

UID AUTHORITY OF INDIA

Resident Enrolment Process

Version 1.1.2

Process Owner: Anil Khachi, Deputy Director General

Release Date:

Resident Enrolment Process Document is for the use of Registrars and Enrolment Agencies. This document will work as a process aid and guideline for the Enrolment Agency in collection of Demographic and Biometric Data.

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ER 2. Document Control

ER 2.1 Document Statistics

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ER 2.2 Revision History

Version No	Revision Date	Nature of Change	Initiated By	Date Approved	Date Released
0.1	30/04/10	First Draft	Deepti	NA	NA
0.2	31/05/10	Updated after PoC visit	Pragati	NA	NA
0.3	07/06/10	Incorporating Deepti's Review Comments Flowcharts reviewed by DDG Ganga	Pragati	NA	NA
0.4	14/06/10	Correcting formatting, typo and inconsistency errors	Deepti	NA	NA
0.5	29/06/10	Review and flowchart consolidations	Deepti	NA	NA
0.6	30/06/10	Edit flowcharts, checklists. Add Abbreviations section. Incorporate Hyderabad RO and DG meeting review comments. Review with Sanjay.	Pragati	NA	NA

Version No	Revision Date	Nature of Change	Initiated By	Date Approved	Date Released
0.7	07/01/10	Updated additional resident facing monitor instead of printing letter. Updated bar coded stickers process for scanning and storage of data.	Pragati	NA	NA
0.8	07/05/10	Included FI. Checklist divided into mandatory and desired. Include biometrics data collection for different age groups.	Pragati	NA	NA
0.9	12/07/10	Updates to process and checklist after DG review meeting on 8 th July. Included a section on how to read this document.	Pragati	NA	NA
0.10	14/07/10	Updated Hyderabad RO comments	Pragati	NA	NA
1.1	27/07/10	Updates from RO Bangalore & DDG Anil Khachi. Removed Introducer End of Day section from flow to match the Application release 1.1. FI section updated to match FI document version 0.7.	Pragati	NA	NA
1.1.1	1/9/10	Updates from AP learnings. Reference to Technology documents added and included brief on Registration, Configuration and User Management. Checklist updated to include photocopier, Windows OS and remove Post Office bar coded stickers for 1 st mile. Updated Demographic and Biometric Guidelines. Added EOD,BOD activities. Added station and centre layout ppt. Added EA technical administrator role.	Pragati	NA	NA

Version No	Revision Date	Nature of Change	Initiated By	Date Approved	Date Released
1.1.2	23/9/10	Updated document for two decisions—i) Verifier need not necessarily be a government servant. ii) UIDAI will now be finding a solution for the storage but till such time Registrars/EA's should keep the documents safely. Added Ink pad and External Hard Disk to checklist.	Pragati Rawat	NA	NA

ER 2.3 How to Read This Document

This process document is organised 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 is the output of the Resident Enrolment Process.



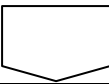
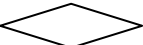

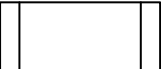
2. Process Details
 - a) Process Flowcharts: Flowchart diagrams are used to define process in this document, showing the steps as boxes of various kinds, and their order by connecting these with arrows. This diagrammatic representation gives a step-by-step process flow. Process step is represented in 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.

ER 2.4 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

ER 2.5 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
- NPR - National Population Register
- NGO - Non Government Organisation
- CSO - Civil Society Outreach
- FI - Financial Inclusion

ER 3. Process Overview

ER 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.

ER 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

ER 3.3 Prerequisites for Process

- Enrolment Agencies appointed by Registrars
- Registrar ID and enrolment agency code provided (*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*)

ER 3.4 End of Process

- UID data and biometrics for residents captured and ready at a designated location for transfer to CIDR (ready for *1st Mile Logistics Process*)

ER 3.5 Roles and Responsibilities

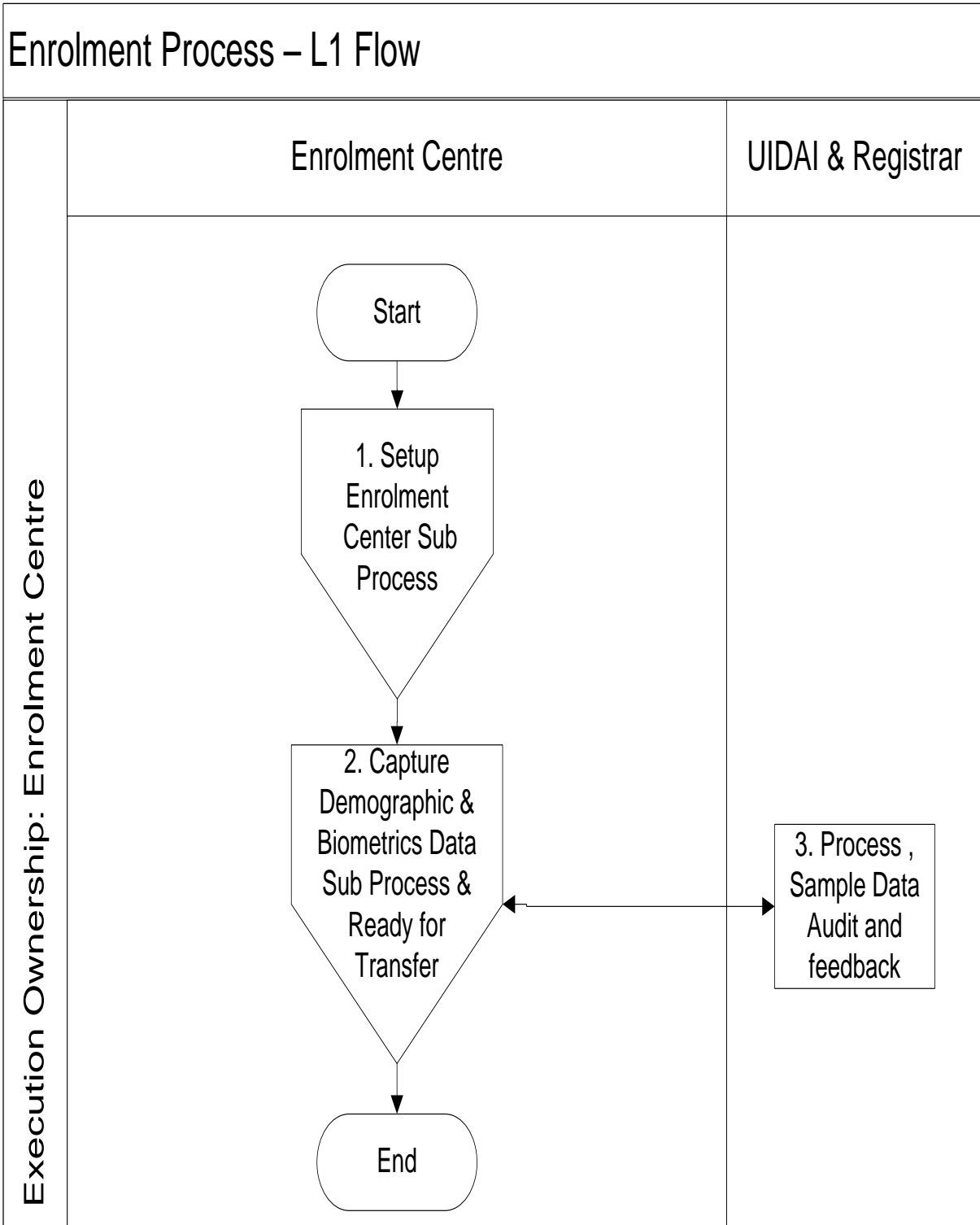
Role	Organization	Responsibilities
Management	Enrolment Agency	<ul style="list-style-type: none"> • Procure certified biometric devices • Procure other hardware and infrastructure for enrolments • Ensure enrolment software is installed on required laptops / desktops • Ensure pre enrolment data is loaded on enrolment stations laptop, where applicable. Ensure KYR+ software integration is done and tested. • Ensure UIDAI processes and standards are followed • Assist Registrar develop enrolment schedules • Work closely with the Registrar in enrolment publicity and awareness at grass-root level • Ensure availability of certified operators and supervisors at enrolment centres • Ensure adequate stationary and other logistics available at centre • Ensure adequate backup arrangement at enrolment centre • Take remedial / corrective action in case of process / quality deviations and grievances addressal • Enable successful data transfer to CIDR
Technical Administrator	Enrolment Agency	<ul style="list-style-type: none"> • Installation and configuration of Aadhaar Enrolment Client • Avail Enrolment auth user and auth code and Register Enrolment Client • Maintain credentials of Operators and Supervisors and share Operator ,Supervisor enrolment ID/UID with CIDR • Load pre-enrolment residents data on enrolment stations laptop, where applicable and test KYR+ application integration

Role	Organization	Responsibilities
Enrolment Centre Supervisor	Enrolment Agency	<ul style="list-style-type: none"> • Setup enrolment station • Supervise enrolment process • Handle issues and concerns of operators and residents • Act as an operator, when required • Ensure checklists are filled and signed • Ensure audit feedback, if any, incorporated in process • Manage data export to memory stick and data backup to external hard disk. Take enrolment data to a designated location for transfer to CIDR • File, back up and store enrolment data as per UIDAI guidelines • Ensure safe handling and storage of documents and transfer of same to Registrar. • Verify PoI, PoA, DoB documents in case of document based verification.
Enrolment Operator	Enrolment Agency	<ul style="list-style-type: none"> • Verify PoI, PoA, DoB documents in case of document based verification. • Capture demographic and biometric data • Handle exception cases during capture of data • Obtain consent for enrolment and make corrections in data recorded, if required • Provide acknowledgement slips to Residents • Store Consent Letter, PoI, PoA for Registrar/UIDAI
Registrar's Supervisor	Registrar	<ul style="list-style-type: none"> • Audit of Enrolment Centre readiness • Audit of enrolment agency processes and their effectiveness • Verify POI, POA & DOB documents in case of document based verification. Alternatively, if due to any constraints, the Registrars needs to appoint somebody else, they can do so even from amongst the EA operators/supervisors. The EA personnel may be handed over this responsibility by the Registrar.

Role	Organization	Responsibilities
Registrar point of contact	Registrar	<ul style="list-style-type: none"> Define enrolment plan including locations and timeframe Identify suitable locations for setting up enrolment centres Setup mechanism for document verification either by Registrar's own personnel or by EA Personnel. Ensure pre-enrolment data, where applicable, is available to Enrolment Agency Ensure list of Introducers is available with their demographic, biometric details and UID numbers Ensure communication reaches the target beneficiaries / residents Provide template for paper-based enrolment form containing KYR and KYR+ fields Setup mechanism for periodic process and data quality audit
UIDAI point of contact	UIDAI	<ul style="list-style-type: none"> Make Enrolment software available Make process documents available Empanel Enrolment Agencies to facilitate speedy onboarding of Enrolment Agencies by Registrars Facilitate certification of biometric devices Provide training content Appoint a training and certification agency and provide testing content to this agency Provide required standards and guidelines Vet awareness and publicity content Provide solution for document storage (Registrar/EA should store the documents safely till the time UIDAI makes arrangement for document storage)
Introducer	Registrar	<ul style="list-style-type: none"> Confirm the identity of the resident by giving his/her UID and fingerprints for verification
Resident	--	<ul style="list-style-type: none"> Provide demographic and biometric information Provide authentic documentation or be introduced by an Introducer

ER 4. Process Details

ER 4.1 Resident Enrolment Process Flow

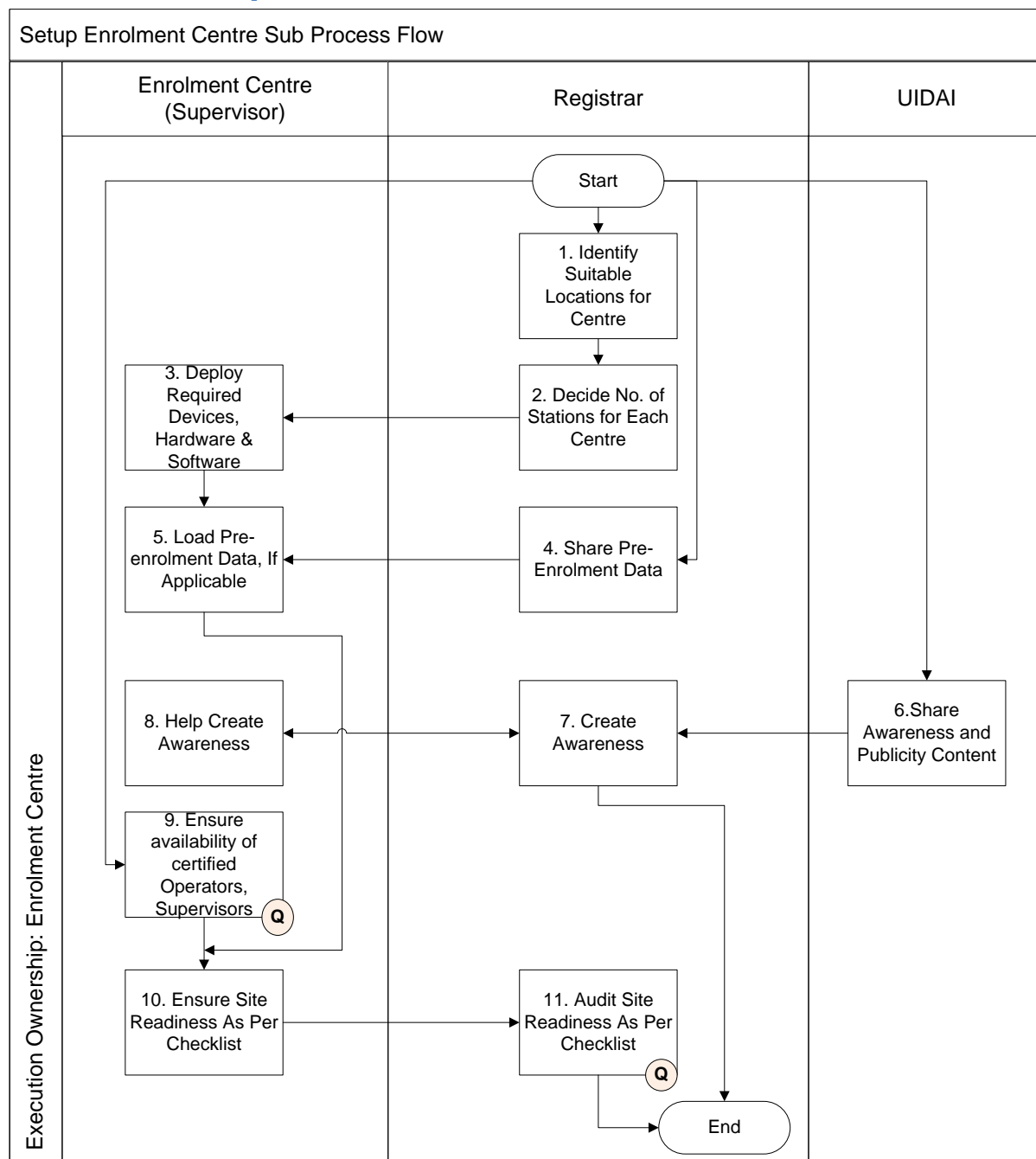


ER 4.2 Resident Enrolment Process Description

S.No	Step	Responsibility	Reference
	<p>Start</p> <p>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.</p>		
1.	<p>Setup Enrolment Centre</p> <p>Initiate sub process ER 4.3 Setup Enrolment Centre. This contains details on setting up an enrolment centre.</p>	Enrolment Agency	ER 4.3 Setup Enrolment Centre
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 ER 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 1st 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 enrolees.</p> <p>The Unique Identification Authority of India (UIDAI) accords highest importance and primacy to the privacy & security of data collected on the enrolees 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, 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.</p>	Enrolment Agency	ER 4.5 Capture Demographic and Biometric Data and Ready for Transfer Sub Process External process for 1 st Mile logistics Process

S.No	Step	Responsibility	Reference
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 3rd party appointed by the Registrar or by any other party/mechanism deemed fit by the Registrar.</p> <p>Enrolling agency shall be subject to audit by UIDAI/Registrar/their representative from time to time. Based on feedback, Enrolment Agency may need to make some adjustments/changes in its process.</p>	UIDAI and Registrar	
	End		

ER 4.3 Setup Enrolment Centre Sub Process Flow



ER 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"> • Step 1 Identify suitable locations for Enrolment • Step 4 Share Pre-Enrolment Data, if used • Step 6 Ensure Availability of Certified Operators, Supervisors • Step 7 Share Awareness and Publicity Content 		
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"> • Assess details of the area including the terrain, local weather conditions, law and order situation, logistics support etc. • 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. • Co-ordinate with the local district administration right from the planning stage to the actual roll-out of the enrolment. • 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. • 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. • Site selection also involves taking into consideration issues of power availability, approach/access to the area, lighting etc. 	Registrar	

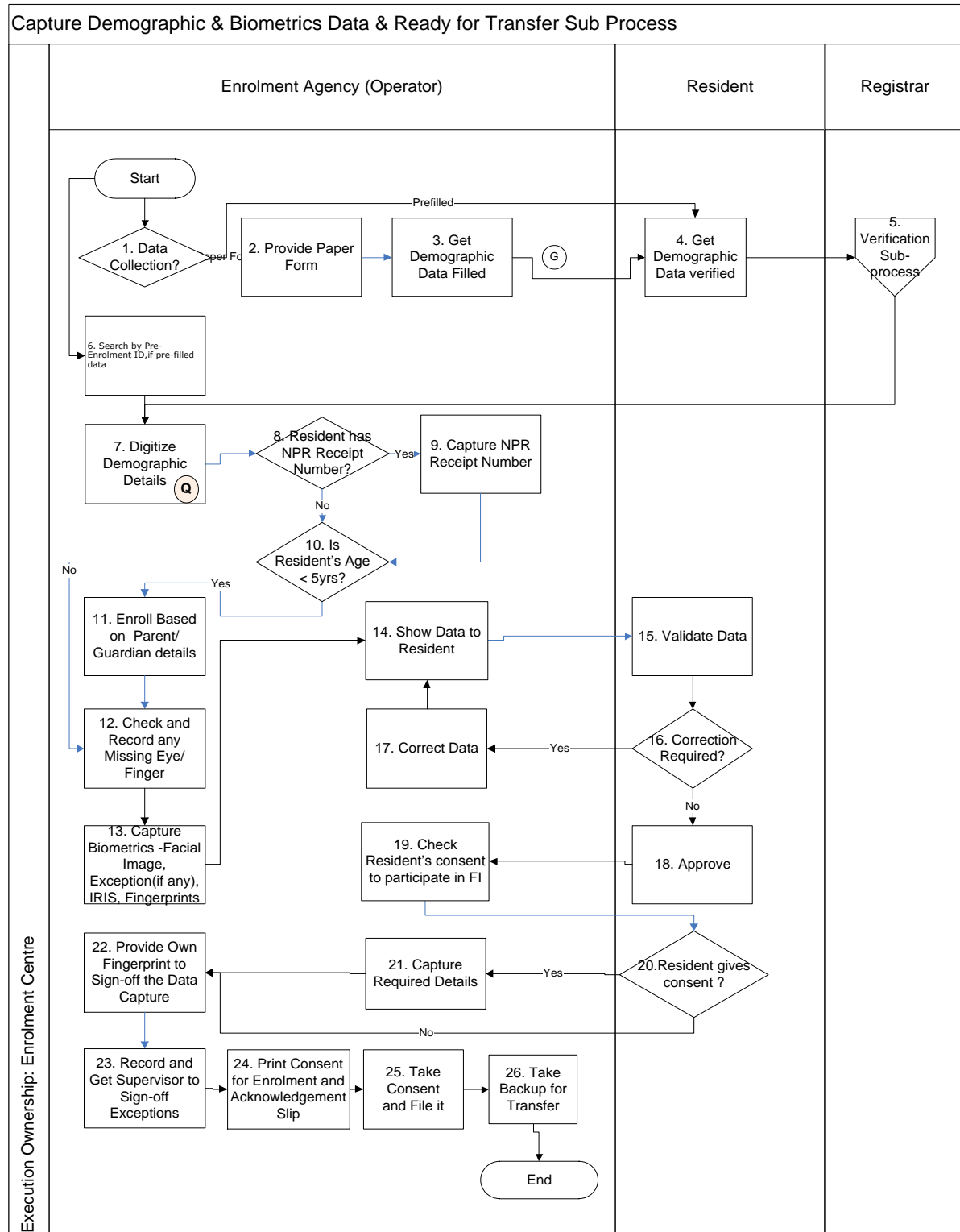
S.No	Step	Responsibility	Reference
2.	<p>Decide Number of Stations for Each Centre</p> <p>The number of stations can be decided based on the target number of days for completion of enrolment in the particular area or the district and the expected number of enrolees in the area.</p> <p>Model RFP published on UIDAI website provides an excel sheet for facilitating calculation of number of stations</p> <p>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 centre setup.</p> <p>Two layouts are shown in ER 5.1.7</p>	Registrar	<p>ER 5.1.7 Layouts</p> <p>External Document</p> <p>Model RFP on UIDAI website</p>

S.No	Step	Responsibility	Reference
3.	<p>Deploy Hardware, Software for Enrolment</p> <p>Ensure all hardware and software as mentioned in the ER 5.2.1 are deployed at the enrolment centre. Test the hardware / software for proper working.</p> <p>The Enrolment software client needs to be installed, configured and registered with CIDR. The Enrolment Agency needs to obtain below for the purpose:</p> <ol style="list-style-type: none"> 1. EA must send list of Operators, Supervisors and admin staff to CIDR in the excel format for User Management provided by CIDR prior to Registration 2. Enrolment Auth User and Auth Code will be sent to admin staff email Ids once the User Management file is received at CIDR. 3. Registrar ID 4. Enrolment Agency Code – available at UIDAI website 5. Assign 5digit Station numbers to each laptop/desktop to be used for enrolment station <p>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.</p> <p>Below Details will be entered for Configuration:</p> <ol style="list-style-type: none"> 1. Registrar ID, Enrolment Agency Code and Enrolment Station Number will be entered and Registered. 2. The registrar will select the local language for the AADHAAR application based on the state of the enrolment capture. 3. The registrar can select the appropriate address display format for the AADHAAR client application. The address can be the either of two: Simple (for rural areas) and Extended (for urban areas). 4. The client Address Field displays can be configured accordingly to the needs of the registrar where the registrar can change the label names. These labels will then get reflected on the landing screen (demographic capture) once saved. 5. There are fields which are called as User defined fields or extended demographics. The client may be configured to select the appropriate fields required to capture resident data. These fields are Auto Transliteration, Capture NPR Receipt Number, Capture Bank Account Number. <p>Once the information provided at the configuration screen is saved, the screen turns Non-Editable. An Edit tab is provided for editing details later.</p>	Enrolment Agency	<p>ER 5.2.1 Checklist for Setting up Enrolment Centre</p> <p>External document</p> <ul style="list-style-type: none"> • UIDAI Application Installation Manual • User Management toolkit document

S.No	Step	Responsibility	Reference
4.	<p>Share Pre-enrolment Data Available, if Used 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. A check is also required for Pin Master. The PIN numbers for regions where enrolment is planned should be covered and correct. Registrar should provide list of PIN to be corrected in PIN master to CIDR. UIDAI Client Installation manuals have detailed process document on Registrar Integration.</p>	Registrar	<p>ER 5.1.1 KYR Standards for Collecting Demographic Data External document UIDAI Application Installation Manual</p>
5.	<p>Load Pre-enrolment Residents Data on the Enrolment Station Laptop Load and test beneficiary database on enrolment centre laptops / desktops and ensure it is accessible / searchable. Also ensure that if KYR+ fields are to be captured, then KYR+ software integration is completed and tested on enrolment centre laptops/desktops. Pre enrolment data helps in reducing the cycle time for enrolment at centre significantly.</p>	Enrolment Agency (Technical administrator)	External Document AADHAAR_Registrar_Integration Manual
6.	<p>Share Awareness and Publicity Content 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>Create Awareness in Target Beneficiaries / Residents Ensure right communication reaches the target resident groups with respect to timing and location for enrolment centres, benefits of enrolling etc.</p>	Registrar	
8.	<p>Help Create Awareness Enrolment Agency needs to assist the Registrar in communication and generating resident awareness. 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.</p>	Enrolment Agency	

S.No	Step	Responsibility	Reference
9.	<p>Ensure Availability of Certified Operators, Supervisors Training is not mandatory but desirable. However certification is mandatory. 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>Enrolment Agency should share the necessary details including Operator & Supervisor UID with CIDR in required format. Unless this is ensured, the data captured by such Operators and Supervisors will get rejected at CIDR.</p> <p>Operator ,Supervisor user management at windows and client level needs to be done appropriately to avoid setback during operations. Refer user management</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	<ul style="list-style-type: none"> External Document User Management toolkit document
10.	<p>Ensure Site Readiness and Fill Checklist</p> <p>Ensure the enrolment centre is setup as per ER 5.2.1 Checklist for Setting up Enrolment Centre. Document exceptions, if any, and sign-off the checklist.</p>	Enrolment Agency (Supervisor)	ER 5.2.1 Checklist for Setting up Enrolment Centre
11.	<p>Audit Site Readiness</p> <p>Audit enrolment centre for readiness</p> <p>The Registrar's Supervisor may audit site readiness from time to time.</p>	Registrar (Supervisor)	
	End		

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



ER 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>Data Collection?</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. Get Demographic Data Verified</p>	Enrolment Agency (Operator)	
2.	<p>Provide Paper Form</p> <p>Enrolment forms (containing KYR fields) must be filled up at the enrolment centre.</p> <p>A Registrar can choose to use the Enrolment form provided in Annexure ER 5.2.2 Enrolment Form and can add more sections to it for capturing KYR+ fields.</p> <p>Filling paper forms is not mandatory and may not be required at all in case of prefilled data.</p> <p>Unless Registrar suggests otherwise, this enrolment form can be returned back to resident after enrolment data is captured in UIDAI enrolment software.</p> <p>If enrolment forms are distributed and filled in advance, it will help speed up enrolment at the Centre.</p>	Enrolment Agency (Operator)	ER 5.2.2 Enrolment Form
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 ER 5.1.1 for details on capturing the KYR field.</p> <p>Refer guideline ER 5.1.2 for details on capturing</p>	Enrolment Agency (Operator)	ER 5.1.1. KYR Standards for Collecting Demographic Data ER 5.1.2. Detailed Guidelines for Recording Demographic

	resident demographic information.		Data
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> <p>In instances where original documents are not available, copies attested / certified by a public notary / gazetted officer will be accepted.</p> <p>UIDAI shall have the right to alter / amend the guidelines in exception handling from time to time.</p>	Resident	
5.	<p>Refer Verification Sub Process Flow for details</p> <p>2 Distinct methods of verification are discussed in this document</p> <ul style="list-style-type: none"> • Based on supporting documents • Based on introducer system 	Registrar	
6.	<p>Retrieve by Pre Enrolment ID, 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 Pre-Enrolment ID. Some examples are (but not limited to)</p> <ul style="list-style-type: none"> • Ration card no (Food and Civil Supplies Department as Registrar) • Job card no (Rural Development Department as Registrar) • Policy no (LIC as Registrar) • TIN (RGI as Registrar) • EPIC no (Election Commission as Registrar) • PAN no (Income Tax Department as Registrar) 	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 Pre-Enrolment ID, then check and correct/complete the demographic data.</p>	Enrolment Agency (Operator)	
8.	<p>Resident has NPR Receipt Number?</p> <p>The Operator should check with the resident if the RGI (census) officials have visited his / her household for the census survey.</p>	Enrolment Agency (Operator)	

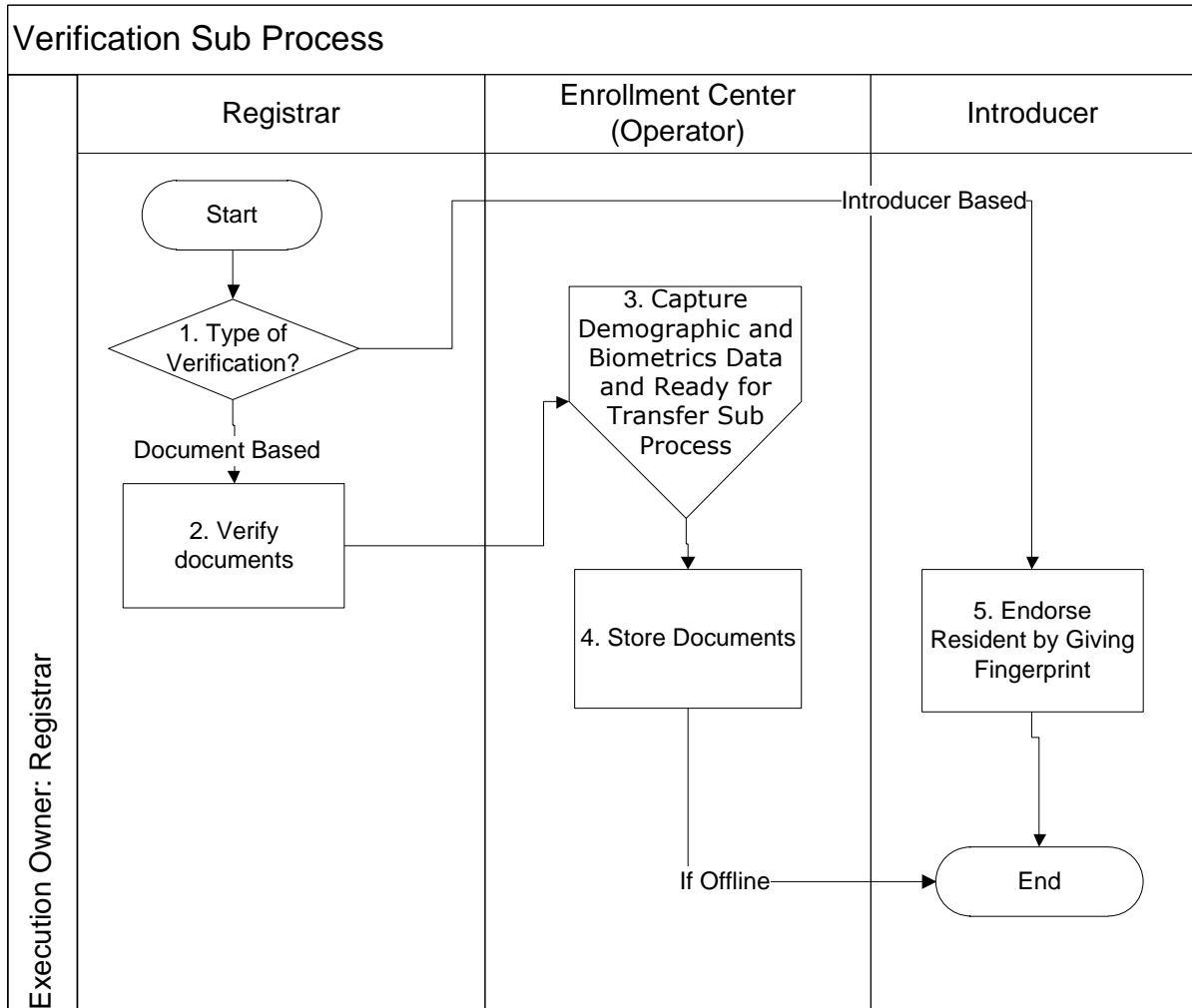
	<ul style="list-style-type: none"> If yes, proceed to Step 9. Capture NPR Receipt Number in the Form If no, proceed to next check in Step 10. Is Resident's Age < 5yrs? 		
9.	<p>Capture NPR Receipt Number in the Form</p> <p>The RGI official have provided a NPR Receipt Number / schedule no. to the household / 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)	
10.	<p>Is Resident's Age < 5yrs?</p> <p>Check if the resident's age is less than 5 years.</p> <p>If yes, proceed to Step 11. Enrol based on Parent/Guardian Details</p> <p>If no, proceed to Step 12. Check and Record for any Eye/ Finger Missing</p>	Enrolment Agency (Operator)	
11.	<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 ID (either of the two numbers) shall be recorded. This is mandatory.</p> <p>If the child is being enrolled along with his father /mother / guardian, first enrol the parent / guardian and record the parent's enrolment ID in the child's form. Enrolment ID is formed by using Enrolment Number, Date and Time of the parent/guardian whose data is being entered in the child's form. The Enrolment ID format is Enrolment Number/YYYY/MM/DD/Time(hh/mm/ss).</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>	Enrolment Agency (Operator)	
12.	<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>	Enrolment Agency (Operator)	
13.	Capture Biometrics - Facial Image, IRIS and Fingerprints	Enrolment Agency (Operator)	ER 5.1.4 Biometric Data Capture

	<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. 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. 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. Application will not allow the Operator to capture biometrics if maximum attempts are exhausted. 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>Each time quality image is not captured, Operator must look at the list of actionable feedbacks provided on the screen.</p> <p>Only facial image is captured for children below 5 years. Iris and fingerprint screens will not get activated for children below 5 years</p> <p>Policies for biometric capture: Iris - above 5 yrs mandatory (also used for de-duplication) Fingerprint - above 5 yrs capture Fingerprint - above 15, treated like adult Face - all mandatory including infants Below 5 yrs - guardian/parent mandatory, after that optional Any biometric exception (any finger missing, any eye missing) - extra photo as well as supervisor signature</p> <p><i>AADHAAR Enrolment Client software automatically takes care of enforcing these policies. UIDAI may, from time to time, make modifications to these policies</i></p>		Standards ER 5.1.5 Detailed Guidelines for Collecting Biometric Data
14.	<p>Show Data to Resident</p> <p>The Operator shows the data entered to the</p>	Enrolment Agency	

	resident on a monitor facing the resident and if required, reads out the content to the enrolee, to ensure that all details captured are correct.	(Operator)	
15.	<p>Validate data</p> <p>The resident will ensure that all details entered in Demographic form are correct.</p>	Resident	
16.	<p>Correction Required?</p> <p>In case any errors are pointed out to the Operator. go to step no.17, Correct Data</p> <p>Else go to step no. 18, Approve.</p>	Resident	
17.	<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)	
18.	<p>Approve</p> <p>If no corrections are required, resident will approve the data.</p>	Resident	
19.	<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)	
20.	<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 21 to Capture Required Details.</p> <p>If resident does not give his/her consent, proceed to step 22?</p>	Resident	
21.	<p>Capture Required Details</p> <p>In case of resident having an existing bank account, it should be at one of the scheduled commercial banks. In this case, the operator should capture the name of the bank, IFSC code (optional) and the account number.</p> <p>In case of a new account, only the consent of the customer should be captured. An account will then be made available to those customers in the future.</p>	Enrolment Agency (Operator)	
22.	<p>Provide Own Fingerprint to Sign-off the data capture</p>	Enrolment Agency	

	<p>The Operator will then provide own Fingerprint to sign-off the data captured for the resident.</p> <p>CIDR will process for an operator that is enrolled and has been added to valid operator list by EA.</p>	(Operator)	
23.	<p>Record and Get Supervisor to Sign Off Exceptions</p> <p>The Supervisor may sign off any exceptions observed in Data Collection by providing own fingerprint, when Supervisor screen gets activated for sign off</p>	Enrolment Agency (Operator)	ER 5.1.6 Handling Exceptions
24.	<p>Print Consent for enrolment and Acknowledgement slip</p> <p>Consent for Enrolment and Acknowledgement slip are printed in one A4 sheet. Tear off the sheet from centre.</p> <p>Sign and Provide Acknowledgement slip to resident.</p>	Enrolment Agency (Operator)	ER 5.2.3 Acknowledge ment Slip and Consent for Enrolment (draft format)
25.	<p>Take Consent and file it</p> <p>Operator will take Resident's consent (signature/thumb impression) and file this copy. In case resident is a child below 5 years, father /mother / guardian of the child whose enrolment ID was recorded in software will sign the consent form.</p>	Enrolment Agency (Operator)	
26.	<p>Take Backup for Transfer</p> <p>Operator/Supervisor takes backup of data captured at least twice a day and maintains it for a period of minimum 60 days (or as specified by UIDAI form time to time). 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)	<p>External Process</p> <p>Refer AADHAAR_Installation_Setup ManualFor Backup and Restore</p> <p>Refer 1st Mile Logistics Process for Data Transfer flow and Guidelines</p>
	End		

ER 4.7 Verification Sub Process Flow



ER 4.8 Verification Sub Process Description

S. No	Step	Responsibility	Reference
	<p>Start</p> <p>It is essential that key demographic data is verified properly.</p>		
1.	<p>Type of Verification</p> <p>2 Distinct methods of verification are discussed in this document</p> <ul style="list-style-type: none"> Based on supporting documents Based on introducer system 	Registrar	
2.	<p>Verify Documents</p> <p>For Verification based on Documents, the Registrar's supervisor present at the Enrolment Centre will verify the documents. It is preferred that Registrar's personnel does the verification of documents. If due to any constraints, the Registrars have the need to appoint somebody else, they can do so even from amongst EA operators/supervisors.</p> <p>PoI requires a document containing the resident's name and photograph, whereas the PoA contains the name and address.</p> <p>If pre-enrolment data is used -Personnel will verify those documents (like Ration Card, NREGA job card etc.) against the photocopies</p> <p>In case Enrolment form is used for filling demographic data, then form details will also be verified against PoI, PoA, DoB documents.</p> <p>In the case children below 5 years, "Name" and "UID" of one of the parents or guardian is mandatory. Parent/Guardian must bring their UID letter when enrolling children (or they can be enrolled together) and should be verified.</p> <p>In the case of an adult, no verification will be done for the information on parent or spouse. They are recorded for internal purposes only. Verify Name, Date of Birth, Address against PoI, DoB and PoA documents. Refer Guideline ER 5.1.3 for list of applicable documents.</p> <p>UIDAI and Registrars shall have the authority to amend and enlarge the list of PoI and PoA documents as and when necessary.</p>	Registrar	<p>ER 5.1.3. Documents for Verifying PoI, PoAand DoB</p> <p>External Document</p> <p>Demographic Data Standards and Verification Procedure (DDSV) Committee Report</p>

	Verifier will sign and stamp the photocopy of documents verified.		
3.	<p>Capture Demographic and Biometrics Data and Ready for Transfer Sub Process</p> <p>After verification , the Operator will follow the process of capturing Demographic and Biometrics Data on enrolment software and keeps it ready for transfer to CIDR.</p> <p>Refer ER 4.5 Capture Demographic and Biometrics Data and Ready for Transfer Sub Process</p>	Enrolment Agency (Operator)	ER 4.5 Capture Demographic and Biometrics Data and Ready for Transfer Sub Process
4.	<p>Store Documents</p> <p>UIDAI is in the process of evolving a suitable document storage and management strategy.</p> <p>Till then Registrar/EA must manage and store the documents safely.</p> <p>In case of any legal requirements, Registrar/EA shall furnish necessary documents as required by UIDAI, in their custody</p> <p>The Registrar/EA will store hard copy of documents and transfer the same to UIDAI or its designated agency once UIDAI finalises document management</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>Endorse Resident by Giving Fingerprint</p> <p>The Introducer ensures that all the residents that he is about to endorse are known and given 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 fingerprint in the enrolment software's "Review" tab. In addition he/she should sign/provide thumbprint on the Consent for Enrolment endorsing the resident.</p>	Introducer	External Process – Introducer Enrolment and Monitoring
	End		

ER 5. Annexure

ER 5.1 Standards and Guidelines

ER 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"> Any of the POI documents Introducer for people who have no documents
	Date of Birth ##	No	---
	Gender	No	---
Address Details	Residential Address(For UID letter delivery and other communications)	Yes	<ul style="list-style-type: none"> Any of the -PoA documents Introducer for people who have no documents Address will be physically verified during UID letter delivery. But Resident's physical presence not required during letter delivery.
Parent/ Guardian Details	Father's/ Husband's/ Guardian's Name*	Conditional	<ul style="list-style-type: none"> Name of either Father/Husband/Guardian or Mother/Wife/Guardian is mandatory for all. But, an option will be provided to not specify in the case the adult is not in a position or does not want to disclose. In the case of children, both Name and UID/Enrolment ID(any one of the two) of at least one parent/guardian is mandatory. No Verification of Father/Husband/ Guardian in the case of adults No Verification of Mother/Wife/ Guardian in the case of adults
	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"> Introducer's Name, UID on the form Introducer's thumbprint endorsing the resident in the Review tab of the enrolment software.
	Introducer's UID**		
Contact Details	Mobile Number	No	---
	Email Address	No	---
## A flag is maintained to indicate if Date of Birth (DoB) is verified. If Resident informs their DoB without any documentary proof, the system considers it as			

declared. . 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 children below 5 years, Father/ Mother/ Guardian's name (at least one) and UID/Enrolment ID is mandatory.

* For children under 5 yrs of 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.

ER 5.1.2 Detailed Guidelines for Recording Demographic Data

1. Pre-Enrolment ID

1. This field is used for retrieving pre enrolment data using pre-enrolment ID. Enter the pre-enrolment ID and click on "Go". Pre-enrolment data will get populated in the respective fields.
2. This data may require correction. Make corrections as appropriate.

2. Application Number

1. If Registrar is using Enrolment forms for recording data on physical forms and wishes to store these forms, the form number printed on application form, if any, may be recorded here.

3. Name

1. The Enrolment Agency should verify the proof of identity documents produced by the individual before recording the name in case of document based verification. If any of the above documents submitted do not contain the photograph of the resident, then it will not be accepted as a valid PoI. In order to be inclusive and free of harassment, documents with older photographs are acceptable.
2. If document furnished is not in the drop down list of PoI in enrolment client, then it is not an acceptable PoI document. In such case resident either would require a valid PoI or an Introducer for enrolment.
3. The name of the person **in full** should be entered in the field provided for this purpose.
4. 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 enrolee may tell her name as K. S. K. Durga while her full name may be Kalluri Surya Kanaka Durga.
5. 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.
6. 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 and/or last name to be written prior to first name.



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7. If two documentary proofs produced by the enrolee have variation in the same name (i.e., with initials and full name), the enrolee's full name should be recorded.
8. 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 enrolee the importance of capturing the name of the individual for allotting UID. In case of non availability of supporting documents for PoI, the name should be recorded with the assistance of the Introducer.
9. It is observed that some transliterations to local language are not ok, due to phonetics and other reasons, and therefore need manual correction.

4. Date of Birth (DoB)

1. Record date of birth of Resident, indicating day, month and year in the relevant field. Record the day (2 digits), month (2 digits) and year (4 digits).
2. If the Resident provides documentary evidence of Date of Birth, then check the box "Verified" When resident declares the DoB without any documentary evidence, record date of birth but do not check the "Verified" box.
3. When the resident is unable to give exact date of birth and only age is mentioned by the resident or approximated by the operator, record age in the field provided. The software will automatically calculate year of birth and same will be printed in acknowledgement slip and consent letter.

5. Gender:

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

6. Residential Address:

1. The Enrolment Agency should verify the proof of address document produced by the individual before recording the address in case of document based verification
2. Record the residential address in the boxes provided.
3. Ascertain the Postal Index Number Code (PIN code) and record in the boxes.
4. The address should be recorded as available in the documentary evidence produced by the enrolee. Leave space between two words. Please ensure that the particulars are filled up correctly.
5. If document furnished is not in the drop down list of PoA in enrolment client, then it is not an acceptable PoA document. In such case resident either would require a valid PoA or an Introducer for enrolment.
6. 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.
7. Generally in rural areas, Building number, House number etc. are not available. If not available leave the address line 2 blank.
8. Write the Street Name, if any, in Address line 3, otherwise leave it blank.
9. Write major/minor landmark if any in address line 4 otherwise leave it blank.
10. Write name of Mohalla/Locality/Post Office in address line 5, otherwise leave it blank.
11. Name of the village/town/city field gets automatically populated when Pin Code of the region is entered. This field is non editable .



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12. Name of District and State in address gets auto populated when Pin Code of the region is entered. This field is non editable . Registrar/EA should ensure beforehand that the Pin Numbers of the region in which enrolment is to be carried out are completely and correctly captured in software PIN Master. Else, they should inform the correct PIN to CIDR so that PIN Mater can be corrected before enrolments start.
13. If resident asks to add additional information in address for clarification, and that information is not in PoA, like adding landmarks, street name etc., same can be added provided the address itself does not change. House number and village /town/city must remain unchanged.
14. . Save Address checkbox is provided for address fields. If checked, it saves the address for next enrolment thus saving time to rewrite the address.
15. It is observed that some transliterations to local language are not ok, due to phonetics and other reasons, and therefore need manual correction.

7. Relationship type (Conditional):

1. Filling the father / husband / guardian or Mother / Wife / Guardian field is conditional. If they are enrolled their Enrolment ID/UID should be recorded.
2. In case the adult is not in a position or does not want to disclose,. Then select checkbox "Not Given" in "Relationship to Resident".
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 UID at the time of enrolment, the enrolment of that child cannot be done unless the above requirements are fulfilled.

8. Introducers Name (Conditional):

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

9. Mobile Number (optional):

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

10. Email address (optional):

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

11. NPR Receipt Number (optional):

1. If Resident possesses NPR receipt then the receipt number should be recorded in the field.

12. Bank Account Number (optional):

1. Ask the resident if he/she wishes to link his existing bank account to UID. If the answer is "Yes", then incorporate Bank Name (Full name and not abbreviations), Bank Branch, Account Number in this field separated by commas.

13. Consent on Review screen (mandatory):

1. Ask resident's consent to whether he/she wants to have a UID enabled bank account. Select appropriate circle to capture resident's response as "Yes/No".



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2. Ask Resident's consent to whether it is alright with the resident if the information captured is shared with other organisations for the purpose of welfare services including financial services. Select appropriate circle to capture resident's response as "Yes/No".

14. Operator/Supervisor signoff

1. Operator needs to sign off every enrolment by providing their fingerprint. Although any fingerprint is OK, but it is advisable to use either thumb or index finger of either hand for sign off. Use the Indicators on fingerprint devices for positioning of fingers. The fingers should be placed in right direction on the device.
2. Make sure that the Operator that has logged in the client and has carried on the enrolment is the Operator that signs off. This is preferred.
3. Supervisor's sign off is activated in the software in case of biometric exceptions. This only gets activated if exceptions exceed 50% i.e. either an eye missing and/or 5 or more fingers missing.

ER 5.1.3 Documents for Verifying PoI, PoA and DoB

Support PoI Documents Containing Name and Photo	
1.	Passport
2.	PAN Card
3.	Ration/ PDS Photo Card
4.	Voter ID
5.	Driving License
6.	Government Photo ID Cards
7.	NREGS Job Card
8.	Photo ID issued by Recognized Educational Institution
9.	Arms License
10.	Photo Bank ATM Card
11.	Photo Credit Card
12.	Pensioner Photo Card
13.	Freedom Fighter Photo Card
14.	Kissan Photo Passbook
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 Group A Gazetted Officer on letterhead
Supported PoA Documents Containing Name and Address	
1.	Passport
2.	Bank Statement/ Passbook
3.	Post Office Account Statement/Passbook
4.	Ration Card
5.	Voter ID
6.	Driving License
7.	Government Photo ID cards
8.	Electricity Bill (not older than 3 months)
9.	Water bill (not older than 3 months)
10.	Telephone Landline Bill (not older than 3 months)
11.	Property Tax Receipt (not older than 3 months)
12.	Credit Card Statement (not older than 3 months)
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 on letterhead
17.	NREGS Job Card
18.	Arms License
19.	Pensioner Card
20.	Freedom Fighter Card
21.	Kissan Passbook
22.	CGHS / ECHS Card
23.	Certificate of Address having photo issued by MP or MLA or Group A Gazetted Officer on letterhead
24.	Certificate of Address issued by Village Panchayat head or its equivalent authority (for rural areas)
25.	Income Tax Assessment Order
26.	Vehicle Registration Certificate
27.	Registered Sale / Lease / Rent Agreement
28.	Address Card having Photo issued by Department of Posts
29.	Caste and Domicile Certificate having Photo issued by State Govt.
Supported Proof of DoB Documents	
1.	Birth Certificate
2.	SSLC Book/Certificate
3.	Passport
4.	Certificate of Date of Birth issued by Group A Gazetted Officer on letterhead

ER 5.1.4 Biometric Data Capture Standards

The biometrics are 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
Enrolment	
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.
Authentication	
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
Enrolment	
Image capture	
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.

Key Decisions	Summary of Decisions
Operational	
Assistance	Yes – Specified as best practice
Corrective measure	Yes – Specified as best practice
Storage and transmission Compression	Uncompressed image strongly recommended. For legacy reasons, JPEG 2000 or WSQ compression accepted.
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.
Authentication	
Image capture	
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
Enrolment	
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

ER 5.1.5 Detailed Guidelines for Collecting Biometric Data

Enrolment Agencies must use Biometric Devices certified by UIDAI for capturing Biometric data. The list of certified biometric devices are available at STQC website <http://www.stqc.nic.in/>

i. Fingerprint Capture

- a. The fingerprints need to be captured in order of all four fingers of Left Hand followed by all four fingers of Right Hand and then 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.
- c. Use a lint free cloth periodically to clean the platen of the device.
- d. Check devices periodically for scratches, out of focus images, only partial images getting captured.
- e. Fingerprints cut off, wet/smudged fingerprints, 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 Enrolee 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.
- 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.

ii. Facial Image Capture

- a. **Enrolee Position:** For capturing facial image, it is advisable for the operator to adjust the camera instead of the Enrolee 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.
- 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 coloured lighting, and radial 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.
- 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. 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

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. This would also mean an exception needs to be recorded for Iris, because only one Iris can be captured.

h. Further, accessories like turban are also allowed as religious practices.

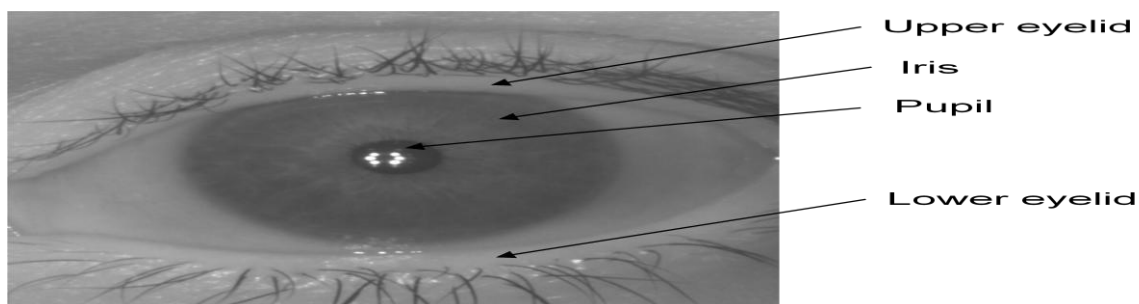
i. Operators need to be trained to obtain the best possible face images that satisfy requirements.

j. For children, it is acceptable that the child sits on parents 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 (eye distance in input image is less than 90)
- 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)
- Pose (yaw angle in output image is greater than 11.5 deg)
- Non-uniform lighting (of face in output image)
- Incorrect background (in output image)
- Insufficient lighting (bad gray values in face area of output image)

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. Children can be told that it is like taking photos/pictures so that they are not apprehensive.



- c. The operator and not the Enrolee will handle the capture device,generally.
- d. The Enrolee will be required to sit in a fixed position, like taking a portrait photograph.
- e. 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
- f. The iris capture process is sensitive to ambient light. No direct or artificial light should directly reflect off Enrolee's eyes.
- g. 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.
- h. Tablelight 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.
- i. 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) and do not blink during iris capture. Resident has to be stationary.
- j. 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.
- k. The Operator needs to be patient during capture and wait for the device response instead of scrolling, navigating back and forth on screen.

ER 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:--this is actionable feedback	<ul style="list-style-type: none"> a. No flash is to be used. b. If there is inadequate lighting because of low voltage, use the generator backup to improve the lighting. c. Consider moving the enrollment station to a location in the room with better light. d. The non-capture could be because of bright light behind the backdrop. The backdrop should be preferably placed against an opaque wall/partition.
b.	Unable to crop image because of turban / head scarf:	<ul style="list-style-type: none"> a. If the headgear can be removed this may be requested politely by the operator. b. In the case of lady enrollees, it would be advisable for a lady operator, or volunteer to undertake this process.
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"> i. The same is noted in the data as provided in the software ii. The fingerprints of remaining fingers are captured by the operator
b.	Unable to crop image because of turban / head scarf	<ul style="list-style-type: none"> i. If the headgear can be removed this may be requested politely by the operator. ii. In the case of lady enrollees, it would be advisable for a lady operator, or volunteer to undertake this process.
c.	Fingerprint captured is not of the requisite quality	<ul style="list-style-type: none"> i. The Operator should check the actionable feedback ii. If standard image of the finger prints are not possible for an enrollee due to dryness, the operator should politely ask the enrollee to wash his hands. The operator can also provide a wet sponge or towel available in the centre. iii. The operator can request the enrollee to apply pressure on the platen to increase the area of contact and thereby obtain image of the requisite quality. iv. 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. v. It has to be ensured that assistance to women enrollees has to be provided by women operators /

S.No	Problem	Suggestions
		volunteers. vi. The operator would make a reasonable number of attempts to capture the biometrics of the resident. The maximum number of attempts that can be made is built into the software.
d.	Inability to flatten the fingers	i. The operator with due permission from the enrollee may assist the enrollee in order to attempt capture of the fingerprints. 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.
e.	Worn out ridges or hands blackened through mehendi or any other substance	a. Capture as normal. In case of worn out ridges, the resident may be asked to rub his/her hands.

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	a. If the capture of both eyes at a time is not possible, operator may attempt recapture.
b.	Inability to open the eyes properly	a. Guide the enrollee to open the eyes wide to enable the capture b. Do the best you can to capture a good quality image. Use recapture.

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.

If the finger/iris of the resident has a temporary damage and it is not possible to capture the biometric, the Operator will still record it in exceptions. The resident should later get his/her biometric updated (Biometric updates feature is not available in current version of software but will be available in future version).

ER 5.1.7 Layouts



Microsoft Office
PowerPoint 97-2003 I

ER 5.1.8 Enrolment Centre Beginning and End of Day(BOD,EOD) activities

- i. Beginning of Day(BOD) Activities
 1. Review Setting up Enrolment Centre Checklist and ensure all requirements are in place. Enrolment Agency Supervisor should sign off the checklist.

- ii. End of Day Activities
 1. Export Data to memory stick for transfer to CIDR
 2. Maintain a register for data exported. Record date, station number and packets exported at each station.
 3. Take End of Day back up(note that backup is required twice a day preferable one during lunch time and another at end of day. Backup needs to be maintained for at least a quarter) and record in Register. Record date and station number where backup done.
 4. Correlate consent slips to number of packets exported. Both numbers should match.
 5. End of Day meeting at centre for sharing learnings of the day and issues faced.
 6. Make arrangements for replacements of faulty devices, hardware and other logistics for next day enrolments.
 7. Hand over completed documents(PoI,PoA and Consent Form) and enrolment forms(enrolment forms only if required by Registrar) to Registrar's Supervisor. Registrar/EA must store the documents till the time UIDAI comes up with an arrangement for document storage.
 8. Ensure all devices and laptop are shut down. Check power off to avoid accidents. Ensure security arrangements for devices and other equipments.

ER 5.2 Formats, Templates and Checklists

ER 5.2.1 Checklist for Setting up Enrolment Centre



Microsoft Office
Excel 97-2003 Worksfile

ER 5.2.2 Enrolment Form (draft format)



Microsoft Office
Word 97 - 2003 Document

ER 5.2.3 Acknowledgement Slip and Consent for Enrolment (draft format)



Package



ER 5.3 **References**

- Enrolment Manual
- Enrolment Software Manual
- Demographic Data Standards and Verification Procedure (DDSV) Committee Report
- Model RFP on UIDAI website
- 1st Mile logistics Process
- UIDAI Application Installation Manual
- User Management toolkit document
- AADHAAR_Registrar_Integration Manual
- Introducer Enrolment and Monitoring Process

ER 6. Process Controls

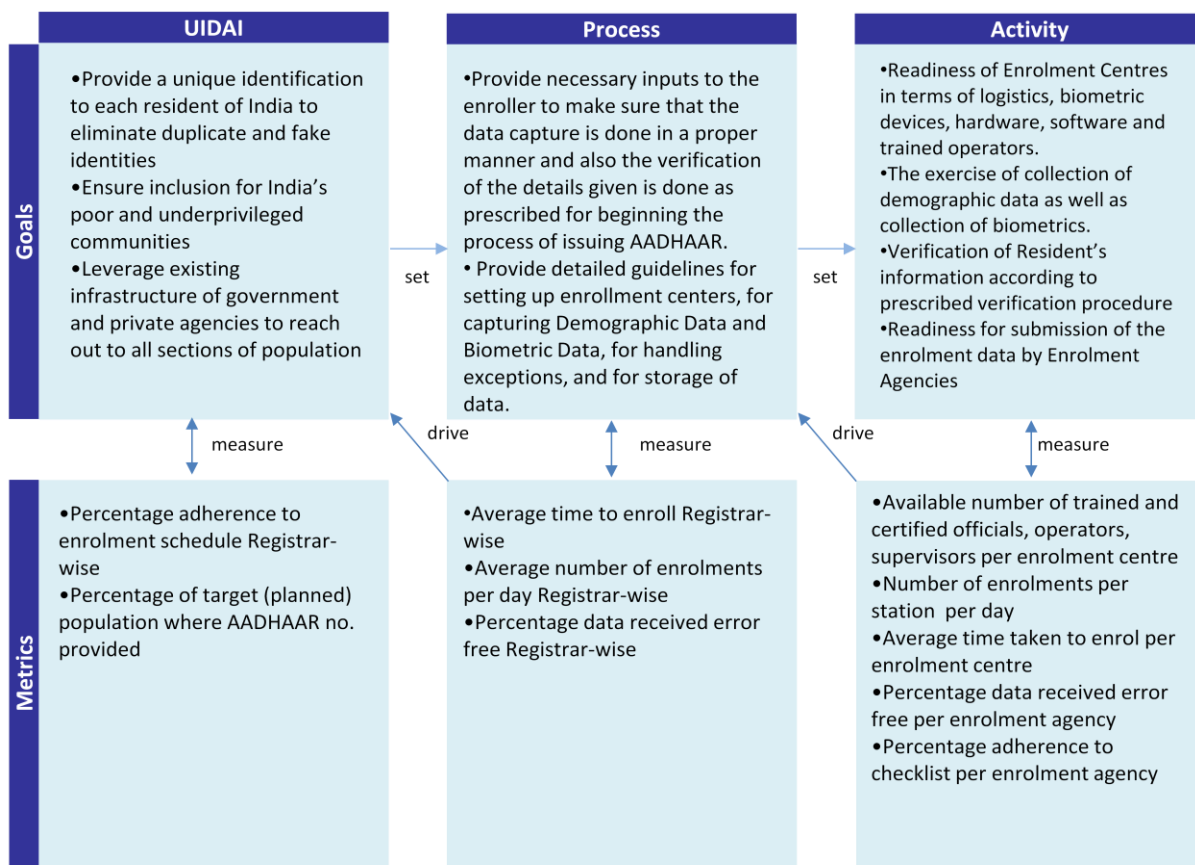
ER 6.1 Responsibility Matrix

Activity	UIDAI	Registrar	Enrolment Agency
Share education, awareness and publicity content	A,R	C	I
Ensure availability of certified Enrolment Operators and Supervisors	C	I	A,R
Ensure publicity and create resident awareness	C	A,R	R
Identify suitable locations for enrolment	I	A,R	I
Determine number and type (mobile/stationary) of stations required	I	C	A,R
Procure certified devices, software, hardware and logistics arrangement	I	R	A,R
Ensure site readiness	C	R	A,R
Capture Demographic and Biometric Data	C	R	A,R
Do quality audit on shared sample data and provide feedback	A,R	R	R,I
Conduct process audit to ensure adherence to UIDAI guidelines	C	A, R	R
Ensure data backup at enrolment centre	C	R	A,R
Ensure data reaches identified/specified location for transfer to CIDR	C	R	A,R
Share progress reports on enrolment	C	R	A,R
<p>A – Accountable - Those who are ultimately accountable for the correct and thorough completion of the deliverable or task, and the one to whom <i>Responsible</i> is accountable.</p> <p>R – Responsible - Those who do the work to achieve the task.</p> <p>C – Consulted - Those whose opinions are sought; and with whom there is two-way communication.</p> <p>I – Informed - Those who are kept up-to-date on progress, often only on completion of the task or deliverable; and with whom there is just one-way communication.</p>			

ER 6.2 Quality Check Points

Step	Document/Record	To be Maintained By
Train and Certify Operators, Supervisors and Technical Personnel	<ul style="list-style-type: none"> • Certification records of Operators • List of supervisors and technical personnel mapped to Enrolment Centres • Certification records of supervisors 	Certification agency appointed by UIDAI Enrolment Agency
Audit Site Readiness As Per Checklist	<ul style="list-style-type: none"> • Site Readiness Checklist 	Supervisor appointed by EA
Resident Verification	Any of the following: <ul style="list-style-type: none"> • Filing of PoI / PoA/ DoB documents, where available • Parent/ Guardian's AADHAAR • Introducer's AADHAAR • Hard copies of documents 	EA/Registrar till the time UIDAI makes an arrangement for document storage
Capture biometrics – ensure quality while capturing facial image, fingerprints and iris	Biometrics data captured via the UID software	UID database
Process and Sample Audits	<ul style="list-style-type: none"> • Audit Reports • Feedback Reports 	UIDAI Registrar Enrolment Agency

ER 6.3 Goal-Metrics Alignment



ER 6.4 Metrics Definition

S. No	Metric	Level	Definition	Target
1.	Percentage adherence to enrolment schedule Registrar-wise	Executive	(Actual no. of enrolments carried out till date by a Registrar ÷ enrolment projections shared by Registrar) x 100	TBD
2.	Percentage of target (planned) population where AADHAAR no. provided	Executive	(Actual no. of AADHAAR nos. issues ÷ target nos. as per UIDAI's projections) x 100	TBD
3.	Average time to enroll Registrar-wise	Tactical	Per Registrar, enrolment time averaged on monthly basis	TBD
4.	Average number of enrolments per day Registrar-wise	Tactical	Per Registrar, number of enrolments per day averaged on monthly basis	TBD

S. No	Metric	Level	Definition	Target
5.	Percentage data received error free Registrar-wise	Tactical	(No. of enrolments for which AADHAAR no. could be generated ÷ No. of enrolments shared by Registrar) x 100	TBD
6.	Available number of trained and certified officials, operators, supervisors per enrolment centre	Operational	(No. of certified operators/staff ÷ No. of enrolment centres setup by an Enrolment Agency)	TBD
7.	Number of enrolments per station per day	Operational	Per station, number of enrolments per day averaged on monthly basis	TBD
8.	Average time taken to enrol per enrolment centre	Operational	Per station, enrolment time averaged on monthly basis	TBD
9.	Percentage data received error free per enrolment agency	Operational	(No. of enrolments for which AADHAAR no. could be generated ÷ No. of enrolments shared by Enrolment Agency) x 100	TBD
10.	Percentage adherence to site readiness checklist per enrolment agency	Operational	(No. of sites for which signed-off checklist available ÷ No. of enrolment centres setup an Enrolment Agency) x 100	100%

ER 6.5 Process Audit Mechanism

--TBD--