

(On the Letter Head of AUA/KUA)

To:

The Chief Executive Officer, Unique Identification Authority of India
[Attention: Deputy Director (Authentication-II), UIDAI]
UIDAI Head Office, Bangla Sahib Road,
Gole Market,
New Delhi-110001

Subject: Appointment of _____¹ as a Sub-AUA and Sub-KUA

Sir/madam,

Regulation 14(1)(ga) of the Aadhaar (Authentication and Offline Verification) Regulations, 2021 [**“regulations”**] requires an AUA/KUA to obtain approval from the Unique Identification Authority of India (hereinafter referred to as “Authority”) before appointing any third party entity as a Sub-AUA and Sub-KUA for the use of Yes/No authentication facility under regulation 15 and e-KYC authentication facility under sub-regulation (2) of regulation 16, respectively of the said regulations by submitting an application and executing joint undertaking.

2. In this regard, we are submitting herewith an application (**Annexure – I**) for appointment of _____² as our Sub-AUA and Sub-KUA along with a Joint Undertaking (**Annexure – II**) with the proposed Sub-AUA and Sub-KUA.

3. We request you to approve the appointment of _____³, as our Sub-AUA and Sub-KUA.

Thanks & Regards,

(Authorized Signatory)

Name:

Designation:

Mobile no.

Enclosures: Application Form along with Joint Undertaking

¹ Insert name of the proposed Sub-AUA and Sub-KUA

² Insert name of the proposed Sub-AUA and Sub-KUA

³ Insert name of the proposed Sub-AUA and Sub-KUA

Application for appointment as a Sub-AUA and Sub-KUA under regulation 15 and 16(2) read with regulation 14(1)(ga) of the Aadhaar (Authentication and Offline Verification) Regulations, 2021

1. Details of the Sub-AUA and Sub-KUA:

(a) Name of the Sub AUA and Sub-KUA	
(b) Registration/Incorporation No. ⁴ <i>(Please attach copy of the document, if applicable)</i>	
(c) License No. ⁵ <i>(Please attach copy of the document, if applicable)</i>	
(d) Registered Office address	
(e) Correspondence address <i>{If other than address mentioned against (d)}</i>	
(f) GSTN registration number of Sub-AUA and Sub-KUA, as per Form GST REG-06 <i>(Please attach copy of the document, if applicable)</i>	
(g) Tax Deduction and Collection Account Number (TAN) of Sub-AUA and Sub-KUA	
(h) Type of Aadhaar Authentication facility; Corresponding category of requesting entity <i>(Tick as applicable)</i>	<input type="checkbox"/> Yes/No Authentication facility; and <input type="checkbox"/> e-KYC Authentication facility
(i) Board Resolution/minutes (or other valid letter/instrument of authorisation) citing approval for submitting the application form and signing Joint Undertaking and doing other Acts in relation to the same. <i>(Please attach a certified copy of the document)</i>	

⁴ Copy of Certificate of Incorporation/registration to be attached in case of “other than Govt. entities”

⁵ Copy of Certificate of Registration/License from the concerned regulator issued from RBI, SEBI, IRDAI and PFRDA

<p>(j) The provision of the Aadhaar (Targeted Delivery of Financial and Other Subsidies, Benefits and Services) Act, 2016 under which authentication is required/permitted <i>{If such provision is section 7 or section 4(4)(b)(ii) or section 4(4)(b)(i) read with the Prevention of Money-laundering Act, 2002, please attach copy of the relevant notification published in the Official Gazette}</i></p>	<p><input type="checkbox"/> Section 7</p> <p><input type="checkbox"/> Section 4(4)(b)(i), read with the Prevention of Money-laundering Act, 2002</p> <p><input type="checkbox"/> Section 4(4)(b)(i), read with relevant Central Act other than the Prevention of Money-laundering Act, 2002</p> <p><input type="checkbox"/> Section 4(4)(b)(ii)</p> <p><input type="checkbox"/> Section 4(7)</p>
<p>(k) Gazette notification details</p>	<p>Gazette notification no:</p> <p>Gazette notification dated:</p> <p>Gazette notification published date:</p> <p>Gazette notification published by:</p>

<p>(1) Category of the Sub-AUA and Sub-KUA</p>	<p><input type="checkbox"/> A Ministry, Department, secretariat, office, or agency of the Central Government, which has required, in terms of the provisions of section 7 of the Act, that an individual undergo authentication for receipt of a subsidy, benefit or service for which the expenditure is incurred from, or the receipt therefrom forms part of the Consolidated Fund of India</p> <p><input type="checkbox"/> A Ministry, Department, secretariat, office or agency of the Government of _____⁶, which requires, in terms of the provisions of section 7 of Act, that an individual undergo authentication for receipt of a subsidy, benefit or service for which the expenditure is incurred from, or the receipt therefrom forms part of the Consolidated Fund of State</p> <p><input type="checkbox"/> An entity permitted under sub-clause (i) of clause (b) of sub-section (4) of section 4 of the Act to offer authentication _____ services under⁷ _____ of _____⁸.</p> <p><input type="checkbox"/> An entity permitted under sub-clause (i) of clause (b) of sub-section (4) of section 4 of the Act to offer authentication services under section 11A of the Prevention of Money-laundering Act, 2002, by virtue of being a reporting entity under the said Act as a _____⁹, in terms of _____¹⁰ of sub-section (1) of section 2 of the said Act.</p> <p><input type="checkbox"/> An entity that has been allowed/authorised under sub-clause (ii) of clause (b) of sub-section (4) of section 4 of the Act, vide Ministry of Electronics and Information Technology's letter no. _____¹¹, dated _____¹².</p> <p><input type="checkbox"/> An entity that is required, in terms of the provisions of sub-section (7) of section 4 of the Act, to perform mandatory authentication by _____ of _____¹³.</p>
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6 Name of the concerned State, or the concerned Union territory with Legislature

7 Reference of the relevant provision (section, sub-section, clause etc.) of the relevant Act of Parliament, other than the Prevention of Money-laundering Act, 2002 ("PML Act")

8 Name of the relevant Act of Parliament, other than the PML Act

9 banking company, or financial institution, or intermediary, or a person carrying on activities for playing games of chance for cash or kind, or Inspector-General of Registration appointed under section 3 of the Registration Act, 1908, or Central-Government-notified real estate agent, or Central-Government-notified dealer in precious metals, precious stones and other high value goods, or Central-Government-notified person engaged in safekeeping and administration of cash and liquid securities on behalf of other persons, or Central-Government-notified person carrying on such other activities (whichever is applicable)

10 clause (wa), or sub-clause (i) of clause (sa), or sub-clause (ii) of clause (sa), or sub-clause (iii) of clause (sa), or sub-clause (iv) of clause (sa), or sub-clause (v) of clause (sa), or sub-clause (vi) of clause (sa) (whichever is applicable)

11 Number of the letter so allowing/authorising

12 Date of the letter so allowing/authorising

13 the provision (section, sub-section, clause etc.) of the Act made by Parliament, other than the Aadhaar Act

(m) Purpose for which authentication facility will be used	1. 2.
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2. Contact details:

(a) Details of Key Managerial Personnel (KMP) ¹⁴			
Name			
Full designation			
Official email address			
Mobile number			
Alternate office telephone number			
(b) Details of Chief Information Security Officer (CISO)			
Name			
Official Email Address			
Mobile number			
Alternate Office Telephone number			
(c) Management Point of Contact (MPOC)		Person authorised on the basis of Board resolution/minutes (or other valid letter/instrument of authorisation)	Other key personnel (if any)
Name			
Full designation			
Official email address			
Mobile number			
Alternate office telephone number			
(d) Technical Point of Contact (TPOC)		CXO/ Head of the functional vertical, who reports to the chief executive or governing body of the Sub-AUA and Sub-KUA	Other key personnel (if any)
Name			
Full designation			
Official email address			
Mobile number			
Alternate office telephone number			
(e) Sub-AUA and Sub-		DC (Data Centre)	DR (Data Recovery Centre)

¹⁴ For the purpose of this “Key Managerial Personnel (KMP)” means a KMP as defined under sub-section (51) of section 2 of the Companies Act, 2013

KUA infrastructure details ¹⁵		
MPOC/TPOC Name		
Email address		
Telephone/Mobile No.		
Address		
District		
State		
PIN Code		
(f) Contact details for Grievance redressal:		
Website URL		
Email Address		
Helpdesk Number		
3. Details of Authentication Service Agency (ASA)		
(a) Name(s) of ASA <i>(In case of multiple ASAs, please provide their names)</i>	1. _____ 2. _____ 3. _____	
(b) Declaration by the ASA(s) agreeing to provide its/their secure network connectivity and related services for the performance of authentication <i>(Please attach letter of ASA in original)</i>		
4. Authentication requirements		
(a) Territorial extent for use of Authentication facility	<input type="checkbox"/> Whole of India	
	<input type="checkbox"/> Name of State(s) and Union Territory(s):	
(b) Whether Authentication will be used to establish identity for carrying out	<input type="checkbox"/> Yes <input type="checkbox"/> No	

¹⁵ If using infrastructure of its AUA/KUA, then details of the same

financial transaction	
(c) Device form factor <i>(select one or more option)</i>	<input type="checkbox"/> Discrete Biometric Device <input type="checkbox"/> Integrated Biometric Device <input type="checkbox"/> Laptop/Desktop <input type="checkbox"/> Mobile phone
(d) Whether Authentication will be operator-assisted or by the user himself/herself <i>(select one or more option)</i>	<input type="checkbox"/> Operator-assisted use <input type="checkbox"/> Self-use
(e) Mode of Authentication <i>(select one or more option)</i>	<input type="checkbox"/> Demographic <input type="checkbox"/> OTP <input type="checkbox"/> Fingerprint <input type="checkbox"/> Iris <input type="checkbox"/> Face
(f) Connectivity supported between AUA/KUA and ASA <i>(select one or more option)</i>	<input type="checkbox"/> VPN <input type="checkbox"/> Leased line <input type="checkbox"/> Other; Please specify: _____
(g) Confirmation that the Sub-AUA and Sub-KUA has perused and understood UIDAI's Information Security Policy – External Ecosystem – Authentication User Agency/ KYC User Agency v6.0 <i>(Copy of the said policy document, after affixing the signatures of the authorised signatory, to be attached)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No

<p>(h) Confirmation that the Sub-AUA and Sub-KUA has perused and understood UIDAI's Model Privacy Policy for Protecting Personal data of Aadhaar number holders by Requesting Entities <i>(Copy of the said policy document, after affixing the signatures of the authorised signatory, to be attached)</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
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Declarations and Undertakings:

It is hereby declared that the information furnished in this application form is true and correct to the best of its knowledge and that no material particulars or information have been concealed or withheld, and that the (name of AUA/KUA) and (name of Sub-AUA and Sub-KUA) hereby undertakes—

- (a) to abide by the provisions of the Aadhaar (Targeted Delivery of Financial and Other Subsidies, Benefits and Services) Act, 2016 (“Aadhaar Act”) and the regulations made thereunder;
- (b) to facilitate, on receipt of in-principle approval from UIDAI, audit as per UIDAI “Compliance Checklist for Onboarding the Requesting Entity” and submit all compliance related documents attached as annexures before signing the AUA/KUA Agreement;
- (c) to fulfil all requirements with respect to use of the Aadhaar Authentication facility as per the Aadhaar (Authentication and Offline Verification) Regulations, 2021;
- (d) to set up and maintain within the territory of India, at all times, requisite infrastructure (including, but not limited to, servers, databases etc.) for the use of Aadhaar Authentication facilities, capable of handling a minimum of one lakh Authentication transactions per month;
- (e) to carry out appropriate due diligence before engaging any sub-contractor, business correspondent or field operator for performing any functions in relation to the use of Aadhaar Authentication facilities, including on boarding of user/beneficiary/customer, Authentication application development, etc.;
- (f) to store Aadhaar numbers, if authorised so to do, only in the Aadhaar Data Vault, in accordance with such policies, procedures, standards and technical specifications as UIDAI may specify from time to time;
- (g) to ensure the carrying out of audit of its own operations and systems and those of its Sub-AUAs and Sub-KUAs, if any, as required under the Aadhaar Act, the regulations made thereunder and the AUA Agreement;
- (h) to not share or disclose e-KYC data that may be received on use of e-KYC Authentication facility, except in accordance with the provisions of the Aadhaar Act and the regulations made thereunder; and
- (i) to inform UIDAI of any change in the name, address and other particulars of the applicant and contact persons as furnished in this application form;
- (j) to inform the UIDAI with a complete record of the total number and names of all schemes/portals associated with Sub-AUA/ Sub-KUA .

(Authorized signatory on behalf of Sub-AUA and Sub-KUA)

Signature: _____

Name: _____

Designation: _____

Organization: _____

Date: _____

All the details mentioned above have been verified.

(Authorized signatory on behalf of AUA/KUA)

Signature: _____

Name: _____

Designation: _____

Organization: _____

Date: _____

[Joint Undertaking to be drawn on non-judicial stamp paper of value as applicable. Please follow guidance given in referenced footnotes regarding filling up of underscored blank portions in this draft. Wherever guidance includes one or more text options bracketed by symbols “<” and “>”, relevant option should be used without modification. Omit guidance and inapplicable text options.]

Joint Undertaking

We, (name of AUA/KUA), intend to appoint (name of Sub-AUA and Sub-KUA) as Sub Authentication User Agency (“Sub-AUA”) and Sub-e-KYC User Agency (“Sub-KUA”) and both of us are fully aware of and understand the provisions of the Aadhaar (Targeted Delivery of Financial and Other Subsidies, Benefits and Services) Act, 2016 [“the Aadhaar Act”] and the regulations made there under. Further, we warrant that we shall at all times abide by the Act, regulations, various circulars, guidelines, directions, notifications, etc. issued by UIDAI from time to time.

We, (name of AUA/KUA) and (name of Sub-AUA and Sub-KUA), jointly and severally, certify that the information filled up in the application form and supplied therewith has been read over and verified to be true and correct to our personal knowledge and belief and no material particulars have been concealed.

By this, the undersigned on behalf of (name of AUA/KUA) and (name of Sub-AUA and Sub-KUA) affirm, declare and undertake the following:

1. We (name of AUA/KUA) shall ensure that the Aadhaar authentication services are used by (name of Sub-AUA and Sub-KUA) only for the purpose as mentioned in the application form.
2. (name of Sub-AUA and Sub-KUA) shall use the separate License Key and unique Sub-AUA and Sub-KUA code allocated to it by UIDAI and/or AUA/KUA, as the case may be, and shall not share these further with any other person or entity for any purpose, and shall keep such License Key and unique Sub-AUA and Sub-KUA Code secured from unauthorized access in any form.
3. (name of AUA/KUA) shall ensure that the (name of Sub-AUA and Sub-KUA) complies with the provisions of the Aadhaar Act and its regulations, directions, processes, standards, guidelines, notifications, specifications and protocols of the Authority that are applicable to the requesting entity.
4. (name of AUA/KUA) shall ensure that the (name of Sub-AUA and Sub-KUA) is audited by information system auditor certified by a recognized body on an annual basis to ensure compliance with the UIDAI’s standards and specifications and report shall be submitted to UIDAI upon request.
5. (name of AUA/KUA) understands that time period for moving from pre-production to production is of 3 months or such longer period as UIDAI may permit in writing.

However, if (name of Sub-AUA and Sub-KUA) defaults in meeting the requirements for moving from pre-production to production environment within the specified period,

- (a) the approval from UIDAI to the application of (name of Sub-AUA and Sub-KUA) shall cease on expiry of that period, unless UIDAI permits in writing.
 - (b) the fees paid shall be forfeited in favour of UIDAI; and
 - (c) no liability shall lie against the UIDAI, in any manner whatsoever, in this regard.
6. (name of AUA/KUA) shall ensure that the (name of Sub-AUA and Sub-KUA) is a regulated entity under (Name of Regulator) and it compulsorily maintains this status during the period of using authentication facility. (*strike out if not applicable*).
 7. To enhance the security level, the (name of Sub-AUA and Sub-KUA) shall maintain Aadhaar Data Vault (ADV) for storing Aadhaar number and related Personal Identity Information (PII) in their database, as per the guidelines issued by UIDAI from time to time.¹⁶
 8. (name of Sub-AUA and Sub-KUA) shall ensure that, the Aadhaar number and any connected Aadhaar data (ex. e-KYC XML containing Aadhaar number and data) maintained on the ADV or in rest or in motion shall always be kept encrypted and access to it strictly controlled only for authorised systems. Keys for encryption are to be stored in Hardware Security Module (HSM) devices only. The ADV implemented must have strong access controls, authentication measures, monitoring and logging of access and raising necessary alerts for unusual and/or unauthorized attempts to access. Any non-compliance would result in cancellation of their license key and termination of their Agreement.¹⁷
 9. (name of AUA/KUA) in compliance with sub-regulation (2) of regulation 16 of the Aadhaar (Authentication and Offline Verification) Regulations, 2021 shall share the e-KYC data received from UIDAI with (name of Sub-AUA and Sub-KUA) only and that too in encrypted format (using its own encryption key), as per the guidelines issued by the Authority from time to time with the specific consent of the Aadhaar number holder and after obtaining permission from Authority. Further, (name of Sub-AUA and Sub-KUA) shall not share this information with any other entity or agency as per sub-regulation (3).
 10. (name of AUA/KUA) shall ensure that, in the event of revocation of consent given by the Aadhaar number holder, at any time, to Sub-AUA and Sub-KUA for storing his e-KYC data, the Sub-AUA and Sub-KUA shall delete the e-KYC data in a verifiable manner and provide an acknowledgement of the same to the Aadhaar number holder.
 11. (name of AUA/KUA) shall maintain auditable logs of all such transactions where e-KYC data has been shared with (name of Sub-AUA and Sub-KUA), for a period specified by the Authority in due compliance of sub-regulation (6) of regulation 16, sub-regulations

¹⁶ Strike out if not applicable

¹⁷ Strike out if not applicable

(2) and (3) of regulation 18 of the Aadhaar (Authentication and Offline Verification) Regulations, 2021.

12. We (name of AUA/KUA) shall ensure that the client application to be used for Aadhaar authentication is developed and digitally signed by us, **OR** (name of Sub-AUA and Sub-KUA) shall integrate digitally signed SDK developed by us in their client application for capturing Aadhaar information like Aadhaar number, biometric information, demographic information, etc.
13. (name of AUA/KUA) shall ensure that the (name of Sub-AUA and Sub-KUA)'s client application or SDK, as the case may be, for Aadhaar authentication is audited as per standards set by the Authority, at the time of appointment of (name of Sub-AUA and Sub-KUA) and also every year thereafter, by information systems auditor(s) certified by CERT-IN empanelled auditors and submit compliance audit report against Compliance Checklist for certifying compliance with controls that the Sub-AUA and Sub-KUA is required to have in place, to UIDAI.
14. (name of AUA/KUA) and (name of Sub-AUA and Sub-KUA) shall inform UIDAI, without undue delay and in no case beyond _____ hours/days after having knowledge of misuse of any information or systems related to the Aadhaar framework or any compromise of Aadhaar related information.
15. We, (name of AUA/KUA) and (name of Sub-AUA and Sub-KUA) shall be jointly and severally liable for non-compliance of the provisions of the Aadhaar Act and its Regulations, specifically the Aadhaar (Authentication and Offline Verification) Regulations 2021, and directions, information security policies, processes, standards, specifications, guidelines and protocols issued by the Authority from time to time and shall be jointly and severally liable for disincentives and penalties as per the schedule of disincentives of Authentication User Agency Agreement v____.0 executed by (name of AUA/KUA) in addition to initiation of action under other applicable laws and other provisions including section 33A of the Aadhaar Act.
16. (name of AUA/KUA) and (name of Sub-AUA and Sub-KUA) have ensured that the declared information filled up in the application form as well as this joint undertaking was placed before the board of directors¹⁸ of their respective organizations in their meetings dated _____¹⁹ and dated _____²⁰, respectively and has been read over and verified to be true and correct.
17. No material particulars have been concealed and upon verification of the application, the board has approved the same for submission at the hands of _____²¹. Any change in the name, contact details, addresses etc. as filled up in the application form shall also be immediately conveyed to the Authority.

¹⁸This is applicable for other than the government entities. Mention "NA" if not applicable

¹⁹ Meeting date of AUA/KUA

²⁰ Meeting date of Sub-AUA and Sub-KUA

²¹ Name along with designation of the person authorised based on Board resolution/minutes in this regard for AUA/KUA and Sub-AUA and Sub-KUA, respectively

18. The board resolutions/minutes of the meetings dated _____²² and dated _____²³ approving the application form and authorizing _____²⁴ on behalf of (name of AUA/KUA) and (name of Sub-AUA and Sub-KUA), respectively to submit the same are being annexed herewith.

19. The application form having been duly filled up and all its particulars having been verified by all the directors/head of department, each one of them shall be jointly and severally liable for any discrepancy in the information supplied herein above and as may be found by the authority. This undertaking is being executed on this _____ day of _____ 202__ at _____.

Authorized signatory of (name of AUA/KUA)

Signature: _____

Name: _____

Designation: _____

Organization: _____ Date: _____

Authorized signatory of (name of Sub-AUA and Sub-KUA)

Signature: _____

Name: _____

Designation: _____

Organization: _____ Date: _____

²² Meeting date of AUA/KUA

²³ Meeting date of Sub-AUA and Sub-KUA

²⁴ Name along with designation of the person authorised based on Board resolution/minutes in this regard for AUA/KUA and Sub-AUA and Sub-KUA, respectively