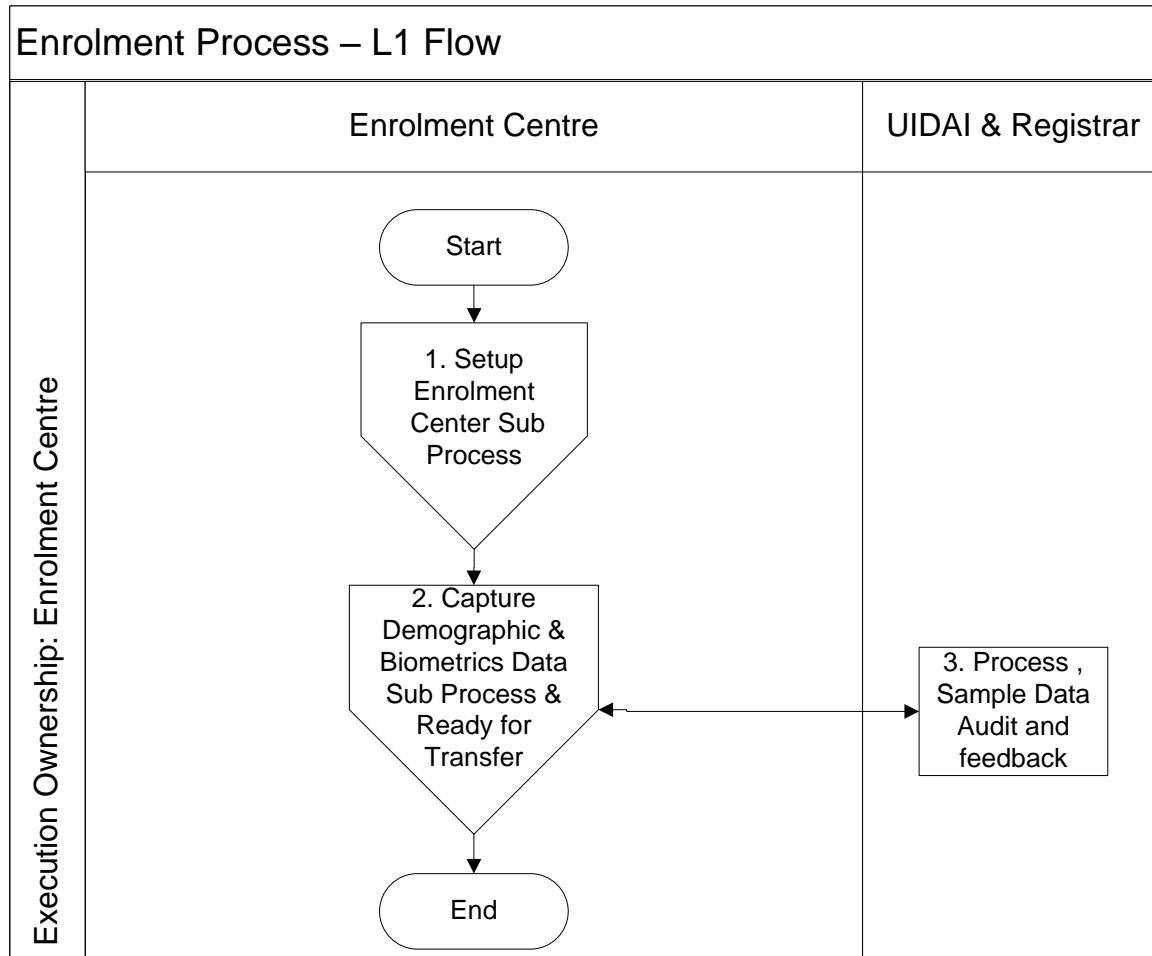
### 3.5 Roles and Responsibilities

Role	Organization	Responsibilities
Enrolment Agency Point of Contact	Enrolment Agency	<ul style="list-style-type: none"> <li>• Procure certified biometric devices</li> <li>• Procure other hardware and infrastructure for enrolments</li> <li>• Ensure enrolment software is installed on required laptops / desktops</li> <li>• Load pre-enrolment residents data on enrolment stations laptop, where applicable</li> <li>• Ensure UIDAI processes and standards are followed</li> <li>• Assist Registrar develop enrolment schedules</li> <li>• Ensure enrolment publicity and awareness at grass-root level</li> <li>• Ensure availability of certified operators and supervisors at enrolment centres</li> <li>• Ensure adequate stationary is available</li> <li>• Ensure adequate backup arrangement at enrolment centre</li> <li>• Take remedial / corrective action in case of process / quality deviations</li> <li>• Enable successful data transfer to CIDR</li> </ul>
Enrolment Centre Supervisor	Enrolment Agency	<ul style="list-style-type: none"> <li>• Setup enrolment station</li> <li>• Supervise enrolment process</li> <li>• Handle issues and concerns of operators and residents</li> <li>• Act as an operator, when required</li> <li>• Ensure checklists are filled</li> <li>• Ensure audit feedback, if any, incorporated in process</li> <li>• Take enrolment data to a designated location for transfer to CIDR</li> <li>• File, back up and store enrolment data as per UIDAI guidelines</li> <li>• Ensure that the document verifiers are present while deploying the enrolments centres. It shall also be ensured that the document verifiers are present in sufficient number to carry out document verification smoothly.</li> <li>• Identify document verifier.</li> <li>• Collect KYC documents of verifiers and handover the same to Registrar for Appointment.</li> </ul>
Enrolment Operator	Enrolment Agency	<ul style="list-style-type: none"> <li>• Capture demographic and biometric data</li> <li>• Handle exception cases during capture of data</li> <li>• Obtain consent letters and make corrections in data recorded, if required</li> <li>• Provide acknowledgement slips to Residents</li> </ul>

<b>Role</b>	<b>Organization</b>	<b>Responsibilities</b>
Registrar's Supervisor	Registrar	<ul style="list-style-type: none"> <li>• Audit of Enrolment Centres' readiness</li> <li>• Audit of enrolment agency processes and their effectiveness</li> <li>• Verify PoI, PoA, DoB, HoF documents in case of document based verification</li> </ul>
Registrar point of contact	Registrar	<ul style="list-style-type: none"> <li>• Define enrolment plan including locations and timeframe</li> <li>• Identify suitable locations for setting up enrolment centres</li> <li>• Ensure pre-enrolment data, where applicable, is available to Enrolment Agency</li> <li>• Ensure list of Introducers is available with their demographic, biometric details and UID numbers</li> <li>• Ensure communication reaches the target beneficiaries / residents</li> <li>• Provide template for paper-based enrolment form containing KYR and KYR+ fields</li> <li>• Setup mechanism for periodic process and data quality audit</li> </ul>
UIDAI point of contact	UIDAI	<ul style="list-style-type: none"> <li>• Facilitate certification of biometric devices</li> <li>• Provide training content</li> <li>• Appoint a training and certification agency and provide testing content to this agency</li> <li>• Provide required standards and guidelines</li> <li>• Vet awareness and publicity content</li> </ul>
Introducer	Registrar	<ul style="list-style-type: none"> <li>• Confirm the identity of the resident by giving his/her UID and fingerprints for verification</li> </ul>
Resident	--	<ul style="list-style-type: none"> <li>• Provide demographic and biometric information</li> <li>• Provide authentic documentation or be introduced by an Introducer</li> </ul>

## 4 Process Details

### 4.1 Resident Enrolment Process Flow

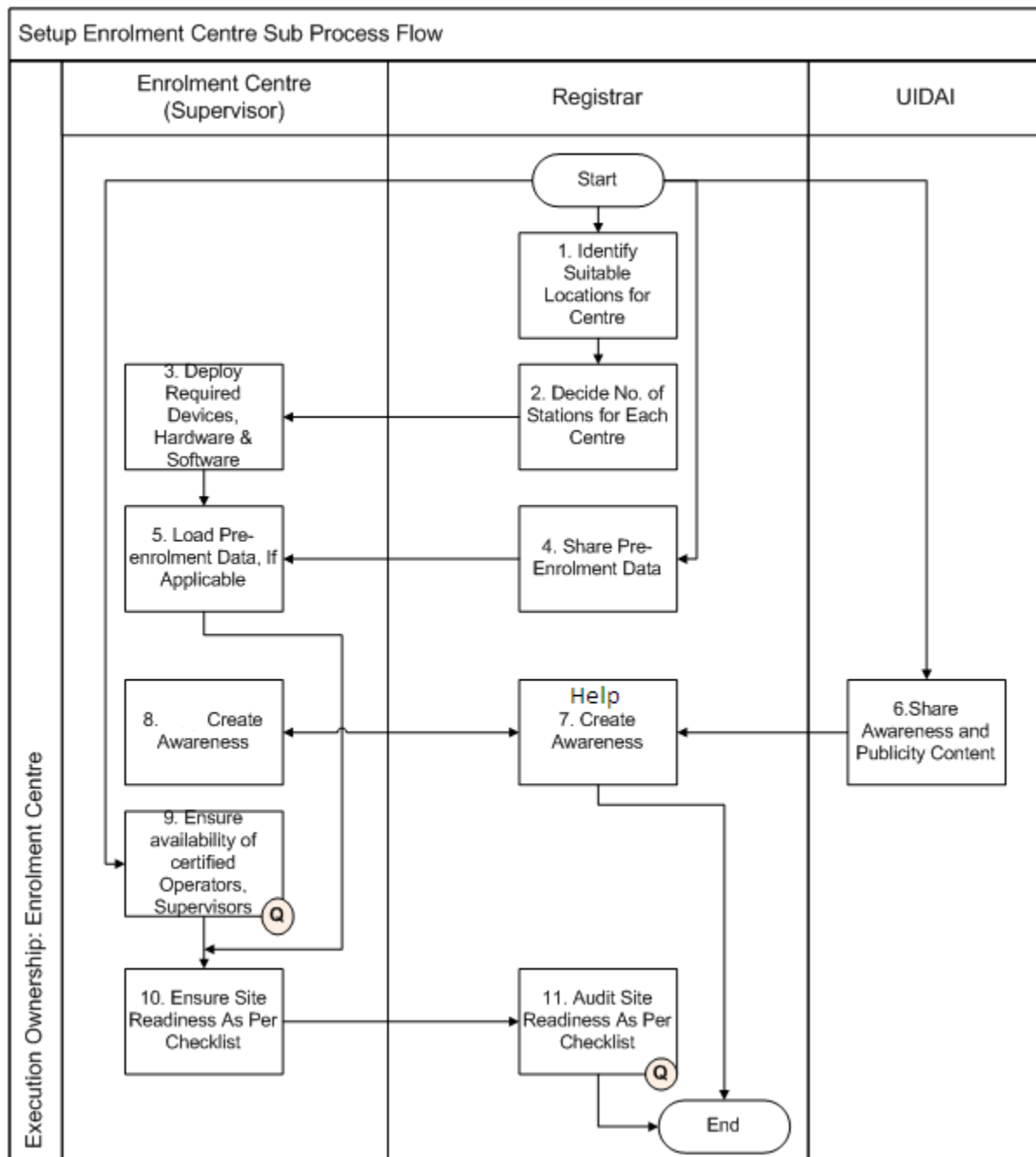


### 4.2 Resident Enrolment Process Description

S.No	Step	Responsibility	Reference
	Start This process begins when an Enrolment Agency is ready to start enrolling residents. To begin enrolments, Enrolment Agency needs to Setup Enrolment Centre. Go to Step 1.		
1.	Setup Enrolment Centre Initiate sub process 4.3 Setup Enrolment Centre. This contains details on setting up an enrolment centre.	Enrolment Agency	<a href="#">4.3 Setup Enrolment Centre</a>

S.No	Step	Responsibility	Reference
2.	<p>Capture Demographic and Biometric Data and Ready for Transfer</p> <p>After an enrolment centre is ready, Enrolment Agencies can begin the process of capturing residents' demographic and biometric data. For details on how to capture data, go to sub process 4.5 Capture Demographic and Biometric Data.</p> <p>After Data Capture, Data files are to be ready at identified/specified location for transfer to CIDR.</p> <p>Refer external process for 1<sup>st</sup> Mile logistics which prescribes the methods by which the data has to be transferred to the Authority. The enrolling agencies are therefore advised to obtain these instructions before they proceed to collect the demographic and biometric data of the willing enrollees.</p> <p>The Unique Identification Authority of India (UIDAI) accords highest importance and primacy to the security of data collected on the enrollees who enrol themselves to obtain Unique Identification Numbers. It is the responsibility of the enrolling agencies to make sure that the data is kept in a very secure and confidential manner and under no circumstances shall they use the data themselves nor part with the data to any other agency than the UIDAI. Privacy of an individual's data is accorded utmost importance by the UIDAI. If there is any violation of privacy by the enrolling agency or through its employees, contractual or otherwise, there shall be a breach of contract, apart from attracting the penal provisions of the Act which will govern the operations of the Authority.</p>	Enrolment Agency	<p><a href="#">4.5 Capture Demographic and Biometric Data and Ready for Transfer Sub Process</a></p> <p>External process for 1<sup>st</sup> Mile logistics Process</p>
3.	<p>Process , Sample Data Audit and feedback</p> <p>UIDAI may do sample data audits for quality. This will reduce the chances of enrolment failures/rejections later due to poor data quality.</p> <p>Registrar should audit adherence to process by enrolment agency to prevent malpractices. These audits may be conducted by the Registrar, a 3<sup>rd</sup> party appointed by the Registrar or by any other party/mechanism deemed fit by the Registrar.</p> <p>UIDAI may also undertake sample process audit during enrolment and also provide feedback on the audit conducted by the Registrar.</p> <p>Based on feedback, Enrolment Agency may need to make some adjustments/changes in its process.</p>	UIDAI and Registrar	
	End		

### 4.3 Setup Enrolment Centre Sub Process Flow



#### 4.4 Setup Enrolment Centre Sub Process Description

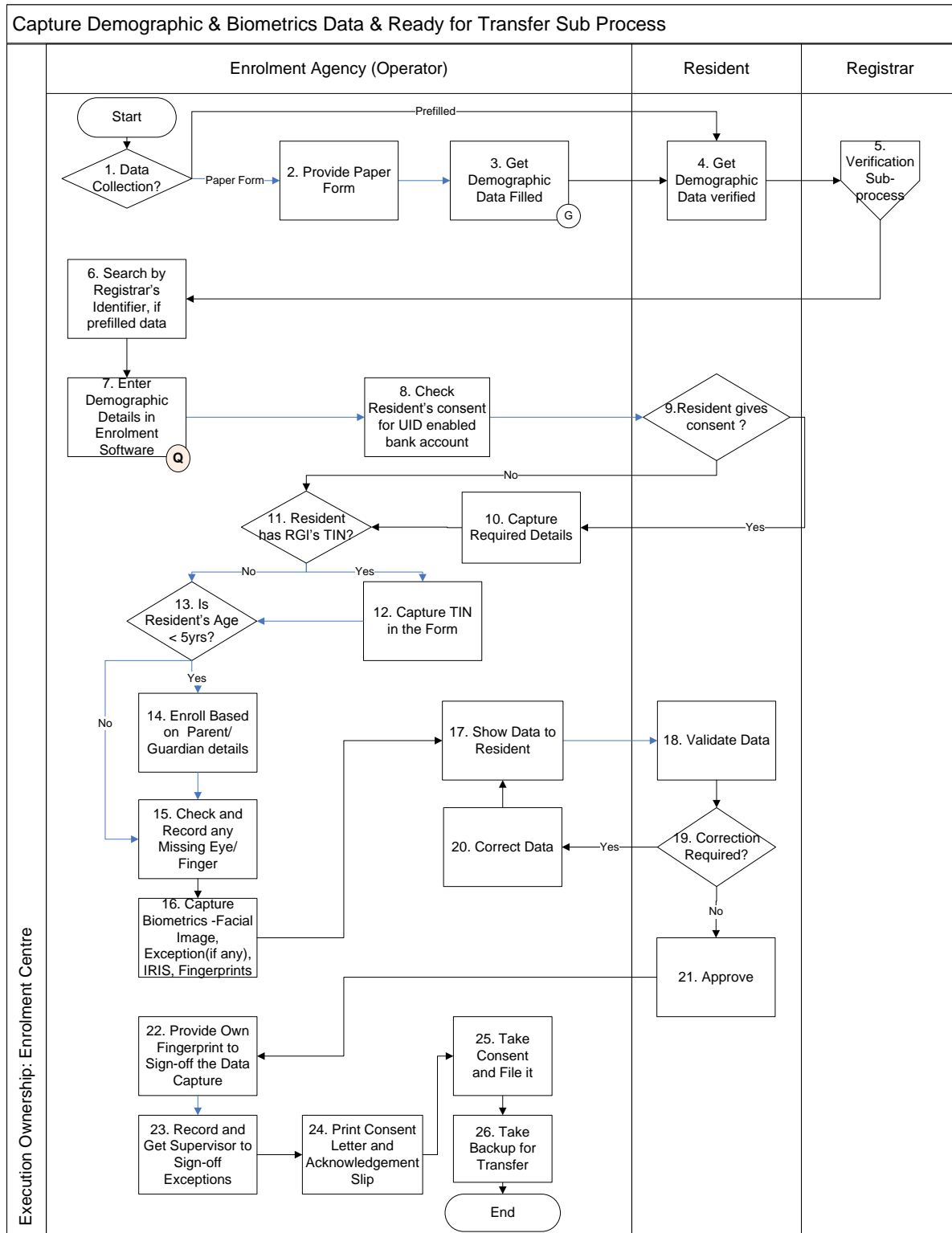
S.No	Step	Responsibility	Reference
	<p>Start</p> <p>To setup enrolment centres, activities that need to be initiated are:</p> <ul style="list-style-type: none"> <li>• Step 1 Identify suitable locations for Enrolment</li> <li>• Step 4 Share Pre-Enrolment Data, if used</li> <li>• Step 9 Ensure Availability of Certified Operators, Supervisors</li> <li>• Step 6 Share Awareness and Publicity Content</li> </ul>		
1.	<p>Identify Suitable Locations for Centre</p> <p>Registrar identifies suitable locations where enrolment centres may be setup as follows:</p> <ul style="list-style-type: none"> <li>• Assess details of the area including the terrain, local weather conditions, law and order situation, logistics support etc.</li> <li>• The enrolment Centre selected must be secured and protected from the natural elements so that there is no damage or loss to the devices and data.</li> <li>• Co-ordinate with the local district administration right from the planning stage to the actual roll-out of the enrolment.</li> <li>• In order to cover the difficult-to-reach areas and villages where proper premises are not available, it may be necessary to have mobile enrolment centres. The list of difficult areas will be available with the State Government.</li> <li>• In case of mobile enrolment centres/stations, the decision on frequency/period of availability shall be decided by the Registrar based on density of population, geographical terrain etc.</li> </ul>	Registrar	
2.	<p>Decide Number of Stations for Each Centre</p> <p>The number of stations can be decided based on the target number of days for completion of enrolment in the particular area or the district and the expected number of enrollees in the area. It should be borne in mind that only 60-70 enrolments can be done by one station in a day.</p> <p>Typically, the Enrolment Centres set up in an area / district should be able to complete the coverage in 20 – 25 days. This would help focus the efforts of the district/ area administration in the area and also ramp up the publicity in all the modes so as to bring the residents to the Enrolling Centres for the enrolment.</p>	Registrar	



S.No	Step	Responsibility	Reference
3.	<p>Deploy Hardware, Software for Enrolment</p> <p>Ensure all hardware and software as mentioned in the 5.2.1 are deployed at the enrolment centre. Test the hardware / software for proper working.</p>	Enrolment Agency	<a href="#">5.2.1 Checklist for Setting up Enrolment Centre</a>
4.	<p>Share Pre-enrolment Data Available, if Used</p> <p>Where applicable, share the pre-enrolment data / beneficiary database with Enrolment Agencies for carrying out the enrolments. The details of the database need to be discussed and sent to UIDAI in advance in prescribed format and aligned to UIDAI requirements as per technology integration toolkit.</p>	Registrar	<a href="#">5.1.1 KYR Standards for Collecting Demographic Data</a>
5.	<p>Load Pre-enrolment Residents Data on the Enrolment Station Laptop</p> <p>Load and test beneficiary database on enrolment centre laptops / desktops and ensure it is accessible / searchable.</p>	Enrolment Agency	
6.	<p>Share Awareness and Publicity Content</p> <p>Share awareness and publicity content, as detailed in the external process, with the Registrar. Guide them in adapting the content / communication.</p>	UIDAI	
7.	<p>Help Create Awareness</p> <p>To ensure that the publicity/IEC material is shared with enrollment agencies .</p>	Registrar	
8.	<p>Create Awareness</p> <p>To ensure generating resident awareness. The enrolment agency to print and publicize the content provided by the UIDAI/ Registrars. The EA should not add to / modify /delete the content provided by Registrar/ UIDAI.</p>	Enrolment Agency	
9.	<p>Ensure Availability of Certified Operators, Supervisors</p> <p>Although training is not mandatory, certification is mandatory for Operators. Ensure certified Operators and Supervisors are available at enrolment centres. The no. of certified Operators should be more than the no. of stations for job rotation and avoiding Operator fatigue.</p> <p>The supervisor is required to handle any situation that requires immediate attention and handle exceptions at the enrolment centre itself and inform the Registrar subsequently.</p> <p>Technical personnel for attending power /system / biometric instrument related maintenance problems should be available on call in a centrally located place covering about six enrolment centres so that the downtime can be minimized.</p> <p>Proceed to Step 10. Ensure Site Readiness and Fill Checklist.</p>	Enrolment Agency	
10.	<p>Ensure Site Readiness and Fill Checklist</p> <p>Ensure the enrolment centre is setup as per <a href="#">5.2.1 Checklist for Setting up Enrolment Centre</a>. Document exceptions, if any, and sign-off the checklist.</p>	Enrolment Agency	<a href="#">5.2.1 Checklist for Setting up Enrolment Centre</a>

S.No	Step	Responsibility	Reference
11.	Audit Site Readiness Audit enrolment centre for readiness using <a href="#">5.2.1 Checklist for Setting up Enrolment Centre</a> . The Registrar's supervisor will also sign-off the checklist.	Registrar (Supervisor)	
	End		

### 4.5 Capture Demographic and Biometric Data and Ready for Transfer Sub Process Flow



## 4.6 Capture Demographic and Biometric Data and Ready for Transfer Sub Process Description

S.No	Step	Responsibility	Reference
	<p>Start</p> <p>This is the sub-process where actual resident enrolment begins. This process begins when a resident approaches an Enrolment Centre for enrolment.</p>		
1.	<p>Pre-Filled Data?</p> <p>Initial collection of demographic data can happen via multiple channels. The data can be either extracted from a pre-filled database OR the data can be filled in a paper-based form when a resident approaches an enrolment centre.</p> <p>If pre-filled data is not available, proceed to Step 2. Provide Paper Form</p> <p>Else go to step no. 4.</p>	Enrolment Agency (Operator)	
2.	<p>Provide Paper Form</p> <p>Enrolment forms (containing KYR fields) must be filled up at the enrolment centre along with Resident's signature. A Registrar can choose to have the Enrolment form as a part of their enrolment form OR to have separate forms for capturing KYR and KYR+ fields.</p> <p>These paper-based forms are to be maintained at enrolment centres.</p>	Enrolment Agency (Operator)	<a href="#">5.2.2 Enrolment Form</a>
3.	<p>Get Demographic Data Filled Up</p> <p>Guide resident in filling up and signing the form. If the Resident is unable to fill the form himself / herself, operator may take assistance from local support such as (but not limited to) Village Accountant, Field Inspector, Introducer, NGOs / CSOs etc.</p> <p>Refer standard 5.1.1 for details on capturing the KYR field.</p> <p>Refer guideline 5.1.2 for details on capturing resident demographic information.</p>	Enrolment Agency (Operator)	<a href="#">5.1.1. KYR Standards for Collecting Demographic Data</a> <a href="#">5.1.2. Detailed Guidelines for Recording Demographic Data</a>
4.	<p>Get demographic data verified.</p> <p>Resident needs to get the demographic data provided by him/her verified. Resident need to carry Original documents and a photocopy of PoI,PoA,DoB for verification.</p>	Resident	
5.	<p>Refer Verification Sub Process Flow for details</p> <p>2 Distinct methods of verification are discussed in this document</p>	Registrar (Supervisor)	

	<ul style="list-style-type: none"> <li>Based on supporting documents</li> <li>Based on introducer system</li> </ul>		
6.	<p>Retrieve by Registrar's Identifier, if prefilled data</p> <p>If the resident is already a part of the Registrar's beneficiary database, retrieve resident's demographic details using the Registrar's Identifier. Some examples are (but not limited to)</p> <ul style="list-style-type: none"> <li>Ration card no (Food and Civil Supplies Department as Registrar)</li> <li>Job card no (Rural Development Department as Registrar)</li> <li>Policy no (LIC as Registrar)</li> <li>TIN (RGI as Registrar)</li> <li>EPIC no (Election Commission as Registrar)</li> <li>PAN no (Income Tax Department as Registrar)</li> </ul>	Enrolment Agency (Operator)	
7.	<p>Enter Demographic Details in Enrolment Software</p> <p>Enter the verified demographic details in the enrolment software. The software has built-in features to ensure completion of mandatory data fields.</p> <p>In case data has been retrieved using Registrar's identifier, then check and correct/complete the demographic data.</p>	Enrolment Agency (Operator)	
8.	<p>Check Resident's Consent to participate in FI?</p> <p>Check with resident if he/she wants to participate in the scheme of financial inclusion (FI) by linking his current Bank A/C to his UID or by opening a new Bank A/C on the basis of his UID.</p>	Enrolment Agency (Operator)	
9.	<p>Resident gives consent</p> <p>If the resident has consented with a "Yes" to participate in financial inclusion and linking/opening a bank A/C with his UID, proceed to step 10 to Capture Required Details. If resident does not give his/her consent, proceed to step 11 Resident has RGI's TIN?</p>	Resident	
10.	<p>Capture Required Details</p> <p>If the resident has an existing bank A/C, the following details must be procured:</p> <p>Name, Bank, Bank Branch, A/C Number and IFSC Code(to be filled in by the enrolment operator from the dropdown he'll have access to, in case the resident is unaware of the same).</p> <p>Irrespective of the registrar being a bank or non-bank, the above details have to be mandatorily filled in the enrolment form. Any additional information that a bank</p>	Enrolment Agency (Operator)	

	<p>registrar would want to process may well be done after the above requirements are fulfilled.</p> <p>If a resident has consented to participate in FI, and doesn't have an existing bank A/C, then the enrolment station must procure from the resident his preferred bank in which he wants to open a UID enabled bank account from the list of banks available with the enrolment station, and fill in the BIN (Bank Identification Number) for the same.</p> <p>If the Registrar involved in enrolment is a bank, determine if the resident has an existing A/C in this Registrar's bank. In such a case, an existing A/C in any other bank will mean the same as having 'No' bank account.</p> <p>If the registrar is a bank, then their own BIN must be entered. This is subject to the approval of the resident's consent to open a new account with the registrar bank. If the resident denies doing so, proceed to check in step 11.</p>		
11.	<p>Resident has RGI's TIN?</p> <p>The Operator should check with the resident if the RGI (census) officials have visited his / her household for the census survey.</p> <ul style="list-style-type: none"> <li>• If yes, proceed to Step 12. Capture TIN in the Form</li> <li>• If no, proceed to next check in Step 13. Is Resident's Age &lt; 5yrs?</li> </ul>	Enrolment Agency (Operator)	
12.	<p>Capture TIN in the Form</p> <p>The RGI official would have provided a TIN / schedule no. to the household / individual. Capture the same in the enrolment software. Operator can inform the resident that this will be used for sharing resident's AADHAAR number with RGI. The resident may already have an AADHAAR prior to RGI process.</p>	Enrolment Agency (Operator)	
13.	<p>Is Resident's Age &lt; 5yrs?</p> <p>Check if the resident's age is less than 5 years.</p> <p>If yes, proceed to Step 14. Enrol based on Parent/Guardian Details</p> <p>If no, proceed to Step 15. Check and Record for any Eye/ Finger Missing</p>	Enrolment Agency (Operator)	
14.	<p>Enrol based on Parent/Guardian Details</p> <p>In case of children below the age of 5 years one of the parents' or guardian's name shall be recorded and UID or Enrolment Number (either of the two numbers) shall be recorded. This is mandatory.</p> <p>If the child is being enrolled along with his father</p>	Enrolment Agency (Operator)	

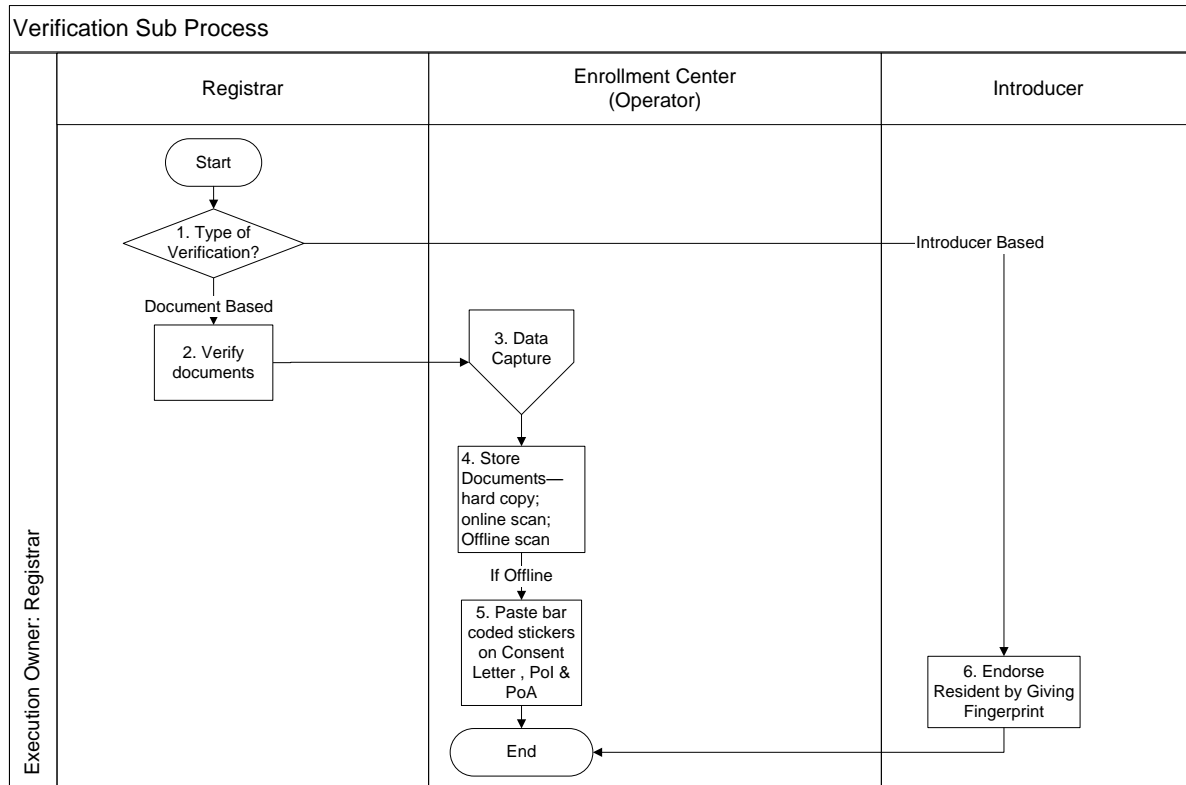
	<p>/mother / guardian, first enroll the parent / guardian and record the parent's enrolment no. in the child's form.</p> <p>If the father /mother / guardian of the child has either not enrolled or does not possess AADHAAR number at the time of enrolment, the enrolment of that child cannot be done unless the above requirements are fulfilled.</p>		
15.	<p>Check and Record for any Eye/ Finger Missing</p> <p>Check resident's eyes and fingers for fitness (missing/amputated). If the resident has any deformities, these also have to be captured on the Demographic screen.</p> <p>Enter Details of "Missing Eye Indication" or "Missing Finger Indication" as appropriate.</p> <p>In such a case, the operator shall assist the resident in the fingerprint capture to avoid capture of the extra finger/s.</p>	Enrolment Agency (Operator)	
16.	<p>Capture Biometrics - Facial Image, IRIS and Fingerprints</p> <p>Guide the resident to occupy the chair in front of the enrolment station. The resident should be instructed to be seated properly with their back upright and their face towards the camera.</p> <p>The images of all the ten fingers are to be captured. The fingerprints must be captured in the sequence of slaps of four fingers of left hand, right hand followed by the two thumbs.</p> <p>The Operator can visually verify facial image quality. Apart from this in-built quality checks in the software indicate the quality of biometrics at each stage. If any biometric exceptions have been specified on the demographic screen, these should be captured as photographs on the Photograph screen.</p> <p>The software forces re-captures for a fixed number of times when quality is not OK. Afterwards the Operator may try capture again but will not be forced by the system. However, it should be borne in mind that the forced capture should not become harassment for the</p>	Enrolment Agency (Operator)	<p>5.1.4 Biometric Data Capture Standards</p> <p>5.1.5 Detailed Guidelines for Collecting Biometric Data</p>

	<p>resident.</p> <p>If required, ask resident to clean hands on towel and/or help to apply little more pressure on hand while taking image again. Similarly, guide resident to get appropriate quality of iris and facial images.</p> <p>Policies for biometric capture:</p> <p>Iris - above 5 yrs mandatory (also used for de-duplication)</p> <p>Fingerprint - above 5 yrs capture</p> <p>Fingerprint - above 15, treated like adult</p> <p>Face - all mandatory including infants</p> <p>Below 5 yrs - guardian/parent mandatory, after that optional</p> <p>Any biometric exception (any finger missing, any eye missing) - extra photo as well as supervisor signature</p> <p>AADHAAR Enrolment Client software automatically takes care of enforcing these policies. UIDAI may, from time to time, make modifications to these policies</p>		
17.	<p>Show Data to Resident</p> <p>The Operator shows the data entered to the resident on a monitor facing the resident and if required, reads out the content to the enrollee, to ensure that all details captured are correct.</p>	Enrolment Agency (Operator)	
18.	<p>Validate data</p> <p>The resident will ensure that all details entered in Demographic form are correct.</p>	Resident	
19.	<p>Correction Required?</p> <p>In case any errors are pointed out to the Operator. go to step no.20, Correct Data</p> <p>Else go to step no. 21, Approve.</p>	Resident	
20.	<p>Correct Data</p> <p>The EA Operator then corrects the errors pointed out and again shows the data to the resident.</p>	Enrolment Agency (Operator)	
21.	<p>Approve</p> <p>If no corrections are required, resident will approve the data.</p>	Resident	
22.	<p>Provide Own Fingerprint to Sign-off the data capture</p> <p>The Operator will then provide own Fingerprint to sign-</p>	Enrolment Agency (Operator)	



	<p>off the data captured.</p> <p>CIDR will process for an operator that is enrolled and has been added to valid operator list by EA.</p>		
23.	<p>Record and Get Supervisor to Sign Off Exceptions</p> <p>The Supervisor may sign off any exceptions observed in Data Collection.</p>	Enrolment Agency (Operator)	5.1.6 Handling Exceptions
24.	<p>Print Consent Letter and Acknowledgement</p> <p>Print Acknowledgement slip and provide to resident.</p>	Enrolment Agency (Operator)	5.2.3 Acknowledgement Slip and Consent Letter(draft format)
25.	<p>Take Consent and file it</p> <p>Operator will take Resident's consent (signature/thumb impression) and file this copy.</p>	Enrolment Agency (Operator)	
26.	<p>Take Backup for Transfer</p> <p>Operator maintains backup of data captured. Also, Operator exports data to a memory stick and keeps it ready for transfer at a specified location.</p> <p>Refer 1st Mile Logistics Process for Data Transfer flow and Guidelines</p>	Enrolment Agency (Operator)	External Process Refer 1st Mile Logistics Process for Data Transfer flow and Guidelines
	End		

### 4.7 Verification Sub Process Flow



### 4.8 Verification Sub Process Description

S. No	Step	Responsibility	Reference
	Start It is essential that key demographic data is verified properly.		
1.	Type of Verification 2 Distinct methods of verification are discussed in this document <ul style="list-style-type: none"> <li>Based on supporting documents</li> <li>Based on introducer system</li> </ul>	Registrar	
2.	Verify Documents Registrar’s Supervisor / document verifier appointed verifying the documents should be a pre enrolled resident. He may be covered during the special drive for Introducers. For Verification based on Documents, the Registrar’s Supervisor / document verifier appointed present at the Enrolment Centre will verify the documents and sign/stamp the documents as a proof of Verification. If pre-enrolment data is used Registrar’s Supervisor / document verifier appointed will verify those documents (like Ration Card, NREGA job card etc.). In case Enrolment form is used for filling demographic data,	Registrar (Supervisor)	<a href="#">5.1.3. Documents for Verifying PoI, PoAand DoB</a>

	<p>then Supervisor / document verifier appointed will verify form details against PoI, PoA, DoB documents.</p> <p>Verify Name, Date of Birth, Address against PoI, DoB and PoA documents. Refer Guideline <a href="#">5.1.3</a> for list of applicable documents.</p> <p>Verify Name and UID of Parent/Guardian in case of children.</p> <p>Registrar's Supervisor / document verifier appointed will then sign and stamp the photocopy of documents verified.</p>		
3.	<p>Capture Demographic and Biometrics Data and Ready for Transfer Sub Process</p> <p>After verification by Registrar, the Operator will follow the process of capturing Demographic and Biometrics Data and keep it ready for transfer to CIDR.</p> <p>Refer 4.5 Capture Demographic and Biometrics Data and Ready for Transfer Sub Process</p>	Enrolment Agency (Operator)	4.5 Capture Demographic and Biometrics Data and Ready for Transfer Sub Process
4.	<p>Store Documents</p> <p>These documents need to be maintained by the Registrar at least for 7 years from the date of capture or as specified by UIDAI from time to time.</p> <p>In case of any legal requirements, Registrar shall furnish necessary documents as required by UIDAI.</p> <p>The Registrar may store documents in either</p> <ul style="list-style-type: none"> <li>• Hard copy or</li> <li>• Digitise documents by online scanning during the process of data capture or</li> <li>• Digitise documents offline and allot Document Identification Number(DIN) – barcode</li> </ul> <p>Registrar to prescribe suitable documentation management system for easy tracking and retrieval of documents.</p> <p>If Scanned offline, bar coding can be useful in tracking, as explained in step no.5.</p> <p>Else End.</p>	Enrolment Agency (Operator)	
5.	<p>Paste bar coded stickers on Consent Letter, PoI and PoA</p> <p>To save on online scanning cost and time, a Registrar may opt for offline scanning of documents. If this is the case, the Operator will paste pre-printed bar coded stickers on these documents. The bar code will be read and stored on the Resident file.</p> <p>When scanning of documents will take place at a later stage, then the bar code reader will read the bar code on any of these documents. PoI, PoA documents will then be scanned and attached to the data file of the Resident that is retrieved using bar code.</p>	Enrolment Agency (Operator)	
6.	<p>Endorse Resident by giving fingerprint</p> <p>The Introducer will go through all the details to ensure that he endorses correctly. The Introducer ensures that all the residents that he is about to endorse are known and given</p>	Introducer	

	<p>particulars are correct. The concept of inclusiveness should not take away the credibility of the Introducer system. Any false verification by Introducer shall make him liable for legal action.</p> <p>The Introducer can endorse a resident and vouch for the validity of Resident's information by giving his/her thumbprint in the enrolment software's "Review" tab. In addition he/she should sign the Enrolment form endorsing the resident.</p> <p>Introducer will validate by giving fingerprint.</p>		
	End		

## 5. Appendix

### 5.1 Standards and Guidelines

#### 5.1.1 KYR Standards for Collecting Demographic Data

Information	Fields	Verification Required	Verification Procedure
Personal Details	Name	Yes	<ul style="list-style-type: none"> <li>Any of the POI documents</li> <li>Introducer for people who have no documents</li> </ul>
	Date of Birth ##	No	---
	Gender	No	---
Address Details	Residential Address(For UID letter delivery and other communications)	Yes	<ul style="list-style-type: none"> <li>Any of the POI/POA documents</li> <li>Introducer for people who have no documents</li> <li>Address will be physically verified during UID letter delivery. But Resident's physical presence not required during letter delivery</li> </ul>
Parent/ Guardian Details	Father's/ Husband's/ Guardian's Name*	Conditional	<ul style="list-style-type: none"> <li>No Verification of Father/ Husband/ Guardian in the case of adults</li> <li>No Verification of Mother/ Wife/ Guardian in the case of adults</li> </ul>
	Father's/ Husband's/ Guardian's UID*	Conditional	
	Mother's/ Wife's/ Guardian's Name*	Conditional	
	Mother's/ Wife's/ Guardian's UID*	Conditional	
Introducer Details	Introducer Name**	Yes	<ul style="list-style-type: none"> <li>Introducer's Name, UID on the form</li> <li>Introducer's thumbprint endorsing the resident in the Review tab of the enrolment software. In case Introducer is not present at the time of enrolment, he/she can review the list later and endorse.</li> </ul>
	Introducer's UID**		
Contact Details	Mobile Number	No	---
	Email Address	No	---
## A flag is maintained to indicate if Date of Birth (DoB) is verified, declared, or approximate. In case exact DoB is not known, resident should indicate the age only. Enrolment software has the provision to capture age & calculate the year of birth.			
* For infants, Father/ Mother/ Guardian's name (at least one) and UID is mandatory.			
* For children under a particular age, biometric de-duplication will not be done. Hence their UID will be flagged as such until they are biometrically de-duplicated at a later age. Their UID will be linked to at least one of the parent's UID.			
* In the case the adult is not in a position or does not want to disclose, name of either Father/ Husband/ Guardian or Mother/ Wife/ Guardian, select the flag in the enrolment software to indicate that resident has not given the relationship details.			
** For residents with no document proof, an "Introducer" should certify his/ her identity.			

## 5.1.2 Detailed Guidelines for Recording Demographic Data

### i. Name

1. The Enrolment Agency should verify the proof of identity documents produced by the individual before recording the name.
2. The name of the person **in full** should be entered in the boxes provided for this purpose. Leave single box between two separate words.
3. It is very important to write the person's name very carefully and correctly. For example, the respondent may tell that his name is V. Vijayan whereas his full name may be Venkatraman Vijayan and similarly R. K. Srivastava's full name may actually be Ramesh Kumar Srivastava. Similarly, a female enrollee may tell her name as K. S. K. Durga while her full name may be Kalluri Surya Kanaka Durga.
4. Ascertain from her/him the expansion of her/his initials and check the same in the documentary evidence produced before recording the name in full.
5. In case of difference in the name declared and the one in document (PoI), the name as declared by the resident may be recorded by the Enrolment Agency provided the difference is only in spelling.
6. If two documentary proofs produced by the enrollee have variation in the same name (i.e., with initials and full name), the enrollee's preferred name should be recorded.
7. Sometimes the infants and children may not have been named yet. Please try to ascertain the intended name for the child by explaining to the enrollee the importance of capturing the name of the individual for allotting UID.
8. In case of non availability of supporting documents for PoI, the name should be recorded with the assistance of the Introducer.

### ii. Date of Birth (DoB)

1. Write date of birth of Enrolment Agency, indicating day, month and year in the relevant boxes provided. Record the day (2 digits), month (2 digits) and year (4 digits).
2. In the Date of Birth Field, depending on the clarity / proof provided by the resident, following should be captured:
  - "V" – When the DoB can be verified from a documentary evidence
  - "D" – When resident declares the DoB without any documentary evidence
  - "A" – When the resident is unable to give exact DoB and the approximate age has been given

### iii. Gender:

1. Gender has to be recorded by the Enrolment Agency as declared by the enrollee in the box provided by recording Male, Female or Transgender 'M' or 'F' or 'T' respectively.

### iv. Residential Address:

1. Record the residential address in the boxes provided.
2. The address should be recorded as available in the documentary evidence produced by the enrollee. Leave space between two words. Please ensure that the particulars are filled up correctly.
3. In line 1 of the address capture "care of" persons name if any. (Usually this has to be captured for children and old age people living with parents and children respectively). If not available, leave the Address line 1 blank.
4. Generally in rural areas, Building number, House number etc. are not available. If not available leave the address line 2 blank.
5. Write the Street Name, if any, in Address line 3, otherwise leave it blank.
6. Write major/minor landmark if any in address line 4 otherwise leave it blank.
7. Write name of Mohalla/Locality/Post Office in address line 5, otherwise leave it blank.

8. Name of the village/town/city is to be written in address line 6.
9. Write the name of District and State in address line 6 and 7.
10. Ascertain the Postal Index Number Code(PIN code) and record in the boxes.

**v. Parent/ Spouse /Guardian Information (Conditional)**

1. Filling the father / husband / guardian or Mother / Wife / Guardian field is mandatory for all. If they are enrolled their UID should be recorded.
2. In case the adult is not in a position or does not want to disclose, xxx should be recorded in the field.
3. In case of children below the age of 5 years one of the parents' or guardian's name is recorded and UID or Enrolment Number is recorded. It is mandatory.
4. If the child's father /mother / guardian has / have not enrolled and / or do / does not possess an UID at the time of enrolment, the enrolment of that child cannot be done unless the above requirements are fulfilled.

**vi. Relationship type (Conditional):**

1. This field is mandatory if the information in the above field is available, otherwise leave this field as blank.
2. Here the relationship type of the above field to be recorded as "F" for Father, "M" for Mother, "H" for Husband, "W" for Wife and "G" for Guardian.

**vii. Introducers Name (Conditional):**

1. Name of the Introducer has to be recorded in this field in case where enrollee is not able to produce any documentary evidence as PoI and PoA.
2. When the enrollee depends on Introducer for proof of verification, the UID of the Introducer is mandatory.

**viii. Mobile Number (optional):**

1. If the enrollee possesses and is willing to provide his/her mobile/landline number, this optional field can be filled in.

**ix. Email address (optional):**

1. If the enrollee possesses and is willing to provide his/her e-mail ID, this optional field can be filled in.

**5.1.3 Documents for Verifying Pol, PoA and DoB**

S.No.	Supported Pol Documents Containing name and Photo	Applicable for below 5 Yrs	Applicable for below 18 Yrs	Applicable for above 18 Yrs
1.	Passport			
2.	PAN card			
3.	Ration/ PDS photo Card			
4.	Voter ID	X	X	
5.	Driving License	X		
6.	Government Photo ID Cards/ service photo identity card issued by PSU			
7.	NREGS Job Card	X	X	
8.	Photo ID issued by Recognized Educational Institution			
9.	Arms License	X	X	
10.	Photo Bank ATM Card	X		
11.	Photo Credit Card	X	X	
12.	Pensioner Photo Card	X	X	
13.	Freedom Fighter Photo Card	X	X	
14.	Kissan Photo Passbook	X	X	
15.	CGHS / ECHS Photo Card			
16.	Address Card having Name and Photo issued by Department of Posts			
17.	Certificate of Identify having photo issued by Gazetted Officer or Tehsildar on letterhead			
18.	Disability ID card/ handicapped medical certificate issued by the respective State/UT Governments/ Administrations			

S.No.	Supported PoA Documents Containing Name & address	Applicable for below 5 Yrs	Applicable for below 18 Yrs	Applicable for above 18 Yrs
1.	Passport			
2.	Bank Statement			
3.	Post Office Account Statement/ Passbook			
4.	Ration Card			
5.	Voter ID			
6.	Driving License			
7.	Government Photo ID Cards/ service photo identity card issued by PSU			
8.	Electricity Bill (not older than 3 months)	X	X	



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9.	Water Bill (not older than 3 months)	X	X	
10	Telephone Landline Bill (not older than 3 months)	X	X	
11	Property Tax Receipt (not older than 3 months)	X	X	
12	Credit Card Statement	X	X	
13	Insurance Policy			
14	Signed letter having Photo from bank on letterhead			
15	Signed letter having Photo issued by registered Company on letterhead			
16	Signed letter having Photo issued by Recognized Educational Institution Company on letterhead			
17	NREGS Job Card	X	X	
18	Arms License	X	X	
19	Pensioner Photo Card	X	X	
20	Freedom Fighter Photo Card	X	X	
21	Kissan Photo Passbook	X	X	
22	CGHS / ECHS Photo Card			
23	Certificate of address having photo issued by MP or MLA or Gazetted Officer or Tehsildar on letterhead			
24	Certificate of Address issued by Village Panchayat head or its equivalent authority (for rural areas)			
25	Income Tax Assessment Order	X	X	
26	Vehicle Registration Certificate	X		
27	Registered Sale/ Lease/ Rent Agreement			
28	Address card havinf photo issued by Department of Posts			
29	Caste and Domicile Certificate having Photo issued by State Govt.			
30	Disability ID card/ handicapped medical certificate issued by the respective State/UT Governments/ Administrations			
31	Gas Connection Bill (not older than 3 months)	X	X	
32	Passport of Spouse	X	X	

33.	Passport of Parents (in case of Minor)			
<b>Supported PoR documents containing Relationship Details to Head of Family</b>				
1.	PDS card			
2.	MNREGA Job Card			
3.	CGHS/ State Government/ ECHS/ ESIC Medical Card			
4.	Pension card			
5.	Army canteen card			
6.	Passport			
7.	Birth Certificate issued by Registrar of Birth, Municipal Corporation and other notified local Government bodies like Taluk, Tehsil etc.			
8.	Any other central, State Government issued family entitlement document.			
<b>Supported Proof of DoB Documents</b>				
1.	Birth certificate			
2.	SSLC Book/ Certificate			
3.	Passport	X		
4.	Certificate of date of Birth issued by Gazetted Officer on letterhead			

### 5.1.4 Biometric Data Capture Standards


The biometrics is to be collected by the Enrolling Agency based on the standards laid down by the UIDAI. The recommended standards for the capture of facial image, finger prints and the iris are as follows:

#### i. Face Image Capture

Key Decisions	Summary of Decisions
<b>Enrolment</b>	
Image capture	Full frontal, 24 bit colour
Digital / Photographic requirements	Per ISO 19794-5 Section 7.3, 7.4, 8.3 and 8.4 with Section 8.3 of Technical Corrigendum 2. Inter-eye distance – minimum 120 pixels.
Pose	Per ISO 19794-5 Section 7.2.2
Expression	Neutral expression. Specified as best practices.
Illumination	Per ISO 19794-5 Section 7.2.7
Eye Glasses	Per ISO 19794-5 Section 7.2.11
Accessories	Permissible for medical and ethical reasons only.
Multiple samples of face	Yes. Recommended for automatic face recognition.
Operational	Per ISO 19794-5 Section 7.2.4 – 7.2.10
Assistance	Yes. Specified as best practices.
Segmentation and feature extraction	Recommended for automatic face recognition
Quality check	Yes. Specified as best practice.
Storage and compression	Uncompressed image strongly recommended. For legacy reasons, lossless JPEG 2000 colour accepted.
<b>Authentication</b>	
Image capture	Same as enrolment
Compression	JPEG 2000 colour compression recommended. Compression ratio to be less than 10:1
Number of Images	One full frontal image

#### ii. Finger Print Capture

Key Decisions	Summary of Decisions
<b>Enrolment</b>	
<b>Image capture</b>	
Plain or rolled	Plain, live scan
Number of fingers	Ten
Device characteristics	Setting level 31 or above, EFTS/F certified
Quality check	Yes – Specified as best practice. Avoid NFIQ quality 4 and 5 level fingerprints.
<b>Operational</b>	
Assistance	Yes – Specified as best practice

Key Decisions	Summary of Decisions
Corrective measure	Yes – Specified as best practice
Storage and transmission Compression	<p>Uncompressed image strongly recommended. For legacy reasons, JPEG 2000 or WSQ compression accepted.</p> 
Storage format	Per ISO Section 8.3 No deviation necessary
Minutiae format	Per ISO Section 8.3. No deviation necessary
Multi-finger fusion algorithm	Recommended. Application dependent.
<b>Authentication</b>	
<b>Image capture</b>	
Number of fingers	No minimum, no maximum. Application dependent. Recommended as best practice
Any finger option	Yes. Recommended as best practice
Retry	Maximum 5. Recommended as best practice.
Device characteristics	Setting level 28 or above
Transmission format	Per ISO. No tailoring necessary
Compression	JPEG 2000 compression recommended. Compression ratio to be less than 15:1
Minutiae format	Per ISO 19794-2. No tailoring necessary

### iii. Iris Capture

Key Decisions	Summary of Decisions
<b>Enrolment</b>	
Image	Two eyes, > 140 pixel image diameter (170 pixel preferred), image margin 50% left and right, 25% top and bottom of iris diameter
Device Characteristics	Tethered, autofocus, continuous image capture, exposure < 33 mille-second, distance >300 mm for operator control, > 100mm Enrollee control
Operational	Operator controlled strongly preferred. No direct natural or artificial light reflection in the eye, capture location: indoor.
Segmentation	Non-linear segmentation algorithm
Quality Assessment	Per IREX II recommendations

Compression and Storage	ISO 19794-6 (2010) data format standard as tailored in Section 11 JPEG 2000 or PNG lossless compression, KIND_VGA of Table A.1 of ISO 19794-6 (2010)
Authentication	Same as enrolment except One and / or two eyes JPEG 2000

### 5.1.5 Detailed Guidelines for Collecting Biometric Data

#### i. Fingerprint Capture

a. **Left Hand Fingerprints:** The Enrollee should be requested to place all four fingers of the **left hand** to platen of the fingerprint scanner for the four-finger capture to ensure good contact and maximize the area of the captured fingerprints.

b. If **automatic** capture does not happen, the operator should force the capture through option available in the enrolment software. The capture software will allow forced capture only after at least one attempted automatic capture for that Enrollee.

c. The operator should visually check the image for quality and for typical problems. In case there are problems go back to steps above to retry the capture.

d. If capture is still not possible, move on to the next step to capture the fingerprints of the right hand.

e. **Right Hand Fingerprints:** The Enrollee should be requested to place all four fingers of the **Right Hand** to platen of the fingerprint scanner for the four-finger capture to ensure good contact and maximize the area of the captured fingerprints.

f. If **automatic** capture does not happen, the operator should force the capture through option available in the enrolment software. The capture software will allow forced capture only after at least one attempted automatic capture for that Enrollee.

g. Visually check the image for quality and for typical problems. In case there are problems go back to steps above to retry the capture.

h. If capture is still not possible, move on to the next step to capture the fingerprints of the two thumbs.

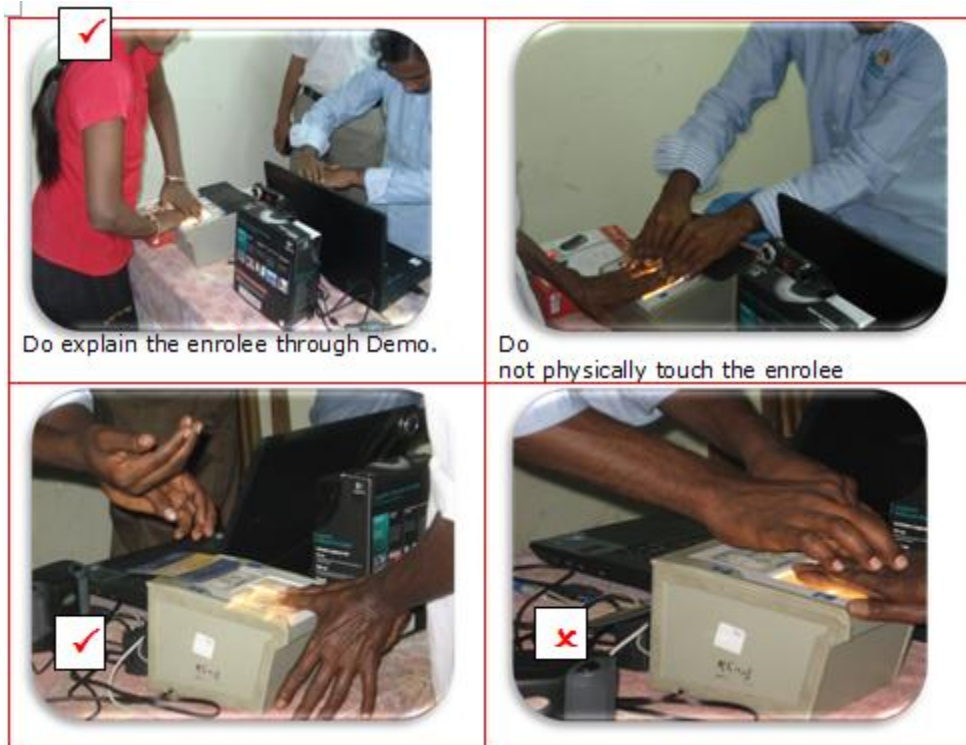
i. **Two Thumbs:** The Enrollee should be requested to place **Two Thumbs** to platen of the fingerprint scanner for the capture to ensure good contact and maximize the area of the captured fingerprints.

j. If **automatic** capture does not happen, the operator should force the capture through option available in the enrolment software. The capture software will allow forced capture only after at least one attempted automatic capture for that Enrollee.

k. Visually check the image for quality and for typical problems. In case there are problems go

back to steps above to retry the capture.





ii. **Facial Image Capture**

a. **Enrollee Position:** For capturing facial image, it is advisable for the operator to adjust the camera instead of the Enrollee to position herself/himself at the right distance or in the right posture.

b. **Focus:** The capture device should use auto focus and auto-capture functions. The output image should not suffer from motion blur, over or under exposure, unnatural colored lighting, and radial distortion. Interlaced video frames are not allowed.

c. **Expression:** Expression strongly affects the performance of automatic face recognition and also affects accurate visual inspection by humans. It is strongly recommended that the face should be captured with neutral (non-smiling) expression, teeth closed and both eyes open.

d. **Illumination:** Poor illumination has a high impact on the performance of face recognition. It is difficult for human operators to analyze and recognize face images with poor illumination. Proper and equally distributed lighting mechanism should be used such that there are no shadows over the face, no shadows in eye sockets, and no hot spots.



e. **Eye Glasses:** If the person normally wears glasses, it is recommended that the photograph be taken with glasses. However, the glasses should be clear and transparent so that pupils and iris are visible. If the glasses are with tint, then direct and background lighting sources should be tuned accordingly.

f. **Accessories:** Use of accessories that cover any region of the face is not permitted.

g. However, accessories like eye patches are allowed due to medical reasons.



- h. Further, accessories like turban are also allowed as religious practices.
- i. Operators need to be trained to obtain the best possible face images that satisfy requirements.

iii. **Iris Capture**

a. Iris pattern of each eye is not correlated, and gives two independent biometric feature sets. It assures correct assignment of left and right eyes and allows for more accurate estimation of roll angle.

b. In order to obtain good quality template, the iris image diameter should be a minimum of 170 native pixels.

c. In order to retain sufficient image surrounding the iris for the purpose of identifying the left or right eye as well as for a more accurate iris segmentation, the margins around the iris portion of the image need to be at least 50% of the iris diameter on the left and right sides of the image, and a least 25% of the iris diameter on the top and bottom of the image.



d. The capture device should be more than 300 mm away from the Enrollee to be considered non-intrusive.

e. The capture device should use auto focus and auto-capture functions.

f. In special circumstances where the Enrollee has to position herself or himself, the capture device should be more than 100mm away but the device should use a visor or other mechanical alignment aid to enable the Enrollee to position themselves.

g. In order to provide an acceptable level of usability and ease of alignment, the camera must allow for some variability in the position of the iris centre relative to the camera. This variability is defined by position tolerances in the horizontal, vertical, and axial dimensions that together define a volume (the “capture volume”) within which the centre of the iris must be located in order to enable image capture.

h. For two eye capture devices, the capture volume dimensions for devices without mechanical alignment aids are 19 mm wide, 14 mm high, and 20 mm deep, and for devices with such aids, 19 mm wide, 14 mm high, and 12 mm deep.

i. The iris image capture device must be capable of capturing light in the range of 700 to 900 nanometers. The camera’s near infrared illuminator(s) must have a controlled spectral content, such that the overall spectral imaging sensitivity, including the sensor characteristics, transfers at least 35% of the power per any 100 nm-wide sub-band of the 700 to 900 nm range.

j. The iris image capture sensor shall use progressive scanning.

k. Illumination shall be compliant with illumination standard IEC 825-1 and safety specification ISO 60825-1.

l. In order to achieve acceptable recognition accuracy, the iris acquisition sensor must achieve a signal-to-noise ration of at least 36dB.



- m. Within the frequency range of interest, 700 to 900 nm, the iris sensor shall generate images with at least 8 bits per pixel.
- n. The operator and not the Enrollee will handle the capture device.
- o. The Enrollee will be required to sit (or stand) in a fixed position, like taking a portrait photograph.
- p. The iris capture device or the connected computer would be able to measure the iris image quality. An initial image quality assessment would be done to provide feedback to the operator during the capture process. The device alerts the operator if the captured iris image is of insufficient quality.
- q. The iris capture process is sensitive to ambient light. No direct or artificial light should directly reflect off Enrollee's eyes.

### 5.1.6 Handling of Exceptions

There would be instances where the Enrollee would not be in a position to give complete set of biometrics as required by the UIDAI owing to reasons such as injury, amputation of the fingers / hands and similar problems with the eyes. The following sets of guidelines are to be borne in mind while handling such exceptions.

#### i. Exceptions in capturing Facial Image capture

S.No	Problem	Suggestions
a.	Unable to capture image due to poor light:	<ul style="list-style-type: none"> <li>a. No flash is to be used.</li> <li>b. Contact the local state government authorities to improve the ambient light.</li> <li>c. If there is inadequate lighting because of low voltage, use the generator backup to improve the lighting.</li> <li>d. Consider moving the enrollment station to a location in the room with better light.</li> <li>e. The non-capture could be because of bright light behind the backdrop. The backdrop should be preferably placed against an opaque wall/partition.</li> </ul>
b.	Unable to crop image because of turban / head scarf:	<ul style="list-style-type: none"> <li>a. If it is strict religious attire, choose the manual capture option.</li> <li>b. If the headgear can be removed this may be requested politely by the operator.</li> <li>c. In the case of lady enrollees, it would be advisable for a lady operator, or volunteer to undertake this process.</li> </ul>
c.	Enrollee unable to keep head / torso still and vertical:	Assistance may be provided to the enrollee. In case of lady enrollees, assistance is to be provided by the lady operators or volunteers.

#### ii. Exceptions in handling Fingerprint Image capture

S.No	Problem	Suggestions
a.	Missing / amputated / bandaged fingers	<ul style="list-style-type: none"> <li>i. The same is noted in the data as provided in the software</li> <li>ii. The fingerprints of remaining fingers are captured by the operator</li> </ul>
b.	Unable to crop image because of turban / head scarf	<ul style="list-style-type: none"> <li>i. If it is strict religious attire, choose the manual capture option.</li> <li>ii. If the headgear can be removed this may be requested politely by the operator.</li> <li>iii. In the case of lady enrollees, it would be advisable for a lady operator, or volunteer to undertake this process.</li> </ul>
c.	Fingerprint captured is not of the requisite quality	<ul style="list-style-type: none"> <li>i. If standard image of the finger prints are not possible for an enrollee despite repeated attempts, the operator should politely ask the enrollee to wash his hands. The operator can provide a wet sponge or towel available in the centre.</li> </ul>

S.No	Problem	Suggestions
		<ul style="list-style-type: none"> <li>ii. The operator can request the enrolled to apply pressure on the platen to increase the area of contact and thereby obtain image of the requisite quality.</li> <li>iii. For applying pressure he would firstly rely on efforts of the enrollee. If not successful, the operator can take the permission of the enrollee and assist her/him in applying the pressure to capture the image.</li> <li>iv. It has to be ensured that assistance to women enrollees has to be provided by women operators / volunteers.</li> <li>v. The operator would make a reasonable number of attempts to capture the biometrics of the resident. The number of attempts that can be made is built into the software.</li> </ul>
d.	Inability to flatten the fingers	<ul style="list-style-type: none"> <li>i. The operator with due permission from the enrollee may assist the enrollee in order to attempt capture of the fingerprints.</li> <li>ii. In case this is not successful, the operator may try to obtain fingerprints to the extent that the enrollee is able to flatten and place her / his fingers on the platen.</li> <li>iii. The enrollee can then be made to move to the next set of fingerprints of the other hand or the two thumbs.</li> </ul>
e.	Worn out ridges or hands blackened through mehendi or any other substance	<ul style="list-style-type: none"> <li>a. Attempt a manual capture</li> <li>b. Proceed to capture fingerprints of fingers which are not blackened or without worn out ridges.</li> </ul>

### iii. Exceptions in handling Iris Image capture

If capturing Iris image is not possible due to non-existence of one or both eyes or bandage across one or both eyes / any other deformity or disease the same has to be recorded in the system.

S.No	Problem	Suggestions
a.	Squint / disoriented eye	<ul style="list-style-type: none"> <li>a. If the capture of both eyes at a time is not possible, the single eye iris scan device may be used</li> <li>b. In case the single eye iris device is not available, the operator can make use of the dual eye device to capture one of the irises correctly</li> </ul>
b.	Inability to open the eyes properly	<ul style="list-style-type: none"> <li>a. Guide the enrollee to open the eyes wide to enable the capture</li> <li>b. Manually assist the enrollee to open the eyes with the help of his own hands so that the iris can be scanned.</li> </ul>

### iv. General exceptions

The enrollee may not be in a position to keep herself / himself in correct posture for reaching biometric instruments or for photograph due to old age or sickness. In such cases the operator should arrange to take the biometric data by moving the equipment close to the enrollee.

## 5.2 Formats, Templates and Checklists

### Checklist for Setting up Enrolment Centre

Mandatory Requirements	
<b>A</b>	<b>Enrolment Station</b>
A.1	Laptop available
A.2	UIDAI software installed, tested, configured, registered with CIDR as per installation and configuration manual
A.3	List of Introducers loaded on laptop
A.4	Iris capturing device available (record Make & Model)
A.5	Fingerprint capturing device available (record Make & Model)
A.6	Digital Camera (record Make & Model)
A.7	White background screen available for taking photographs
A.8	Extra monitor for residents to verify their data (15-16" with a resolution above 1024x768)
A.9	All devices as per UIDAI standards
A.10	Working of all equipment at every station tested
A.11	Data backup device (4 GB pen drive sufficient for 1 centre/day i.e. ~5 stations. Enrolment Centre should maintain a stock of 20 days)
A.12	Printer (A4 laser printer; must print photo with good quality receipt)
A.13	Printer Paper (Inventory for 5 stations for 10 days ~ 20 rims)
A.14	GPS Receiver (USB/built in)
A.15	Anti-Virus / Anti Spyware checks
A.16	Data Card / Internet connectivity for Enrolment Client to be online every 24-48 hrs
A.17	All Operators and Supervisors enrolled into AADHAAR and registered with CIDR
A.18	The pre-enrolment data from the Registrars, if used, is available for import on laptops
A.19	If Registrar has additional fields to be captured, then the KYR+ software for capturing the KYR+ fields is configured and tested
Mandatory Requirements	
<b>B</b>	<b>Enrolment Centre</b>
B.1	Backup power supply (generator) of 2 KVA capacity for every five enrolment stations kept in a centre
B.2	Fuel to run the generators
B.3	Printed enrolment forms for filling data available in sufficient numbers
B.4	Preprinted Bubble Envelopes size 10, for pen drive transfer to CIDR via India Post (2 Envelopes/day/centre. Enrolment Centre should maintain a stock of 20 days)
B.5	Adequate lighting, fans & power points for plugging various biometric devices available
B.6	Local authorities informed of enrolment schedule
B.7	Introducers informed of enrolment schedule

B.8	Banner for the Enrolment Centre placed at entrance
B.9	Posters depicting enrolment process in English & the local language present in visible places
B.10	Grievance handling Helpline Number and other important numbers displayed prominently inside/outside the enrolment centre
B.11	The User Manual of the software available for ready reference & operators aware of the same
B.12	Sponge for wetting and hand-cleaning cloth available
	<b>Desired</b>
<b>C</b>	<b>Other Logistics</b>
C.1	Mobile phone/ Land phone/Internet available for immediate communication with UIDAI /Registrars etc
C.2	Extension box for Power Cord
C.3	Water, soap and towel for cleaning hands and moisturizer
C.4	Drinking water facility available
C.5	Sufficient number of tables and chairs for enrolment station operators
C.6	Chairs/benches available in shade for waiting enrollees
C.7	Hall / room spacious & furniture organized to minimize movement of enrollee while capturing biometric information
C.8	At least one station is suitable for physically challenged, pregnant women, women with infants and elderly enrollees. This station is clearly marked with a visible banner.
C.9	Carry cases for all devices available
C.10	Material for cleaning biometric instruments and laptops as specified by device manufacturers
C.11	A separate enclosure to enroll "purdah-nasheen" women available
C.12	Sufficient no. of operators available for job rotation & preventing operator fatigue
C.13	Lady operators / volunteers to assist women enrollees
C.14	Security arrangement in place to stop enrollees from carrying bags / suitcases or any other material into the enrolment centres
C.15	A ramp is provided for disabled and old age people
C.16	First aid kit available
C.17	ORS kit available for areas in extreme heat conditions
C.18	Scanner (Optional as per Registrar's mandate)
C.19	Bar Coded Stickers (Optional as per Registrar's mandate)
C.20	Bar Code Reader (Optional as per Registrar's mandate)
	<b>Enrolment Center - Health &amp; Safety Considerations</b>
D.1	All the electrical equipment are properly earthed
D.2	All wiring on the floor or along the walls properly insulated
D.3	Wiring required for the generator backup and for connecting the various devices used for enrolment neatly organized
D.4	Fuel for generator or any other inflammable material stored away from the enrolment area

D.5	Fire safety equipment available handy
D.6	Power generator kept sufficiently away from the enrolment stations
D.7	Local Emergency Help numbers available at the center & operators aware of the same

The formats for Enrolment Form, Acknowledgement slip and Consent Slip shall be prescribed by the Registrar/UIDAI.

**References**

- Enrolment Manual
- Enrolment Software Manual
- Demographic Data Standards and Verification Procedure (DDSVP) Committee Report

### Annexure VI – Specification and Formats for capture of KYR+ Information

Following additional information is required to be captured by the enrolment agencies during demographic data capture of residents called KYR.

<b>1</b>	<b>EPIC Number Issued by Election Commission</b>		YES/NO		Number
<b>2</b>	<b>MGNREGS Job Card</b>		YES/NO		Number
	<b>Number</b>				
<b>3</b>	<b>BPL Card Number</b>		YES/NO		Number
<b>4</b>	<b>TIN (Temporary Identification Number) No.</b>		YES/NO		Number
<b>5</b>	<b>PAN No.</b>		YES/NO		Number
<b>6</b>	<b>Pension</b>	YES/NO	If Yes, which Pension		
			Pension Number		
<b>7-</b>	<b>Bank Details, if any</b>	Name of the Bank		Branch	Savings bank, Acc.No
<b>8</b>	<b>Ration Card</b>	YES/NO	BPL/APL	Card No	No of Units
					Shop No
<b>9</b>	<b>Post Office, if any</b>	Account Number		Branch	

### Annexure VII –Turnover and Net Worth Criteria

#### In case of Private/ PSU/ Govt. Company/ Commercial Organization/ Autonomous Body

<u>Sl. No</u>	<u>Target Population for any specified Geographical region</u>	<u>Minimum Net Worth required (range) in Rupees</u>
1	Less than 15 Lakhs	Between 50 Lakhs – 200 Lakhs
2	Between 15 Lakhs and 35 Lakhs	Between 201 Lakhs – 500 Lakhs
3	Between 35 Lakhs and 125 Lakhs	Between 501 Lakhs – 2000 Lakhs
4	Between 125 Lakhs and 500 Lakhs	> 2000 Lakhs

#### In case of NGOs/ Not-for-Profit organization

<u>Sl. No</u>	<u>Target Population for any specified Geographical region</u>	<u>Minimum Turnover/ Grants-in-aid required (range) in Rupees</u>
1	Less than 15 Lakhs	Between 50 Lakhs – 200 Lakhs
2	Between 15 Lakhs and 35 Lakhs	Between 201 Lakhs – 500 Lakhs
3	Between 35 Lakhs and 125 Lakhs	Between 501 Lakhs – 2000 Lakhs
4	Between 125 Lakhs and 500 Lakhs	> 2000 Lakhs

## Annexure VIII – Indicative Number of Enrolment

Sr. No	State/U.Ts	Population as per Census 2011	Population enrolled as per UIDAI Aadhaar Portal #	Un enrolled Population	Indicative Target
1	<a href="#">Uttar Pradesh</a>	199812341	25203470	174608871	17460887
2	<a href="#">Maharashtra</a>	112374333	83736511	28637822	2863782
3	<a href="#">Bihar</a>	104099452	6764249	97335203	9733520
4	<a href="#">West Bengal</a> *	91276115	35932547	55343568	5534357
5	<a href="#">Andhra Pradesh</a>	84580777	79177944	5402833	540283
6	<a href="#">Madhya Pradesh</a>	72626809	43359136	29267673	2926767
7	<a href="#">Tamil Nadu</a> *	72147030	44359136	27787894	2778789
8	<a href="#">Rajasthan</a>	68548437	38761490	29786947	2978695
9	<a href="#">Karnataka</a>	61095297	42186359	18908938	1890894
10	<a href="#">Gujarat</a>	60439692	27689497	32750195	3275020
11	<a href="#">Orissa</a> *	41974218	18610039	23364179	2336418



12	<a href="#">Kerala</a>	33406061	30110689	3295372	329537
13	<a href="#">Jharkhand</a>	32988134	25924278	7063856	706386
14	<a href="#">Assam</a> *	31205576		31205576	3120558
15	<a href="#">Punjab</a>	27743338	23717896	4025442	402544
16	<a href="#">Chhattisgarh</a>	25545198	2678443	22866755	2286676
17	<a href="#">Haryana</a>	25351462	18396302	6955160	695516
18	<a href="#">Delhi</a>	16787941	16712020	75921	7592
19	<a href="#">Jammu and Kashmir</a> *	12541302	1356311	11184991	1118499
20	<a href="#">Uttarakhand</a>	10086292	2453431	7632861	763286
21	<a href="#">Himachal Pradesh</a>	6864602	6389072	475530	47553
22	<a href="#">Tripura</a>	3673917	3124899	549018	54902
23	<a href="#">Meghalaya</a> *	2966889		2966889	296689
24	<a href="#">Manipur</a> *	2570390	960902	1609488	160949
25	<a href="#">Nagaland</a> *	1978502	814871	1163631	116363

26	<a href="#">Goa</a>	1458545	1330574	127971	12797
27	<a href="#">Arunachal * Pradesh</a>	1383727	18090	1365637	136564
28	<a href="#">Puducherry</a>	1247953	1134328	113625	11363
29	<a href="#">Mizoram *</a>	1097206		1097206	109721
30	<a href="#">Chandigarh</a>	1055450	923655	131795	13180
31	<a href="#">Sikkim</a>	610577	546118	64459	6446
32	<a href="#">Andaman and * Nicobar Islands</a>	380581	163151	217430	21743
33	<a href="#">Dadra and * Nagar Haveli</a>	343709	194894	148815	14882
34	<a href="#">Daman and Diu</a>	243247	160273	82974	8297
35	<a href="#">Lakshadweep *</a>	64473	48918	15555	1556
<b>Total</b>		<b>1010757232</b>	<b>582939493</b>	<b>627630080</b>	<b>62763008</b>

# This data is based on the Pin code i.e. number of Residents who have enrolled for those particular States/UTs although the resident may have enrolled themselves in different States.

\* These states / UTs are not authorized to UIDAI for enrollment as on date.

Note: The above list is of all states / UTs of the country. However the Bank shall empanel only for those States / UTs which have been authorized to UIDAI i.e. 22 States / UTs. For others in case, UIDAI is authorized in future the empanelled vendors may be given chance to work with the Bank. The Bank shall empanel immediately after end of the tender process for 4 States viz. Bihar, Uttar Pradesh, Uttarakhand and Chhattisgarh. For other 18 states the Bank may give order after November, 2014 depending on the work.

## Annexure IX – Roles & Responsibilities

### I. Enrolment Agency's Roles and Responsibilities

#### **Who is an Enrolment Agency (EA)?**

**Enrolment Agencies** are entities hired by the Registrars for undertaking demographic and biometric data collection for UID enrolment. Enrolment Agencies must ensure continued empanelment by UIDAI in order to be engaged by Registrars. If non-empanelled agencies are engaged by Registrars, they are also subject to the same terms and conditions as the empanelled agencies.

#### **Are EAs allowed to sub-contract Enrolment Work?**

Sub-Contracting of Enrolment Work is not allowed for private/ commercial Organizations/PSUs /Govt. Companies /Autonomous bodies. However, field level manpower such as enrolment operators and supervisors can be hired through third parties. EAs must provide details of the companies from which they are going to hire this manpower. However, Government Organizations may choose to franchise enrolment work to CSCs/ Local Government bodies.

#### **What are the Preparatory Activities that an EA must do prior to starting enrolments? Preparatory Stage Activities of an EA**

EA must identify their Project & Technology managers who will be part of the Joint Working Group headed by the Head of the Nodal/Registrar Department. Initiation and On-boarding Workshop for EA must organized by Registrar and UIDAI will provide detailed enrolment process & implementation overview. EA must familiarize themselves with Enrolment process and policies including periodic amendments/updates. The scope of work of the Enrolling Agency (EA) includes the following activities:

#### **1. Procure enrolment hardware, software including Biometric Devices as per UIDAI Specifications**

The enrolling agency should procure enrolment hardware, software including certified biometric devices (for fingerprint and iris capture), used for capture of biometric data at the enrolling station, which conform to UIDAI specifications. EA must procure only those Biometric Devices that are certified by UIDAI or its duly authorized agency. The EAs must also ensure continued technical support by the suppliers for the hardware.

#### **2. Hire & Train Manpower for Enrolment**

- a. The Enrolling Agency shall hire manpower, Operators and Supervisors, to operate the enrolment station/centre as per the guidelines prescribed by UIDAI. The enrolling agency must have Technical personnel to provide technical support during enrolment at the enrolment centres. Technical personnel for attending power /system / biometric instrument related maintenance problems should be available on call in a centrally located place covering about six enrolment centres so that the downtime can be minimized.
- b. EA must make sure that the Operators and Supervisors are of age 18 years and above. The Operator should be minimum 10+2 pass and should be comfortable using computer. The Supervisor should be minimum 10+2 pass and preferably a Graduate and should have a good understanding and experience in using a computer.
- c. EA must ensure compliance to Labour laws and all statutory provisions in various Labour regulations that is PF, ESI, Industrial Disputes Act, Contract Labour Act and Minimum Wages Act etc.
- d. The personnel should be given mandatory induction training on the various activities and equipment and gadgets involved/used in the enrolment process and resident enrolment, transliteration skills in local language, to enable them to understand and adjust to the local situation. The mandatory induction training shall be compulsory before deployment of the personnel. The EA will inform concerned RO Regional Offices of UIDAI prior to training schedule and will also give a follow-up report.
- e. The enrolment agency shall ensure the availability of the requisite infrastructure for imparting training as per UIDAI guidelines
- f. The Operators and Supervisors should have obtained certificate from a testing and certifying agency authorized by UIDAI. Ensure correct certification as per specific roles. A certified Operator cannot work as a Supervisor.
- g. Payments to operators and supervisors should be made preferably to their bank accounts.

### **3. Enroll Operator/Supervisors and Register and Activate them at UIDAI**

- a. Operator /Supervisors must have their Aadhaar numbers generated and certification test passed for getting activated in accordance with UIDAI guidelines prior to commencing enrolments. Do not deploy them for enrolment without the fulfilment of these mandatory requirements.
- b. EA admin user must use unique user IDs for activating their Operator/ Supervisors. Do not use one password for multiple set of Operator IDs. Ensure all details entered are correct on UIDAI technology portal and certification agency's portal and there is no mismatch.
- c. EA must ensure availability of manpower activated in accordance with Aadhaar guidelines prior to commencing enrolments.
- d. EAs will have to demonstrate that they have certified the active operators, requisite machines and hardware available to be deployed. EAs will have to declare enrolment station

deployment plans i.e. when and where the centers will be established. EAs will also demonstrate that they have the requisite supervision infrastructure available. Based on this information, ROs will assess the preparedness of the Registrars and EAs and may then allow the on-boarding of stations.

#### **4. Get established as an Enrolment Agency at UIDAI**

- a. The EA must receive their EA code from UIDAI
- b. The EA must ask the Registrar to establish the link between them (Attach EA) at UIDAI
- c. Receive admin password for portal and auth code for client registration from UIDAI
- d. Obtain SFTP account setup and password

**5. Ensure that Pin code data for planned enrolment locations is checked in Pin Master of Aadhaar software, and is correct and complete.** Review and Report missing/incorrect Pin codes and use Pin code correction process for getting the Pin Numbers corrected.

#### **6. Software Installation, Configuration and Registration**

a. The latest version of Aadhaar Enrolment software client needs to be installed, configured and registered with CIDR. The Enrolment Agency needs Auth User and Auth Code from UIDAI technology team to register its clients.

b. The person performing the system configuration is typically a representative of the Registrar. Normally the Registrar may ask the EA to perform the installation and configuration. In such a case, the configuration and registration may be done in presence of Registrar's representatives.

c. Load and test Pre-enrolment data on enrolment centre laptops / desktops and ensure it is accessible / searchable.

d. All latest Master Data such as Pin code, Operator credentials, list of documents etc. should be loaded on client

e. Thorough testing of Aadhaar client working in integration with pre-enrolment data and KYR+ applications, along with local language support, pin code and master data availability

f. Ensure all Registered stations are active at UIDAI

g. Ensure Operator/Supervisor/Introducer (OSI) are on boarded on the enrolment stations

**7. EA must ensure that Aadhaar and KYR+ Enrolment Forms** are printed, ready for distribution/distributed to residents. If enrolment forms are distributed and filled in advance, it will help speed up enrolment at the Centre. The enrolment forms can be used as a tool for crowd management by controlled distribution.

The print and paper quality of forms should be ensured as the forms will be stored as per Document Management System.

#### **8. Setting up of Enrolment Centre (EC) and Enrolment Stations (ES)**

- a. EA will assist Registrar in developing enrolment schedules. EA will work with the Registrar in identification of suitable enrolment centres at scheduled locations. Once EC are identified, EA must ensure readiness of the EC as per the latest Enrolment Centre Setup Checklist (Annexure 1). The Enrolment Centre Setup Checklist by UIDAI enlists the various requirements at Enrolment Centre and Station level and is to facilitate the EA in planning.
- b. Ensure adequate stationary like paper for printing and other logistics are available at centre
- c. Ensure adequate power and other backup arrangement at enrolment centre
- d. Deploy Hardware, Software for Enrolment. Working of all equipment and application at every station must be tested.
- e. EA must not undertake enrolment operations at locations without valid agreement with the Registrars.
- f. The Enrolment Agencies also need to fill the Enrolment Centre details at UIDAI portal.
- g. EA must adhere to Safety Procedures, Rules, Regulations, & Restrictions and shall comply with the provisions of all laws including safety and labour laws, rules, regulations and notifications issued there under from time to time. EA shall take all measures necessary or proper to protect the personnel and facilities and shall observe all reasonable safety rules and instructions.

## **9. Contact Centre information filled**

EA must fill the forms with information required by UIDAI Contact Centre and submit. This information pertains to EA contacts at EC, Enrolment Centre address and working hours etc.

## **10. Help Create Awareness**

Enrolment Agency needs to work with the Registrar in communication and generating resident awareness at grass root level. Prior to the commencement of the Enrolment operations the Enrolment Agency shall work closely with the local governing bodies, key introducers in publicizing the Aadhaar, its importance and schedule for Aadhaar registration in that location. EA must prominently display important information relating to consent and operator responsibilities inside the enrolment centres.

The role of the enrolment agency should be limited to publicising the content provided by the UIDAI/ Registrars. The EA should not add to / modify /delete the content provided by Registrar/ UIDAI.

## **What are the Activities that an EA performs during Enrolment Stage?**

### **Enrolment Stage Activities of an EA**

#### **1. Capture Demographic and Biometric Data**

The enrolment agencies will use the latest client software prepared and released by UIDAI for the collection of demographic and biometric data from time to time as per standard processes specified by UIDAI. The acknowledgement should be provided to the resident and resident's consent taken at the end of enrolment without fail. Ensure End of Day Review of data packets by Supervisor. All UIDAI defined processes are available on the UIDAI portal. EA must ensure facilitation for good quality data capture at the enrolment stations.

## **2. Data Transfer to UIDAI**

The data collected at the time of enrolment will be transferred to UIDAI for storage and processing in Central Identities Data Repository (CIDR) as per the prescribed format as per the UIDAI recommended processes. EAs can transfer data to CIDR either by sending memory stick/hard disks or through SFTP mode. The EA must export and upload data at the most within 20 days of enrolment. The client will freeze if packet pending for uploads exceed 1000 numbers on the station. Similarly workout the transfer of Registrar packets with the Registrar and hand them over as per agreed process and guidelines.

## **3. Sync and Data Backup**

The enrolment client, after successful enrolments, needs to be synched up with the server every 10 days, mandatorily. The synch process requires network connectivity. EA must take back-up of data captured, at least twice a day, and retain it for a period of minimum 60 days (or as specified by UIDAI from time to time).

## **4. Privacy & Security**

Enrolment agencies are responsible to make sure that the data is kept in a very secure and confidential manner and under no circumstances, shall they either use the data themselves or part with the data to any other agency other than the UIDAI or the Registrar. Mechanisms to ensure the same have to be put in place by the Enrolling agency and shall be subject to audit by UIDAI/its representative from time to time. The EAs must familiarize themselves and strictly adhere and comply with the data security guidelines issued by UIDAI from time to time. If there is any violation of privacy by the enrolling agency or through its employees, contractual or otherwise, it shall be construed as a breach of contract, apart from attracting the penal provisions of the Act which will govern the operations of the Authority.

If Registrar has prescribed any security and privacy policies/guidelines, then those must be adhered to in addition to UIDAI guidelines.

## **5. Provide Electronic MIS Reports on Enrolment Status**

Enrolment Agencies will be required to send statistics on enrolment status to Registrar/UIDAI as prescribed by them from time to time.

## **6. Document Management System**

The Enrolment Agencies are expected to collect Hard Copies/Scan documents, consent and enrolment forms from the residents. Records must be indexed and stored in such a way that they are retrievable, accessible and safeguarded against environmental damage till the time they are submitted to Registrar/UIDAI. The enrolment agency must maintain a list of the documents collected and submitted, for the purpose of reconciliation and future reference. The guidelines related to Document Management System have been published by UIDAI.

As and when Scanning policy comes in place, EA will have to change over from maintaining hard copy of documents to managing documents in scanned form.

## **7. Crowd Management**

- a. EA must put in practice mechanisms like token system to manage crowd at the enrolment centre and to avoid prolonged wait by resident.
- a. EA staff must wear uniform or distinguishing garment/s at enrolment centre so that if residents need help they can easily identify employees by their attire.
- b. All field operators deployed for collecting pre-enrolment data must carry identity cards.
- c. Display Name, Code, and contact number of EA Supervisor at enrolment centres.
- d. EAs can use online appointment system in consultation with Registrar and RO.
- e. EA must ensure that the Operators and Supervisors are polite and courteous with the residents.

**What activities other than those listed in preparatory activities and enrolment must an EA take on an on-going basis?**

**On-going Activities of an EA**

1. EAs performance must be continuously assessed during the execution of project/assignment and appropriate action taken in accordance with the policy in place at that time.  
EA must co-operate with the audit party of UIDAI/Registrars/auditing agencies empanelled/ appointed by them.
2. EA must take remedial / corrective action in case of process / quality deviations.
3. EA must have a mechanism for Grievance Redressal and also an escalation matrix defined for addressing issues from field/UIDAI/Registrar.
4. EA must maintain credentials of operators, Supervisors and Enrolment Stations and keep updating active Operator, Supervisor, Station details at UIDAI.
5. EA consortium must observe highest standards of ethics during the execution of the awarded contracts for Aadhaar enrolment.
6. Any work, as and when required, for smooth and timely execution of project may be supported by the EA.

Enrolment Agency Readiness Checklist for Refresh is attached as Annexure IX (A).



**Annexure IX(A)****Checklist for Setting up Enrolment Centre Registrar:**

Enrolment \_\_\_\_\_

Agency: \_\_\_\_\_

Enrolment Center Location: Complete Address \_\_\_\_\_

Enrolment Station Codes: All Stations \_\_\_\_\_

Enrolment Agency Supervisor Name: \_\_\_\_\_

S. No	Checkpoints	Enrolment Agency supervisor
<b>Mandatory Requirements</b>		
<b>A</b>	<b>Station</b>	
A.1	Laptop/Desktop available USB hub for connecting biometric and other devices; (Always Check with <b>techsupport@uidai.gov.in</b> for latest requirements). For ECMP version 2.0 • 2Ghz, Dual core CPU or later • 3GB RAM or higher • 160GB HDD • Dedicated USB 2.0 Port (minimum 5 ports required) Note: (Windows Vista/any 64 bit Operating System is not supported)	
A.2	UIDAI software installed, tested, configured and registered with CIDR as per installation and configuration manual. A new version must be installed latest within one month of release on all registered laptops. VDM installed and services for the devices are running.	
A.3	Iris capturing device available (record Make & Model)	
A.4	Fingerprint capturing device available (record Make & Model)	
A.5	Digital Camera (Record Make & Model) must conform to UIDAI's specifications.	
A.6	White back ground screen, non reflecting, opaque, ~3ft wide, and with stand, available for taking photographs	
A.7	Extra monitor for residents to verify their data (15-16" with a resolution above 1024x768)	
A.8	All devices necessary for enrolment must conform to UIDAI's specifications	
A.9	Working of all equipment at every station tested	
A.10	Memory Stick for data transfer (4 GB pen drive sufficient for 1 centre/day i.e. ~5 stations. Enrolment Centre should maintain a stock of 20 days)	
A.11	Printer (A4 laser printer; must print photo with good quality receipt)	
A.12	Printer Paper (Inventory for 5 stations for 10 days ~ 20 rims)	
A.13	Antivirus / Anti Spyware checks	
A.14	Data Card /Internet connectivity for Enrolment Client. <b>Client synch is mandatory at least once in 10 days.</b>	

**Annexure IX(B) - Enrolment Agency Readiness Checklist for Refresh**

<b>S. No.</b>	<b>Activity</b>	<b>Status</b>	<b>Comments/Remarks</b>
<b>1. Decommission before launching fresh Enrolments</b>			
1.1	Synch all stations; Deregister machine; The decommissioning steps need to be followed for all registered stations.		
1.2	Bulk Export all data packets from the Enrolment stations, registered for the particular Registrar, and Upload packets to CIDR.		
1.3	Take Backup of the exported data of the Stations after bulk export and uninstall Aadhaar Software from the station.		
1.4	Receive reconciliation report from UIDAI tech team and re-export and resend packets flagged as "Decryption failed" packets. The packets not listed in Reconciliation report are not received by CIDR and therefore, resend those packets as well.		
1.5	Inform tech support, Registrar and RO that all stations are synched and packets uploaded.		
1.6	Take action on pending hold packets in your EA Inbox, for their closure.		
1.7	Make sure all Resident enrolment documents have been picked from EA locations, Reconciliation done and signed off.		
1.8	Make sure all inactive machines are having decommissioned status at portal.		
<b>2. Enrolment Planning</b>			
2.1	Identify Project & Technology managers who will be part of the Joint Working Group headed by the Head of the Nodal/Registrar Dept.		
2.2	Prepare roll out plan and machine deployment plan (for at least next 15 days) with Registrar and share with UIDAI regional office/nodal officer.		
2.3	EAs must provide details of the companies from which they are going to hire manpower such as enrolment operators and supervisors, if hired through third parties.		
2.4	Take approval from UIDAI regional office/nodal officer on the deployment plan. EAs will have to demonstrate that they have certified operators, have requisite machines and hardware available to be deployed. EAs will also demonstrate that they have the requisite supervision infrastructure available.		
2.5	Send required information (latest) to Contact Center in predefined format.		
2.6	Update Enrolment Centre information on the UIDAI portal <a href="http://qamis.uidai.gov.in/es/">http://qamis.uidai.gov.in/es/</a> . (Always Confirm latest url from your nodal officer) Fill information of approved centers only.		
2.7	Ensure that Pin code data for planned enrolment locations is checked in Pin Master of Aadhaar software, and is correct and complete. Review and Report missing/incorrect Pin codes.		
2.8	Mechanism in place to abide by UIDAI Document management policy and guidelines; Centre staff trained on best practices for document management as per UIDAI guidelines.		

2.9	Mechanism for Grievance Redressal and also an escalation matrix defined for addressing issues from field/UIDAI/Registrar.		
2.10	Mechanisms to ensure data security, privacy is put in place in accordance with UIDAI security policy for EA.		
2.11	Ensure IEC material as approved by Registrar is ready for display; Also display Name, Code, and contact number of EA Supervisor at enrolment centers.		
2.12	Upgrade/procure machine hardware as per latest configuration requirement for Aadhaar client software .		
2.13	Procure/Arrange other hardware and logistics as per latest Enrolment Centre Setup Checklist.		
2.14	Make sure UIDAI prescribed standard enrolment forms and Registrar forms (if any) are printed and available for distribution / pre- distributed to residents.		
<b>3. Personnel Training</b>			
3.1	Arrange for EA Admin to attend refresh technology training provided by UIDAI.		
3.2	All personnel trained in latest client software and updated on policy/process changes; Ensure trained and certified operators & supervisors undergo extensive practice for use of latest software.		
3.3	All Active Operator /Supervisors information is correctly uploaded at technology portal. Mechanism is in place to maintain the credentials updated.		
3.4	All blacklisted operator/supervisor are removed from enrolment operations as per stipulated timelines mentioned in the guidelines.		
3.5	Staff has uniform or distinguishing garment/s to wear at enrolment centre during operational hours; Field operators deployed for collecting pre-enrolment data issued identity cards.		
<b>Signed by:</b>			
EA Project Manager Name			
Designation			
Signature			
Registrar Nodal Officer Name			
Designation			
Signature			
UIDAI Nodal Officer Name			
Designation			
After the sign off on above sections, the EAs can continue to follow the checks listed below for their readiness. No sign off is required for this section.			
<b>4. Technology and Process</b>			
4.1	Install latest Aadhaar Enrolment Client software		
4.2	All latest master data files like credential, bank master, Pin code master and approved documents is imported into the client. For details, refer to enrolment client administrator manual.		
4.3	EA Administrator user has a portal Password and auth code for password for client registration		
4.4	Assign unique 5 digit station code to each client machine; Do		

	not have duplicate station ID even for two different Registrars		
4.5	Configure and Register the enrolment stations. For details, refer to enrolment client administrator manual.		
4.6	The Duly signed Registrar Certificate is imported on all client stations, where Registrar packets are generated		
4.7	Location codes assigned for each enrolment location by the Registrar have been incorporated in client machines during station registration		
4.8	Configuring the client for encryption engine for KYR+ integration .dat file where Registrar has opted for encryption of their .dat file		
4.9	Install compatible VDM software provided in Aadhaar client installation folder		
4.10	Disable integrated camera (for Laptop users only) in station machines		
4.11	Download and install latest version of Aadhaar SFTP client from <a href="http://upload.uidai.gov.in/">http://upload.uidai.gov.in/</a> for packet upload to CIDR. SFTP Client may be installed only on those stations which will be used for data packets upload.		
4.12	Make sure all deployed machines are active at technology portal and machines no longer used in enrolment are decommissioned as per policy.		
4.13	Thorough testing of KYR and KYR+ applications, KYR/KYR+ integration local language support, pin code availability done		
4.14	Ensure Operator/Supervisor/Introducer (OSI) are on boarded on the enrolment stations		
4.15	Suitable Address templates to be selected in the client as per location of deployment / Registrar instructions		
4.16	Working of all equipment and application at every station must be tested.		
4.17	Request sent for VPN account creation to UIDAI RO/nodal officer for viewing MIS reports and for hold packet correction		
4.18	VPN and MIS login and password received		
<b>5. Additional section below for New EAs who are undertaking Aadhaar enrolments for the first time</b>			
<b>New EAs can ignore 1st section on decommissioning</b>			
5.1	Are you Registered as an Enrolment Agency in UIDAI database		
5.2	Has your Registrar attached you as an Enrolment Agency at UIDAI tech portal		
5.3	Are you aware of the Local Language in which transliteration needs to be done in client software		
5.4	Have you shared your admin person's details with UIDAI tech centre		
5.5	Have you received auth user and auth code for client registration and portal passwords from UIDAI tech team		
5.6	Have your first Operator been enrolled, Aadhaar generated, certified and Activated in tech portal		
5.7	Are your other Operators and Supervisors active at tech portal as per your plan of deployment		
5.8	Pre enrolment data is loaded on laptops		

<b>Status Codes to be Used</b>	
<b>Description</b>	<b>Code</b>
Not Started	NS
In Progress	IP
Done	DN
Delayed	DL
Not applicable	NA

## **II. Supervisor's Roles and Responsibilities**

### **Who is a Supervisor and what are his/her qualifications?**

A Supervisor is employed by an Enrolment Agency to operate and manage enrolment centres. It is mandatory to have one Supervisor at each Enrolment Centre. To qualify for this role, the person should satisfy the following criteria:

- a. The person should be of age 18 years and above.
- b. The person shall be 10+2 pass and should preferably be a graduate
- c. The person should have a good understanding and experience of using a computer
- d. The person should preferably have prior experience of working in Aadhaar Enrolment program

### **Before starting work as a Supervisor:**

- a. The Supervisor should have been enrolled for Aadhaar and his/her Aadhaar number should have been generated.
- b. The Supervisor should have undergone training on the process of UID Enrolment and various equipment and devices used during Aadhaar enrolment.
- c. The Supervisor should have obtained certificate from a testing and certification agency appointed by UIDAI.
- d. For certification, Supervisor needs to register with UIDAI appointed certification agency for taking the test at a suitable time and test centre location.
- e. Supervisor must ensure that the Name and EID/UID provided during registration for test is same as that entered during Aadhaar Enrolment.
- f. The Supervisor should have been activated in accordance with UIDAI guidelines prior to commencing enrolments. The Enrolment Agency is required to have a unique ID for each, to activate them.

## **II. What are the responsibilities of an EA's Supervisor?**

At the Enrolment Centre, Supervisor's role is to plan and deploy logistics and other requirements at the enrolment centre, setup the enrolment stations at the enrolment centre and supervise the operations at the centre. When performing his/her role as a Supervisor at an Aadhaar Enrolment Centre, the Supervisor ensures the following:

### **1. Site Readiness**

- a. Enrolment Centre Setup Checklist is provided by UIDAI to facilitate the Enrolment Agency in setting up enrolment stations and centres. Supervisor must use the Enrolment Centre setup checklist to ensure that all requirements are met for the centre that he/she is responsible for. He/she must fill and sign the checklist at the beginning of each enrolment centre and/or once every week (whichever is earlier). This checklist needs to be maintained for later review/audit at every enrolment centre by Registrar/UIDAI and their nominated performance monitors/agency.
- b. Supervisor is responsible for setting up of the laptop/desktop with Aadhaar client installed and tested, attached with all devices and printer (or scanners when mandated) and ensure all equipment are in working condition to start Aadhaar Enrolments.
- c. Ensure that the latest Aadhaar Enrolment client software is installed.
- d. Ensure that the enrolment centre premises are neat and clean, hygienic, well maintained and safe from electric/fire hazards.
- e. Ensure that basic enrolment centre information as given below is displayed (in local language/English):
  - Name of Registrar and Contact Number
  - Name of EA & Contact Number
  - Working hours
  - Holidays
  - Help Line Number;1800 180 1947
  - Do not leave the centre without your acknowledgement receipt.
  - Name, Code, and contact number of EA Supervisor at enrolment centres
- f. Supervisor will also make sure that the Aadhaar IEC material provided by the Registrar is properly displayed at the centre, as per UIDAI guidelines.
- g. Ensure that the behaviour of staff at the enrolment centre is courteous towards the residents. Take charge where operator is not able to handle dissatisfied resident and prevent unpleasant situations.
- h. Where uniforms are provided, make sure that staff wears uniform at enrolment centre so that if residents need help they can easily identify employees by their attire.
- i. Do not undertake enrolment operations at locations without valid agreement with the Registrars.

## **2. On Boarding self and others**

- a. Supervisor must first get on boarded himself/herself by providing their own biometrics in the Aadhaar client software. On-board (Enrolled) User means user's biometric details verification at UIDAI is successfully completed and stored in local database at the enrolment station.
- b. Supervisor must make sure that all the Operators and Introducers for the enrolment centre are also on-boarded at the stations for local authentication.

## **3. Managing Centre Operations**

- a. Supervisor administers the enrolment process at his/her enrolment centre. He/she ensures adherence to the UIDAI enrolment processes and guidelines at the centre and good quality of data captured.

- b. Supervisor handles issues and concerns of operators and residents and manages escalations at the centre level.
- c. Supervisor also acts as an operator, when required, in exigencies.
- d. Supervisor is required to sign off every enrolment on Aadhaar client, where resident has a biometric exception.
- e. The EA Supervisor must ensure that every Operator is aware of and has a print copy of the critical points to be reviewed at the station during Resident's review of enrolment data.
- f. Supervisor must make sure that the Operator diligently reviews the data captured with resident for every enrolment and making corrections when pointed out by the resident.
- g. It is important that the Supervisor ensures that acknowledgement and consent are being printed after every enrolment and the printer and printing stationary is available for the same.
- h. Supervisor can hold End of Day meeting at the centre for sharing learning of the day and issues faced.
- i. Supervisor must take stock of the centre at the end of the day and make arrangements for replacement of faulty devices, hardware and other logistics for smooth enrolments the next day.
- j. Check devices periodically for scratches, out of focus images, only partial images getting captured. In case any such problem is noticed, it should be reported to the Manager/HQ and a change of equipment should be requested.
- k. Ensure all devices and computers are shut down. Check power is off to avoid accidents. Ensure security arrangements for devices and other equipments.
- l. Specific End of Day Reports are available on the client, for selected time period, to facilitate EA Operations. Supervisor can make use of these reports in managing day to day operations at the centre.
- m. Supervisor must ensure that staff at the centre observes the highest standards of ethics during the execution of Aadhaar Enrolments programme.
- n. Supervisor is also responsible for maintaining the confidentiality and security of the documents, data collected during Aadhaar enrolments.

#### **4. Backup, Sync and Export**

- a. Supervisor ensures twice a day data backup of all enrolment data to external hard disk as per UIDAI guidelines. Record date and station number where backup done to ensure that all stations are backed up and none is missed.
- b. Supervisor also ensures that enrolment stations are synched at least once in every 10 days.
- c. Supervisor manages timely data export of enrolment data for uploading to UIDAI server.
- d. Supervisor can maintain a register for data exported. Record date, station number and packets exported at each station for reconciliation purpose.
- e. Supervisor must correlate consent for enrolments to number of packets exported. Both numbers should match.

## 5. End of Day Review

- a. Supervisor must Review all enrolments of the day, End of Day (EoD), to ensure that data entered in the Aadhaar client is correct for each resident. Supervisor may also deploy a fellow operator on-boarded on the machine for end of day review. However, the operator who did the enrolment cannot review his/her own packets.
- b. In case any error/logical mismatch is found in the data entered, inform the resident to come to the enrolment centre within correction time frame. Supervisor must sign off by giving his/her fingerprint after End of Day Review.
- c. Once correction is done to the resident's data, the Supervisor will again manually Approve/ Reject the Resident's packet put on Hold earlier for correction, with appropriate reason if rejected.

## 6. Document Management

Supervisor also ensures safe handling and storage of enrolment documents as per UIDAI guidelines and transfer of the same to Registrar/UIDAI DMS agency (as per the instructions of the Registrar).

- a. Ensure one file/tray per station is maintained for documents storage
- b. Ensure docket (set of documents for a resident) in the order of enrolment and create a manifest of all documents.
- c. Create document batch with manifest in soft copy and hardcopy along with exception list (if any).
- d. Store documents/boxes indoor in a safe and secure place protected from fire, water and sabotage.
- e. Keep the documents/boxes in a lockable place with proper ventilation till transfer/pickup
- f. Once critical volume of docket is reached/at the designated frequency by the registrar, makes sure all the EID docket are moved securely to offices designated by the Registrar.
- g. Transport documents from enrolment centre to designated office only in properly sealed boxes tagged with manifest and packing list
- h. Handle enrolment documents with care and protect it from damage and theft.
- i. Avoid de-stapling, re-stapling or folding or excessive stacking of documents, it is recommended to store documents in boxes.

## 7. Performance Monitoring

- a. The Supervisor cooperates with the UIDAI/Registrar's monitors in performing monitoring and audit functions at the enrolment centre and answers their questions to the best of his/her knowledge. Supervisor details are recorded during performance monitoring and Supervisor also signs on the performance monitoring sheet along with the monitor.
- b. Supervisor ensures audit feedback, if any, is incorporated in process for continuous improvement of enrolment operations and data quality.<sup>1</sup>

<sup>1</sup> Registrar shall translate this document into local language



### **III. Operator's Roles and Responsibilities**

**Enrolment is free for the Residents.**

**Do not ask for any payment from the resident for enrolment.**

**Also make sure that no one steps in as a substitute for the resident when the enrolment is on.**

**Capture the demographic and biometric data of one resident at a time.**

**Who is an Operator and what are his/her qualifications?**

An Operator is employed by an Enrolment Agency to execute enrolment at the enrolment stations. To qualify for this role, person should satisfy the following criteria:

- a. The person should be of age 18 years and above.
- b. The person shall be minimum 10+2 pass.
- c. The person should have a basic understanding of operating a computer and should be comfortable with local language keyboard and transliteration.

**Before starting work as an Operator:**

- a. The Operator should have been enrolled for Aadhaar and his/her Aadhaar number should have been generated.
- b. The Operator should have undergone training on the process of UID Enrolment and various equipment and devices used during Aadhaar enrolment. Organising this training is the responsibility of the EA.
- c. The Operator should have obtained certificate from a testing and certifying agency authorized by UIDAI.
- d. For certification, Operator needs to register with UIDAI appointed certification agency for taking test at a suitable time and test centre location
- e. Operator must ensure that the Name and EID/UID provided during registration for test is same as that entered during Aadhaar Enrolment
- f. The Operator should have been activated, in accordance with UIDAI guidelines, prior to commencing enrolments. The Enrolment Agency is required to have a unique Operator ID for each, to activate them.

**What are the Ten Commandments that an Operator must remember during Resident Enrolment?**

At the Enrolment Centre, Operator's role is to capture Demographic and Biometric data of the resident getting enrolled. When performing his/her role as an Operator at an Aadhaar Enrolment Centre ensure the following "**Ten Commandments**":

1. Operator must first get on-boarded by providing his/her own biometrics in the Aadhaar client software. On-board (Enrolled) User means user's biometric details verification at UIDAI is successfully completed and stored in local database at the enrolment station.
2. Make sure to Login with your own Operator ID in Aadhaar client, for undertaking enrolments, and log off the application when going away from the seat so that no one else can use your login window for enrolments.
3. Every time on login, Operator must make sure that the date and time setting on the computer is current.
4. Make sure that the station layout is convenient for you as well as the Resident. The preferred layout is shown in the Resident Enrolment Process Document. Brief the enrolment process to resident before and during enrolment to put the resident at ease and facilitate data capture
5. When the resident comes for enrolment, first make sure from the photo on documents that they belong to the same resident whose enrolment is to be done. Confirm that the form and documents belong to the same resident who is getting enrolled.
6. Check that the resident's enrolment form is verified and carries Verifier's signature/thumb print and stamp/initials. The form must also carry Resident's (Applicant's) signature/thumbprint.
7. In case of Introducer/HoF based enrolment, the Introducer/HoF's signature/thumbprint should be available in the form along with their details filled in the fields provided for Introducer and HoF, respectively.
8. Capture demographic and biometric data of the resident in the Aadhaar client software. The Operator must ensure to follow the sequence of data capture as per the screens provided on the software client.
9. Make sure that the resident's screen is on all the time during the enrolment and ask the resident to cross check the data being entered and review demographic data with resident before signing off.
10. Print, sign and provide acknowledgement to the resident and take resident's signature on consent at the end of enrolment.

### **What are the UIDAI Guidelines for Demographic Data Capture?**

#### **Demographic Data Capture Guidelines:**

- a. Enter the demographic details of the resident from the verified enrolment form.
- b. Enter **all** the data in the Aadhaar software as provided in enrolment form. Even the non-mandatory fields like mobile number and email ID are important. UIDAI can get in touch with the resident using these details, if required, like in case of returned letters. Thus do not leave these fields blank where resident has provided this information. Similarly information sharing and banking consents should be carefully filled in the software client as per the enrolment form.
- c. If using Pre-enrolment data, the Operator will retrieve resident's demographic details using pre-enrolment ID. Make sure that the data pulled using pre-enrolment ID belongs to the resident getting enrolled, by confirming against enrolment form details. Do not limit the check to Name only and quickly confirm other details also like gender, age etc to make sure.

- d. Check and correct the pre-enrolment data as per verified enrolment form details. There can be errors in spelling, transliteration and completeness of pre-enrolment data that need correction.
- e. Pay attention to Data Aesthetics during demographic data capture. Avoid improper use of spaces, punctuation marks, capital & small letters during data capture.
- f. Leave those non-mandatory fields blank where no data is provided by resident. Do not enter N/A, NA etc. in fields where Resident has not provided any data.
- g. Filling Father / Mother / Husband / Wife / Guardian field is not mandatory for residents above the age of 5 years in case the adult is not in a position or does not want to disclose. Then select checkbox “Not Given” in “Relationship to Resident”.
- h. In case of children below the age of 5 years one of the parents’ or guardian’s name shall be recorded and UID or Enrolment ID (either of the two numbers) shall be recorded. This is mandatory.
- i. It is not compulsory for only father’s name to be recorded against the ‘parent’s name.’ Mother’s name can alone be recorded for the ‘parent’s guardian’s’ name if so desired by the parent.
- j. Enrolment of the parent is mandatory prior to the child. If the child’s father /mother / guardian has not enrolled or does not possess UID at the time of enrolment, the enrolment of that child cannot be done.
- k. For Head of Family (HoF) based verification Name, EID/UID of HoF and Relationship Details of the family member to HoF are mandatory details to be entered.
- l. Once Demographic Data is entered, Operator will capture the Biometric data of the resident.

### **What are the UIDAI Guidelines for Biometric Data Capture?**

#### **Biometric Data Capture Guidelines:**

- a. Check resident’s eyes and fingers for fitness (missing/amputated). If the resident has any deformities due to which it is not possible to take fingerprints/iris, these also have to be captured as a biometric exception.
- b. Check and indicate Biometric Exceptions in the software, only where applicable. Do not mark biometric exceptions where biometrics can be captured. It will be treated as ‘fraud’ and invite strictest penalty.
- c. In case of Biometric exception, always take the Exception photograph of the resident showing resident’s face and both hands, irrespective of the type of exception.
- d. The enrollee may not be in a position to keep herself / himself in correct posture for reaching biometric instruments or for photograph due to old age or sickness. In such cases the operator should arrange to take the biometric data by moving the equipment close to the enrollee.
- e. If the finger/iris of the resident has a temporary damage and it is not possible to capture the biometric, the Operator will record it in exceptions. The resident should later get his/her biometric updated.
- f. Capture Biometrics - Facial Image, IRIS and Fingerprints.

#### **1. Guidelines for Facial Image Capture**

- a. **Enrollee Position:** For capturing facial image, it is advisable for the operator to adjust the camera instead of the Enrollee to position herself/himself at the right distance or in the right posture. Frontal pose needs to be captured i.e. no head rotation or tilt. The resident should be instructed to be seated properly with their back upright and their face towards the camera.
- b. **Focus:** The capture device should use auto focus and auto-capture functions. The output image should not suffer from motion blur, over or under exposure, unnatural colored lighting, and distortion.
- c. **Expression:** Expression strongly affects the performance of automatic face recognition and also affects accurate visual inspection by humans. It is strongly recommended that the face should be captured with neutral (non-smiling) expression, teeth closed, and both eyes open and looking into the camera.
- d. **Illumination:** Poor illumination has a high impact on the performance of face recognition. Proper and equally distributed lighting mechanism should be used such that there are no shadows over the face, no shadows in eye sockets, and no hot spots. No light exactly above the enrollee should be used since it can cause shadows. Light should be diffused and placed in front of the enrollee so that there are no shadows under the eye.
- e. **Eye Glasses:** If the person normally wears glasses, it is recommended that the photograph be taken with glasses. However, the glasses should be clear and transparent. Dark glasses /tinted glasses should be taken off before taking the photograph.
- f. **Accessories:** Use of accessories that cover any region of the face is not permitted. For example, women in purdah would have to reveal the full face before the photograph is taken. Similarly women in Ghoonghat would have to clearly reveal the full face before the photograph can be captured. The head may remain covered but the full face contour should be visible.
- g. Further, accessories like turban/head gear are also allowed as religious/ traditional practices.
- h. However, accessories like eye patches are allowed due to medical reasons. This would also mean an exception needs to be recorded for Iris, because only one Iris can be captured.
- i. Operators need to be trained to obtain the best possible face images that satisfy requirements. Even if the quality flag is green but the Operator is able to judge that a better picture can be taken, then same should be attempted. However, it should be borne in mind that recapture should not become harassment for the resident.
- j. For children, it is acceptable that the child sits on parent's laps, but it needs to be ensured that parent's face is not captured along with child's face. The background may get rejected due to non white screen in case of children but two faces should not get captured in one picture.
- k. Actionable feedback needs to be checked for captures that fail. Some of the actionable feedbacks in software are:
  - No face Found
  - Enrollee too far
  - Enrollee too close (eye distance in input image is greater than one third of image width)
  - Pose (Look Straight)
  - Insufficient lighting
  - Very low face confidence (faceness, object not identified as human face)

- Non-uniform lighting (of face in output image)
  - Incorrect background (in output image)
  - Insufficient lighting (bad gray values in face area of output image)
- l. If any biometric exceptions have been specified on the demographic screen, these should be captured as photographs on the Photograph screen.
- m. Only facial image is captured for children below 5 years. Iris and fingerprint screens will not get activated for children below 5 years

## 2. Guidelines for Capturing Fingerprints

- a. The images of all the ten fingers are to be captured. The fingerprints must be captured in the sequence of slaps of four fingers of left hand, right hand followed by the two thumbs.
- b. The fingers have to be positioned correctly on the platen to enable capture. There should be no direct light shining on the platen. Use the Indicators on fingerprint devices for positioning of fingers. The fingers should be placed in right direction on the device. Please consult the manufacturer manual incase of any doubt or else consult the supervisor.
- c. Use a lint free cloth periodically to clean the platen of the finger print device for good finger print capture
- d. Check devices periodically for scratches, out of focus images, only partial images getting captured. In case any such problem is noticed, then report to your Supervisor/HQ and request for change of equipment.
- e. Fingerprints cut off, wet/smudged fingerprint; very light prints due to insufficient pressure will result in poor quality. The resident's hands should be clean (no mud, oil etc.). Ask resident to wash hands with water and soap, if necessary.
- f. The fingers should not be excessively dry or wet. Moisten with a wet cloth or dry finger with a dry cloth
- g. The Enrollee should be requested to place all four fingers of the **left hand/right hand/two thumbs** to platen of the fingerprint scanner for the four-finger capture to ensure good contact and maximize the area of the captured fingerprints. Ensure that the fingers are placed flat and till the top joint of the finger is placed well on the scanner. The top of the fingers should be within the platen area and not outside the defined area.
- h. If **automatic** capture does not happen, the operator should force the capture when force capture tab is enabled in the enrolment software.
- i. The operator should check the actionable feedback when capture fails. Some actionable feedbacks provided by software are:
- Number of fingers present does not match with expected number of fingers
  - Finger not positioned correctly
  - Too much Pressure (duty cycle)
  - Too little pressure
  - Central region missing
  - Excessive moisture (wetness)
  - Excessive dryness
- j. The operator should visually check the image for quality and for typical problems. In case there are problems go back to steps above to retry the capture.

- k. When image quality is pass or if maximum number of captures are exhausted , move on to the next step .
- l. Fingerprints are best captured in standing position
- m. In case of additional fingers, ignore the additional finger and capture the main five fingers.
- n. Make sure your own fingerprints do not get mixed with the resident's fingerprints. Operators can carefully put small pressure on the resident's fingers to capture the fingerprints but always make sure not to mix your own fingerprints.

### **3. Guidelines for Capturing Iris**

- a. The operator and not the Enrollee will handle the capture device, generally.
- b. Children can be told that it is like taking photos/pictures so that they are not apprehensive.
- c. The Enrollee will be required to sit in a fixed position, like taking a portrait photograph.
- d. The software is able to measure the iris image quality. An initial image quality assessment would be done to provide feedback to the operator during the capture process. The software alerts the operator with actionable feedbacks, if the captured iris image is of insufficient quality. Some actionable feedbacks provided by software are:
  - Occlusion(significant part of iris is not visible)
  - Iris not in focus
  - Gaze incorrect(resident looking away)
  - Pupil dilation
- e. The iris capture process is sensitive to ambient light. No direct or artificial light should directly reflect off Enrollee's eyes.
- f. The device should be held steady. Incase device requires to be held by resident, the enrolment operator/supervisor may help the resident to hold the device steady.
- g. Table light used for facial image capture should be switched off during iris capture. Direct sunlight or any other bright light shining on resident's eye will create reflections and result in poor quality image.
- h. Operator must instruct the resident to look straight into the camera, open eyes wide open (one easy way to do this is to ask the resident look angry or stare) and do not blink during iris capture. Resident has to be stationary.
- i. If resident is experiencing difficulty during Iris scan and recapture is required, then the operator may navigate to next screen to capture other details and then return to Iris capture. This will relax the resident from constant pressure to keep eyes wide open during iris capture.
- j. The Operator needs to be patient during capture and wait for the device response instead of scrolling, navigating back and forth on screen.

#### **How does the Operator Review Data with the Resident?**

The Operator must show the data entered to the resident on a monitor facing the resident and if required, read out the content to the enrollee, to ensure that all details captured are correct. During Review of the enrolment data with resident, Operator must read out critical fields to the resident before the Operator Finishes the Enrolment.

- a. The Operator must reconfirm the following fields :
  - Spellings of Resident's Name

- Correct Gender
  - Correct Age/Date of Birth
  - Address – Pin Code; Building; Village/ Town /City; District; State
  - Relationship Details – Parent/Spouse/Guardian ; Relative Name
  - Accuracy and Clarity of Photograph of the resident"
- b. In case of any errors, Operator must correct recorded data and review again with the resident. If no corrections are required, resident will approve the data.

**What Does the Operator do after Capturing Demographic and Biometric Data of the Resident?**

- a. The Operator will then provide own Fingerprint to sign-off the data captured for the resident. Make sure that the fingerprint given is good quality. Use the Indicators on fingerprint devices for positioning of fingers. The fingers should be placed in right direction on the device.
- b. Do not allow anyone else to sign for an enrolment that you have done. Do not sign for enrolments done by others.
- c. Operator will get the Supervisor to Sign Off in case enrollee has biometric exceptions
- d. In case the verification type is selected as Introducer/HOF, get the Introducer/HOF to sign off on the review screen.
- e. If the Introducer is not physically present at the time of enrolment select the check box "Attach later" so that the enrolment can be verified by the Introducer at the End of the Day.
- f. Operator can select the language in which the legal/declaration text on print receipt shall be printed on consent.
- g. Operator must ask the resident his/her preferred language in which the receipt must be printed. On selection of any of the declaration language option, the print receipt will be printed in the selected language i.e. English or any local language set on the configuration screen.
- h. Take Resident's signature on consent and file the same along with resident's other documents. The Resident's consents are important as they are resident's approval/disapproval, to the UIDAI, sharing his/ her information with agencies engaged in delivery of welfare services and opening/linking of Aadhaar enabled bank account.
- i. Sign and Provide Acknowledgement to resident. The acknowledgement is a written confirmation of the resident getting enrolled. It is important for the resident as it carries the enrolment number, date and time that the resident will need to quote when interacting with UIDAI and its Contact Center for information on his/her Aadhaar status. The enrolment number, date and time are also required if any correction in the resident's data is required to be done using Correction process. Thus the operator must make sure that the acknowledgement and consent printed is clear and legible.
- j. While handing over the acknowledgement to the Resident, the Operator must inform below to the resident
  - The Enrolment Number printed on acknowledgement is not the Aadhaar number and that the Resident's Aadhaar number will be communicated through a letter subsequently. This message is also printed in acknowledgement.
  - The resident must preserve his/her and the children's Enrolment Acknowledgement Slip for future reference.

- In case of introducer based enrolment, the introducer will have to properly sign off within the specified period and Resident's Aadhaar is subject to endorsement by a valid Introducer.
- There is a 96 hour period during which the resident's data correction, so in case of any mistake they should avail this facility.
- To know the Aadhaar Generation Status they can call the Call Centre or log on to e-Aadhaar portal/Aadhaar Portal/website.
- Aadhaar number will be delivered by the local post office/or other designated agency in the address provided at the time of enrolment.



## **What are the Document Management Guidelines of UIDAI?**

### **Maintaining Document Hard Copies**

- a. Where hard copies of documents are being stored, the Operator will collect the following documents from the resident:
  - Filled and Verified Enrolment Form – for each enrolment
  - Copy of Proof of Identity (PoI)– for document based enrolment
  - Copy of Proof of Address (PoA) – for document based enrolment
  - Copy of Date of Birth (DoB) ; in case of Verified Date of Birth only
  - Copy of Proof of Relationship (PoR) in case of Head of Family (HoF) based enrolment
  - Consent – for each enrolment
- b. Ensure clarity and quality of submitted document copies.
- c. Ensure correct documents are collected against PoI, PoA, DoB & PoR
- d. Keep documents during enrolment in tray and do not fold them
- e. Upon completion of enrolment, immediately collate the set of documents and staple it at left hand corner. Ensure documents for a resident are tagged together along with enrolment form on top. Ensure all documents in one set belong to one resident.
- f. Store documents in proper box and avoid folding and excessive stacking
- g. Protect documents from direct sun light, inflammable material, dust and water. It is recommended to use plastic covers to store set of documents to protect against environmental hazard.
- h. Avoid writing on documents, this may create confusion for operators in later phases of the process
- i. Avoid tying up documents using rope or packing tapes directly, this will permanently damage documents, if tying up is unavoidable use PET Straps with edge protectors
- j. File documents in order of enrolment
- k. Handle enrolment documents with care and protect from damage and theft.
- l. Make sure to hand over the documents to your Supervisor/ other assigned authority at the end of the day

### **Maintaining Scanned Documents (when scanning process is introduced)**

- a. The Operator will scan Originals of each of the documents below depending on the type of enrolment:
  - Enrolment Form – For each Enrolment
  - PoI, PoA – For document based enrolments
  - DoB document – For Verified Date of Birth
  - PoR – For Head of Family Based Enrolments
  - Acknowledgement cum Consent – For each Enrolment after Operator and Resident's signature
- b. In instances where Original documents are not available, copies attested / certified by a public notary / gazetted officer will be accepted.

- c. The documents are scanned in a sequence and all document scans are standard size (A4).
- d. Make sure that the desired portions (the data entered during Aadhaar enrolment) of the document are visible clearly in the scan and the document pages do not overlap.
- e. Each scanned page must be legible and without any marks due to dust and scratches. Remove the previous scan and re- scan a document where required.
- f. Once all document pages are scanned, the Operator can see and check the total no. of pages scanned and confirm that all pages are scanned.
- g. Return all the original documents and Enrolment Form to the resident. Also handover the acknowledgement cum Consent to the Resident.

### **How does the Operator perform Correction in Resident's Data?**

#### **Correction Process**

- a. For correction in any of the above data of a resident, the Operator must use Correction menu on software client. Resident data can be corrected within 96 hours of the resident's enrolment and in the presence of the resident.
- b. The EA must restrict all corrections in a Residents data to only one time.
- c. The following requests for changes are included in the scope of the Correction Process:
  - All demographic fields i.e., Name, Address, Gender, Date of Birth / Age\*
  - Information sharing consent
  - Relationship to resident
  - Mobile
  - Email Address
  - NPR Receipt Number
  - Relationship Details(Relation type, Name and EID/UID)
  - Introducer Name and UID
- d. If originally the resident was enrolled as a child below 5 years of age it is invalid to correct the resident age to above 5 years because for above 5 we require biometric data as well which would not have been captured during enrolment.
- e. The previous Enrolment ID of the resident needs to be entered for correction of resident's old data. Check resident's acknowledgement letter for taking Enrolment number, date and time of enrolment for correction.
- f. PoI, PoA and Parent/Guardian's acknowledgement letter will also be required at the time of correction process depending on the type of correction.
- g. A change in Name would require either a verified Enrolment Form and PoI document or an Introducer's Name and UID. A change in Address would require either a verified Enrolment Form and PoA document or an Introducer's Name and UID. A change in verified DoB would require a verified Enrolment Form and DoB certificate. If the correction is in data for a child below 5 years of age, then parent details of relationship type, relative name and EID/UID of parent/guardian is also mandatory.
- h. Only the fields that need a correction are entered in the Correction menu of the software. Fields that are good in original enrolment are not to be retyped during Correction.
- i. The resident's photo is also captured during correction process.

- j. The correction in data will be reviewed with the resident and any one of the biometrics of the resident (provided in drop down menu on client) will also be taken to confirm that the resident is OK with corrections.
- k. In case the resident is child below 5 years, the biometric of the parent/guardian whose details are entered in the relationship fields, will be taken. The Operator will sign off the enrolment and Supervisor, Introducer sign off will be required in biometric exceptions and Introducer based verification respectively.
- l. An acknowledgement and consent of correction will be printed at the end of correction process along with the Resident's photo. The acknowledgement of correction will be signed by Operator and handed over to Resident. The consent will be signed by the resident and filed by the Operator along with the other documents of the resident<sup>1</sup>

<sup>1</sup> Registrar shall translate this document into local language

#### IV. **Registrar Roles and Responsibilities**

##### **Who is a Registrar?**

"Registrar" is any entity authorized or recognized by the UID Authority for the purpose of enrolling the individuals for UID numbers. Registrars are typically departments or agencies of the State Government/Union territory, public sector undertakings and other agencies and organizations, who interact with residents in the normal course of implementation of some of their programs, activities or operations. Examples of such Registrars are Rural Development Department (for NREGS) or Civil Supplies and Consumer Affairs Department (for TPDS), insurance companies such as Life Insurance Corporation and Banks.

Registrars will collect demographic & biometric data from residents directly or through Enrolment Agencies. Registrars have the flexibility to collect additional data, which will be referred to as 'KYR+' fields for the various applications they have in mind.

The UIDAI has developed standards, procedures and processes, guidelines and technology systems to execute the entire Aadhaar enrolment process which will be adhered to by the Registrars. Registrars can also leverage the Ecosystem that has been built by the UIDAI in order to support them in this process.

##### **How does the Registrar get started on UIDAI project?**

The UIDAI has also defined a detailed **Registrar Onboarding Process** and Guide in order to support Registrars across the stages of becoming Aadhaar Ready. A high level summary of it is in this document:

##### **1. Setting Up Committees and Joint Working Groups**

- a. Set up Apex/ Empowered Committee headed by CM and an Implementation Committee headed by Chief Secretary. It is recommended that UIDAI Regional Office and State UIDICs must coordinate with the State Registrars (SRs) and Non State Registrars (NSRs) in their States to increase accountability across stakeholders and facilitate the working of NSRs in tandem with SRs.
- b. Identify Nodal Department for Aadhaar; Identify Departments which will act as Registrars along with a nodal Officer.** Other Departments which are not included as Registrars in the project at the time of enrolment, will have the option of 'Aadhaar enabling' their systems at a later date. The Nodal and the Registrar departments can be the same department or different departments.
- c. Ensure MoU is signed**
- d. Identify Agency for Receiving financial assistance for enrolment:** The UID Authority provides some financial support to its Registrars per successful enrolment into the UID system. To operationalise this arrangement, the Registrars will have to provide the details of the Registrar (name and account details) through which they would like to receive the amount.
- e. Setup Joint Working Group** – headed by the Head of the Nodal/Registrar Dept. The other members should be Officers, who can lead the Technology, Process, IEC, Applications teams from the Registrar's side. UIDAI will nominate appropriate representatives to assist the State Government/Registrars in carrying through the entire process. Bank representatives may be included where the Financial Inclusion (FI) solution is a part of enrolment.

- f. Ensure smooth functioning and active participation of the working group during UIDAI – Registrar alignment.
- g. Ensure deliverables / project plan activities as mentioned in the UIDAI Registrar Readiness Checklist (RRC) are executed. Update RRC along with UIDAI nodal officer and EA at each stage. Hand over the signed checklist to Regional Office/Nodal Officer.

## 2. Sensitization Workshops

- a. A series of sensitization workshops are held to provide an overview of Aadhaar, enrolment and IEC approach, roles and responsibilities at State/District/ Village levels, enrolment strategy and plans.
- b. This will be followed by a set of sub-group workshops and meetings with members of the process, technology, IEC and applications teams respectively to identify the key areas of integration and implement the same. Ensure that Registrar's technology, process & IEC aspects are aligned with UIDAI.
- c. A "Go Live readiness Workshop" will be scheduled 2-3 weeks before scheduled 'go-live' date to take stock of the implementation status on items required to start enrolments.
- d. Registrar must advise UIDAI's focal point on modalities for setting up the on-boarding workshop and should ensure that the required stakeholders and members of working group attend the workshop.
- e. **Define the role of Civil Society Organizations (CSOs)** in the enrolment process and develop a panel of CSOs at the local level who can help enrol marginalized communities. Social Inclusion is a mandatory requirement for registrars. Special enrolment drives should be initiated by registrars in consultation with ROs for the underprivileged, various vulnerable groups and disabled persons.

## What are the Responsibilities of the Registrar under the Aadhaar Project?

A high level summary of various roles and responsibilities of Registrar are:

## 3. Enrolment Planning

- a. As a part of the Enrolment Planning workshop, the Registrar is advised to finalize the **targeted enrolment** nos., locations to be covered and timelines for the same. This data can in turn be used to plan the no. of Enrolment Stations needed, locations for the same, devices needed, operators to be staffed etc.
- b. Registrars will also decide **enrolment approach** (phased, sweep etc). It is strongly recommended that the Registrar enrol all residents of the locality and not limit it to their beneficiaries/ customers. 'Sweeping' all residents will give Registrars the benefits of economies of scale and optimizing on the cost of enrolment per resident.
- c. Finalize plan to **include marginalized/vulnerable** communities & areas for CSO involvement. Special enrolment drives should be initiated by registrars in consultation with ROs for the underprivileged, various vulnerable groups and disabled persons.
- d. Identify area of interest for **Aadhaar-enabled applications**. Identify govt remittances which can be routed through Aadhaar-enabled Bank accounts. Registrars should link their UID enrolment activities to their core programs and citizen centric service delivery.
- e. Registrar will work with the UIDAI to identify Banks to partner with for **Financial Inclusion** solution. Define processes as required to implement the Financial Inclusion solution.

f. At times, Registrar's may have to hold special camps or call residents for re-enrolment like in case where EA machines get stolen or where Resident data packets are irrecoverable due to process/technology failure. Registrar must keep the EA apprised that such situations may arise and they have to be prepared for re-enrolment of residents in such cases.

g. Registrar must keep the local authorities, Introducers, Verifiers and other stakeholders informed of enrolment schedule

In order to start enrolments, the Registrar has to complete the following activities, many of which can run in parallel and would have commenced post the Project Initiation Workshop

#### **4. Enrolment Agency Selection and On-boarding**

##### **a. Identify Enrolment Agencies (EA)**

- Registrars may engage Enrolment Agencies for the purpose of enrolling resident into Aadhaar. Registrars will share the details of hired Enrolment Agencies with UIDAI.
  - Registrars are advised to engage only Empanelled Enrolment Agencies. If non-empanelled agencies are engaged, they must be subject to the same terms and conditions as the empanelled agencies.
  - New contracts should include a clause of continued empanelment mandatory for continuation of work. Model RFP/Q templates and the list of empanelled agencies have been published on UIDAI website.
  - **No Sub Contracting** – Subcontracting has serious impacts on the quality and security of data. Agreement with enrolment agencies should have conditions to discourage sub-contracting. However field level manpower such as enrolment operators and supervisors can be hired through third parties. EAs should be asked to provide details of the companies from which they are going to hire this manpower.
- b. **Onboard EA** - EA Project & Technology managers need to be identified and added in JWG. Initiation Workshop for EA needs to be held by Registrar and UIDAI to provide detailed enrolment process & implementation overview.
- c. Identify Enrolment Agency related requirements of EA training, device/resource capacity planning.
- d. Procure infrastructure and equipment including certified biometric devices as per standards defined by the UIDAI, through the designated enrolment agencies.
- e. It is recommended that the Registrar must insist on Enrolment agencies using only trained operators/supervisors. All Enrolment Operators need to be tested and certified; keeping in mind the significant impact they have in collecting good quality and accurate data from residents.

#### **5. Enrolment Centre and Stations**

##### **a. Enrolment Centers and their Location**

- Registrar will identify and co-ordinate for suitable locations where Enrolment Centers may be setup keeping in mind law and order, terrain, local weather conditions, security, power availability, approach/access to the area and lighting. Refer Resident Enrolment Process document for Centre selection guidelines.
- **Non-state registrars** should work in coordination with ROs and state nodal departments. NSRs should also have enrolment centres only in and around their premises to ensure close supervision. Bank NSRs can also be allowed to enrol through special camps provided that they have cleared these enrolment plans with the State UIDIC &/or the State Nodal officer.

- Registrars should plan for setting up **permanent enrolment centres**. Registrars need to maintain at least a skeletal enrolment network in their respective locations, after the ‘enrolment sweeps’ are completed to facilitate on-going enrolments and updation.

#### **b. Decide Number of Stations for Each Centre**

- The number of stations can be decided based on the target number of days for completion of enrolment in the particular area or the district and the expected number of enrolees in the area. Model RFP published on UIDAI website provides an excel sheet for facilitating calculation of number of stations.
- Tables, lighting, backdrops, height of table, chairs, positioning of resident and operator, and issue of direct sunlight for photo capture, all these need to be considered for enrolment station setup.
- Ensure Setup & registration of enrolment stations as Active production machines with UIDAI. The enrolment agencies may be asked to submit their machine deployment plans and their preparedness as per a prescribed checklist. ROs will assess the preparedness of the Registrars and EAs and may then allow the on-boarding of stations.
- Registrar must Review the **Enrolment Centre Setup checklist with Enrolment Agency** and verify if all required activities are completed.

#### **6. Define KYR+ fields**

The AADHAAR Enrolment Client application captures the KYR (Know Your Resident) data. The registrars may require capturing some other registrar specific fields related to residents called as KYR+ data. For example, in case of PDS data, information such as APL (Above poverty line), BPL (Below poverty line), Family Details, etc. may be collected as part of KYR+ data. If any KYR+ fields are to be collected, define those fields and initiate technology integration with respect to data capture API and logistics. However, experience suggests that the number of fields proposed to be captured at the enrolment station must be kept at minimum as residents cannot be expected to bring multiple documents at the time of enrolment.

#### **7. Pre-Enrolment Data**

Registrar may want to complete the demographic data capture and verification ahead of the biometric capture. This step is called pre-enrolment. In case where Registrar has a good database, Registrars can share this with Enrolment Agencies to pre-populate the AADHAAR Enrolment Client. This data would reduce the effort and time of the enrolment operators during data capture process at the enrolment centres during resident’s presence. The details of the database need to be discussed and sent to UIDAI in advance in prescribed format and aligned to UIDAI requirements. However, pre-enrolling residents is not mandatory.

## **8. Check Pin Code Master**

Registrar must Review and get Pin code master data corrected and completed prior to start of enrolments in the region. Registrar should provide list of PIN codes to be corrected in PIN codes master to UIDAI using existing Pin Code correction process.

## **9. Review list of Approved documents**

UIDAI has defined a list of valid documents to be used during Aadhaar enrolment process as Proof of Identity (PoI), Proof of Address (PoA), Proof of Relationship (PoR) and Date of Birth (DoB). However, UIDAI and Registrars have the authority to amend and enlarge the list of PoI and PoA documents in some exceptional circumstances. Registrars may add any other required document not in the list, in consultation with UIDAI Regional Office. The Enrolment Agencies will then download the master for documents in the client stations, pertaining to the Registrar, for use during enrolment.

**10. Send local language requirements** for contact centre, enrolment client (label/text, transliteration). Complete local language translation for labels, print receipts/letter in coordination UIDAI.

## **11. Biometric data need of registrar identified**

Registrars may analyse their requirement for resident data and capability to securely manage and store data. It is not necessary for Registrar to store resident's biometric data. Registrars are, instead, encouraged to adopt online authentication offered by UIDAI – this will require no local/offline storage of biometric data in registrar applications. However, if the Registrar decides to store the biometric data, then Registrar will have to share a plan to retrieve, manage and store data with UIDAI, for UIDAI to start creating Registrar data packets.

## **12. Provide registrar public key for data encryption**

Registrars must provide their public key to the UIDAI for the purpose of encrypting the EID-UID mapping file that UIDAI will share with Registrars after Aadhaar generation. Encrypting using Registrar's public key provides a layer of security and is prescribed by UIDAI for data transfer. Registrar must contact UIDAI for details on public/ private key requirements.

## **13. Decryption Utility**

Registrars must develop their own decryption utility for decrypting the EID-UID mapping file. Registrar should also successfully test file decryption.

## **14. Develop Registrar Technical requirements**

Registrar will require technical personnel/system integrators for developing their technical requirements for

- a. Pre-enrolment data capture
- b. KYR+ application
- c. Document storage



- d. Registrar packet transfer/ management & usage
- e. Decryption utility
- f. First mile i.e. data transfer from Enrolment Centres to UIDAI and Registrar
- g. KYR+ data transfer, automating EID-UID mapping in KYR+ database
- h. Receiving EID-UID mapping file from CIDR. Registrar must be ready to receive and update Registrar DBs with EID-UID mapping
- i. Other activation and portal workflow related requirements

## **15. Other Technology side Requirements**

There are some requirements that the Registrar will need to do for integration with UIDAI database:

- a. Get set up as a Registrar in UIDAI database. Send requisite details in prescribed format to UIDAI.
- b. Receive Registrar code, login and password for technology portal and SFTP application
- c. Then Attach EAs on technology portal to establish Registrar – EA linkage.
- d. Update and activate Introducers list on technology portal
- e. Receive and download SFTP application
- f. Define Location Codes – Registrar can assign location codes to each of its schedule and this code can be used by Enrolment Agency in client machines when conducting enrolments in the particular region. The assignment of location codes will help in generating enrolment reports by location code which can be helpful for payment purposes. Registrar’s supervisors at Enrolment Centres will have to monitor the use of correct location codes by Enrolment Agency.
- g. A representative of the registrar performs the system configuration and registration once the software is installed. Normally the Registrar may ask the EA to perform the installation and configuration. In such a case, the configuration and Registration may be done in presence of Registrar’s representatives and/or Registrar must regularly check the registration details on the client like location code, Registrar and EA name etc.
- h. Work flow related requirements – At times Registrar may be asked to intervene and given a role in a process workflow for example in cases where resident data packets are on hold due to specific reasons. Registrar will have to complete the given responsibility in a defined time period in such cases.

## **16. Registrar software readiness and their integration to Aadhaar software**

Registrar must check Aadhaar Application Software is ready for deployment with pincode data corrected, registrar public key and local language support included. Test Registrar’s own software and their integration with Aadhaar software.

## **17. Information, Education & Communication**

Registrar will define an integrated IEC Plan & Material leveraging the content developed by the UIDAI. The UIDAI’s IEC guidelines list in detail the different kinds of stakeholders to engage (PRI members, introducers, CSOs, etc.) and the recommended messages and media to use for each of them. The IEC plan lists the activities to be triggered 45/30/15/ 7 days before commencing enrolments.

Registrars must coordinate with UIDAI IEC team for details on their IEC responsibilities.

## **18. Identify and Deploy Introducers**

Registrars will need to identify Introducers who can help enroll beneficiaries who lack PoA/PoI documents.

- a. Registrar identifies introducers region wise and prepares list by District/State in which the Introducer is authorized to work. Registrars can also leverage CSOs to better reach marginalized residents, act as Introducers, and build awareness among them to mobilize enrolments from this group.
- b. Based on inputs from UIDAI, review and finalize list of Introducers and notify the same in a public manner.
- c. Introducers need to be enrolled in advance and have their Aadhaar numbers generated, registered and activated in Aadhaar database. Organize camps for enrolment of Introducers to ensure that all Introducers on the final list are enrolled into the program.
- d. Introducer workshop is held to appraise them about their roles & responsibilities
- e. Introducers are required to sign consent to being a Introducer which is stored by the Registrar. Introducer consent form format is provided by UIDAI.
- f. Put in place systems to ensure ongoing monitoring of the Introducer list occurs at regular intervals. Based on performance, make changes/additions to the list as required and share with UIDAI. Ensure that both UIDAI and the Registrar have most up-to-date list of Introducers at all times.
- g. Publicise the Introducer concept to make residents aware. Provide the resident information about acceptable Introducers. Publish list of Introducers and Verifiers at the enrolment centres along with their contact details. Detailed guidelines on Introducer selection, Introducers roles and liabilities are defined by UIDAI and published on UIDAI portal.

## **18. Identify and Deploy Verifiers**

Registrar must appoint Verifiers for every centre.

- a. Firm up Verification process. Shortlist the Verifiers and Registrar's supervisor. Schedule camps to educate verifiers.
- b. The Registrar must ensure physical presence of verifiers during the operational hours of the enrolment centre and may appoint more than one Verifier in a center, if and where required. The performance of Verifiers may be monitored by the Registrar.
- c. The list of all Verifiers must be notified, by designation, by the Registrar before commencement of the enrolments and the list should be shared with the Regional office concerned.
- d. They may be paid by the registrars out of the financial support provided by UIDAI to Registrars on successful Aadhaar generation.
- e. Roles and Responsibilities of Verifiers are defined by UIDAI.

## **19. Personnel for Grievance Redressal**

- a. The registrar is expected to put in place a Team that would serve to quickly address any matters requiring resolution that may pertain to the Registrar, but may be conveyed to the UIDAI Contact Centre. The Time taken for resolutions is to be finalized jointly.

- b. Registrar should also identify an Officer to whom all relevant grievances may be forwarded and two senior officers for managing escalations of the same.

## **20. Print and distribute Enrolment Forms**

- a. Enrolment form is designed by UIDAI for capturing Aadhaar enrolment data.
- b. Registrar can have a separate form for capturing KYR+ data.
- c. Enrolment agency must ensure that the forms are available/ distributed free of cost at the enrolment centres.

## **21. Data Transfer**

- a. Finalise, with EA, Resident Data packets transfer modalities. Data can be transferred to UIDAI using online SFTP mode or through hard disks/memory sticks sent through suitable courier service.
- b. Also define KYR+ and registrar data packet transfer mode and frequency.

## **22. For Document Management**

UIDAI mandates storage of Enrolment form, PoI, PoA, DoB, PoR, and consent. These documents carry important and confidential resident information. UIDAI urges to handle enrolment documents with care and protect it from damage and theft. Registrar must do the following:

- a. Identify whether the documents would be stored in hard copy/soft, scanned copy
- b. Setup a mechanism for collecting and securely storing all the documents submitted by residents during enrolment till the UIDAI appointed DMS service provider collects document from registrar offices and provide receipt of the same.
- c. Upon accumulation of specified batches of documents at one site, intimate UIDAI's DMS service provider for pickup of documents, handover documents and obtain sign off. Detailed process and guidelines of Document management and Registrar's role in same are published by UIDAI in Document Management Process.
- d. If Registrar wants to store any additional documents, they may develop their own process for storing and managing those documents.

## **23. Provide requisite data to Contact Centre**

The UIDAI has set up a Contact Centre for concern and issues that residents or UIDAI eco system partner may have in terms of enrolment, authentication and identity frauds etc. This contact centre serves as a single point of contact for the organization. Certain information is required by the contact centre, from the Registrar, related to enrolment exercise in their area. Registrars must furnish such details to the Contact centre to help effective functioning of the centre.

## **24. Monitoring and Audits**

Registrar is responsible for Field level execution, monitoring and audit.

- a. Audit enrolment centre readiness, EA processes and their effectiveness. It is recommended that Registrars setup a process to audit the performance of Enrolment Agencies and other partners they engage with.

- b. Registrar must conduct sample audits in the entire gamut of enrolment process and data quality, training, logistics, grievance resolution and updation processes for controllership purposes.
- c. Enrollment Agencies have to ensure adherence of IEC norms and to deploy IEC elements in a judicious and practical manner.
- d. Monitor the performance of Introducers and Verifiers.
- e. The Registrar may also undertake appropriate measures such as monitoring of payment to operators' and supervisors' bank accounts, regular audits of EAs and enrolment centres, etc. to prevent sub-contracting.
- f. Randomly Review Acknowledgement and Consent data against PoI, PoA documents to ensure that data entered in the software is correct for each resident. In case any error is found in the data entered, inform the EA Supervisor and/or resident to initiate data correction.

## **25. MIS**

Registrar must develop their own MIS systems for execution, monitoring and control. Registrar may help provide UID with reports/insights in significant issues as and when required by UIDAI.

## **26. Data Protection and Security Guidelines for Registrars**

Registrars have a fiduciary responsibility and have to exercise a duty of care to secure and protect all the data (demographic and biometric) collected from the resident. UIDAI prescribes broad measures for data protection and security to be adopted by Registrars. Registrars must refer and abide by the same.

## **27. Enforcement of UIDAI's suspension/debarment/ dis-empanelment decisions**

UIDAI monitors the performance and data quality of Enrolment Agencies and their Operators and Supervisors on a continuous basis. UIDAI has formulated a suspension policy for non-compliant EAs and their Operators and Supervisors.

Registrar will be notified of the action where suspension/debarment/ dis-empanelment criteria are met. Registrars must get in touch with the UIDAI Regional Office and take immediate appropriate actions when intimated of such decisions.

## **28. Enforcement of UIDAI's Returned Letters policy**

A report on returned letters will be shared by UIDAI with Registrars. Registrars must Review and investigate the various reason codes for Returned Letters. Where possible and required, Registrars may contact the Residents and educate residents on how to get in touch with contact center for their Letters. Registrars may involve/take help from India Post in investigations.

## **29. Ensure UIDAI Exit Policy requirements are fulfilled**

If and when Registrar decides to exit the Aadhaar enrolment programme, they must fulfil requirements and sign necessary documents to meet the requirements of UIDAI's exit policy. Registrars Readiness Checklist for Refresh is attached as Annexure IX (C).

**Annexure IX (C) Registrar Readiness Checklist for Refresh**

Ensure deliverables / project plan activities as mentioned in the UIDAI Registrar Readiness Checklist (RRC) are executed. Update RRC along with UIDAI nodal officer and EA at each stage. Hand over the signed checklist to Regional Office/Nodal Officer. These items are in addition to the requirements in RRC for Registrar Onboarding.			
S. no.	Activity	Status	Comments/ Remarks
<b>1. Refresh Agreement and Contract related</b>			
1.1	Have you received the communication from UIDAI on Refresh strategy and apprised yourself of process, policy and technology changes/updates.		
1.2	Are your agreements in place with Enrolment Agencies for the launch of enrolments in refresh phase (penalties have been built in and additional hardware/ other logistics to be made available by EA as per latest Enrolment Centre setup checklist).		
1.3	New/Existing contracts with EA include a clause of continued empanelment mandatory for continuation of work; If non-empanelled agencies are engaged, they satisfy the same terms and conditions as the empanelled agencies.		
1.4	The Agreements with EA have conditions to discourage sub contracting by EA and monitoring/audit mechanism includes regular audits of EAs and enrolment centres, etc. to prevent sub-contracting.		
1.5	The EA has submitted details of companies/3rd parties from whom Operator/Supervisors may be sourced, if any.		
1.6	Registrar has resources/plan identified for execution of such activities that may arise during the execution of the project like hold packets resolution, review and investigation of returned letters, possible frauds etc .		
<b>2. Technology</b>			
2.1	Registrars has analysed requirement for resident data packets and capability to securely manage and store data.		
2.2	Registrar has communicated to UIDAI whether or not they require Registrar packets.		
2.3	If Registrar wants Registrar data packets to be created, then he has shared a plan to retrieve, manage and store data with UIDAI, for UIDAI to start creating Registrar data packets.		
2.4	Registrars has provided their public key to the UIDAI for the purpose of encrypting the EID-UID mapping file that UIDAI will share with Registrars after Aadhaar generation. (The Registrars who have already provided their public key for Registrar data packet generation, need not provide separate key for this).		
2.5	Registrars must develop their own decryption utility for decrypting the EID-UID mapping file. Registrar should also successfully test file decryption.		
2.6	Review Pin Code database for missing incorrect Pin codes, if any.		

2.7	Get Pin Codes corrected and completed using existing Pin Code correction process.		
2.8	Registrar has defined Location Codes and shared it with Enrolment Agency/ies.		
2.9	Registrar's supervisors/monitors/other representatives at enrolment centre have been instructed to regularly monitor use of correct location codes by EA. Registrar may also use any other suitable mechanism for monitoring this.		
2.10	Optional utility of encrypting KYR+ integration .dat file has been provided by UIDAI; If Registrar wants to use this, Registrar buys own encryption engine and plugs it into Aadhaar client; Share configuration details with EA for enrolment client configuration; develop utility for KYR+ application to be able to read this data.		
2.11	Encourage/Ensure Suitable Address templates to be selected by EA in the client as per location of deployment		
2.12	Identify a technical admin person and communicate details (viz name /email/ contact number) to UIDAI tech support for file, password exchange etc .		
2.13	Received from UIDAI access details of Upload portal for viewing EA wise packet upload details.		
2.14	Request and receive from tech support a sftp login for downloading eid- uid mapping file .		
<b>3. Enrolment planning</b>			
3.1	A plan is finalized for special drives for enrolment of marginalized sections of society, for the underprivileged, various vulnerable groups and disabled persons. Social Inclusion is mandatory.		
3.2	Mechanism for long term/permanent enrolment centers at the Taluk/ Block/ Municipality level has been defined and shared with UIDAI.		
3.3	Detailed enrolment plan is prepared along with EA based on realistic assessment of infrastructure and personnel; Location specific enrolment plans are ready such as on weekends and evenings.		
3.4	On boarding plan of stations has been shared with UIDAI RO and approved.		
3.5	EA has uploaded the Enrolment Centre deployment plan on UIDAI portal and Registrar has approved the same.		
3.6	Aadhaar Enrolment Form and KYR+ form (if any) has been printed and available for distribution at enrolment centre/pre-distributed to residents free of cost.		
3.7	Plan to step up field level IEC to cover the points emphasized in Refresh Summary shared with Registrars has been built.		
3.8	A data and process Quality Assurance mechanism is in place which will also make detailed enquiries and take follow up action in case of attempt to Fraud is		

	highlighted. Enrolment Centre Monitoring plan to be decided in consultation with ROs.		
3.9	Verifiers have been identified and list of Document Verifiers shared with UIDAI; Mechanism such as periodic checks to ensure Verifier presence and performance at Enrolment Centres during the operational hours of the centre is in place.		
3.10	Funding has been set aside for payment to Document Verifiers.		
<b>4. Document Management System</b>			
4.1	Identify whether the documents would be stored in hard copy/soft, scanned copy; Setup a mechanism for collecting and securely storing all the documents submitted by residents during enrolment till the UIDAI appointed DMS service provider collects document from registrar offices and provide receipt of the same.		
4.2	Identify offices at district levels for document pickup by DMS agency and intimate the office addresses in advance to DMS and UIDAI RO.		
4.3	Authorize own or EA's personnel who will intimate UIDAI's DMS service provider for pickup of documents, handover documents and obtain sign off as per UIDAI DMS process and guidelines.		
4.4	If Registrar wants to store any additional documents, develop own process for storing and managing those documents.		
<b>5. This section is For Non- State Registrars only</b>			
5.1	Have you been co-opted in the State level UIDIC by UIDAI RO.		
5.2	Have you shared the details of proposed enrolments (no. of enrolments planned, no. of stations, centre locations) within your premises with UIDAI Regional office.		
5.3	Have you submitted the details of State level enrolments outside your premises to UIDIC ; Have these been approved by UIDIC.		
		<b>Signed by:</b>	
		Registrar Nodal Officer	
		Name	
		Designation	
		Signature	
		UIDAI Nodal Officer	
		Name	
		Designation	
		Signature	

<b>Status Codes to be Used</b>	
<b>Description</b>	<b>Code</b>
Not Started	NS
In Progress	IP
Done	DN
Delayed	DL
Not applicable	NA