

Government of India
Ministry of Communications & IT
Department of Telecommunications
(AS Cell)

Sanchar Bhawan, 20 Ashoka Road, New Delhi - 110 001.

File No: 800-09/20010-VAS

Dated: 09th August' 2012

All CMTS/ UAS Licensee(s)

Subject: Instructions on Verification of New Mobile Subscribers (Pre-paid & Postpaid).

As per the directions contained in the judgment and order dated 27.04.2012 rendered by the Hon'ble Supreme Court of India in WP(C) No. 285/2010, a joint expert committee was constituted in the DoT. After taking into consideration the recommendations made by the Committee, the instructions have been finalized and the same are being issued through this letter.

This has reference to the CMTS/UAS License condition which inter alia provides that "The LICENSEE shall ensure adequate verification of each and every customer before enrolling him as a subscriber; instructions issued by the licensor in this regard from time to time shall be scrupulously followed."

2. It has been decided that instructions in respect of verification of subscribers mentioned herein shall be strictly followed by the Service Providers. These instructions shall be in supersession of the following instructions issued on the subject and shall be effective three months from date of issue unless otherwise mentioned in the letter:

- (i) No. 1-34/2009-SI dated 08.02.2010
- (ii) No. 842-725/2005/157 dated 23.03.2009
- (iii) No. 800-4/2003-VAS (Vol.II)/104 dated 22.11.2006
- (iv) No. 800-4/2003-VAS/112 dated 10.05.2005
- (v) No. 842-488/2004-VAS/2 dated 30.11.2004
- (vi) No. 800-4/2002-VAS/101 dated 26.04.2004

3. **Activation of new mobile connection:**

- (i) A passport size photograph of the subscriber should be pasted on the Customer Acquisition Form (CAF) and the documents as proof of identity (PoI) and proof of address (PoA) of the subscriber shall be attached with the CAF, as per the instructions applicable from time to time. The person at the Point of Sale (PoS) shall get the CAF duly filled and signed (CAF, Photo & documents attached) by the subscriber with date. In case of illiterate person, the CAF may be filled by a person at the point of sale but the thumb impression of the subscriber may be

taken on CAF, Photo & documents attached. A unique number should be assigned to every CAF on receipt of the same in the warehouse and in case before activation of SIM.

- (ii) The subscriber shall be provided a counterfoil/receipt of the details of the PoI & PoA clearly mentioning the name of subscriber, Mobile number applied for, CAF Number, type of PoI/PoA, issuing authority, date of issue and serial number of PoI/PoA document duly signed with stamp of PoS.
- (iii) The authorized person at the PoS shall record in the CAF that he has seen the subscriber and matched the photograph attached on the CAF with the subscriber and verified his copies of documents of proof of address and proof of identity attached with the CAF with the original and shall put his signature on the CAF & all attached documents (along with full name & stamp containing address). For this purpose sufficient space should be provided in the CAF.
- (iv) The mobile connections shall be activated only after the requirement of filling up of customer acquisition form and copies of documentary proof as per requirement have been fulfilled by the customer and the subscriber details have been updated in the subscriber database of the Licensee; for this purpose, the licensee (the employee of Licensee) shall verify and record on the CAF under his name, designation and Signature that all the documentary requirement has been completed and subscriber details are updated in the database of Licensee. Only after this activity has been done the SIM card can be activated. For this purpose sufficient space should be provided in the CAF.
- (v) The date of sale of SIM and date of Activation of SIM is required to be established from the entries in the CAF. For this purpose, entry of Date is to be made with the Signature of Subscriber (at the time of filling CAF), Signature of PoS (at the time of verifying the subscriber and documents) and Signature of Licensee (at the time of verification before activation) in the CAF.
- (vi) After the activation of SIM, the subscriber shall be at least tele-verified. It may be ensured that while making the calls for tele-verification, details may be asked from the subscriber and verified against the details provided in the database. It may also be ensured that unless tele-verified, the subscriber is not able to make any type of call, except to the operator. The incoming call will remain barred before tele-verification.

- (vii) Pre-activated SIM Card is not to be sold. In case of sale of pre-activated SIM cards a penalty of Rs. 50,000/- per such connection shall be levied in addition to immediate disconnection of mobile connection, as and when detected. Pre-activated connection means that the SIM card available at point of sale or in possession of any other person is in such a condition that it is possible to make/ receive calls/SMS without activation as per procedure mentioned in para (iv) above. Further, in case it is established that the date of activation of SIM Card is prior to actual sale of SIM card, then it shall be treated as a sale of pre-active connection. Also, if for the CAF Audit/investigation, the CAF is not supplied to TERM Cell within given time frame (missing CAF cases in CAF Audit), the connection shall be treated as pre-activated.
- (viii) The Licensee shall ensure that the information about the subscribers are correctly filled in the subscriber database. There shall not be any typing mistake in the subscriber database such that the error leads to any person or address other than the intended person or address or else it shall be treated as failed subscriber verification case for the purpose of CAF Audit and specified penalty as per existing instructions shall be levied. The Licensee shall ensure immediate correction of entry in the database once such error is detected. However, typing error in case of translating the name or address from any regional language or Hindi to English shall be considered to the extent it leads to the same person or premise.
- (ix) In case of change of existing mobile connection from pre-paid to postpaid and vice versa also, the above instructions from 3(i) to 3(viii) shall apply.
- (x) The sample copy of a typical CAF to be used showing the mandatory fields in * (asterisk) is enclosed as Annexure-L.

4. Additional Guidelines for issue of Mobile Connection to Foreigner/ Short time mobile connection

- (i) In case of foreign tourists visiting India, the copy of Passport with valid Visa stamp shall be treated as proof of identity. For proof of address, the address of local reference which may also be the tour operator shall be taken. In case, there is no local reference, the address of stay (hotel etc) shall be taken.
- (ii) Any mobile connection issued to a Foreigner should not have validity beyond the validity of the Visa. In case of foreign tourist the validity of connection should not be beyond the Visa period and also not exceeding 3 months at a time even if the validity of the Visa is beyond 3 months.

- (iii) The connection issued to the personnel deployed on ships while at sea shore, shall have validity only till the date they have the permit to stay at the port.
- (iv) List of such connections shall be provided every month to DoT /TERM Cell separately while submitting monthly database to DoT/TERM Cell.

5. Outstation Customers

- (i) Applications for mobile phone connections from within the licensed service area or the state/UT concerned, whichever is more encompassing shall not be treated as outstation customers. For local reference of outstation customer, the name, address and contact phone number of local referee shall be obtained from the outstation customer, apart from the PIA.
- (ii) The local reference shall be verified telephonically at the point of sale before issue of SIM card and entry made in the CAF along with the name of local reference contacted. This will also be cross verified at the time of activation of the connection and the name of local reference with whom the tele-verification has been done shall be recorded in the CAF by the person activating the connection before activating the mobile connection as per para 3(iv) above. This shall be in addition to the tele-verification of the subscriber after activation as per 3(vi) above.

6. Bulk Mobile Connection:

- (i) Bulk mobile connection means 10 or more than 10 mobile connections issued in a single name to individuals or a company or an organization or at any given address by all the Licensed service providers in the service area.
- (ii) Bulk connections shall not be provided in case of individuals.
- (iii) In case of mobile connections to a company/organisation, a single CAF duly signed by Authorized Signatory of the company/organisation shall be supplied while applying for mobile connections in bulk. At least one CAF in each Service Area shall be required to be filled by the Company/Organization in case it wants to take Bulk connection across many Service Areas.
- (iv) The Photo and identity proof of the authorized signatory shall be furnished. The authorization letter for Authorized signatory should be issued by Company Secretary/ Proprietor/ Any of the partner as the case may be.

- (v) For the purpose of address proof certificate of incorporation/ registration as a company/firm may be taken.
- (vi) In case of Govt. of India undertaking, Govt. of India Offices/ State Govt. offices, the aforesaid requirement of identity and address proof are dispensed and self certification on the letter head will suffice alongwith the name and designation of the coordinating officer.
- (vii) In case of Foreign Missions in India, the name and designation of the authorized officer along with the details of officials for whom the cellular mobile phone is intended.
- (viii) The number of mobile connections used by the Bulk User from other Licensees in that Service Area shall be declared by the Bulk User at the time of filling the CAF. In addition to declaration of all of his connections by the customers, the licensee should also verify from its records the details of existing connections working in the name of the same subscriber before activation of new SIM.
- (ix) The Licensee shall maintain the list of actual users of such mobile connections. In case there is change in the actual user, the same shall be informed by the bulk user Authorized Signatory to the Licensee within a week of such change. The Licensee shall update its database immediately but not later than one week of receiving such information. Record of such changes in actual users shall be kept by the Licensee. The list of users with name and designation duly signed with stamp of authorized signatory (on each page of list) shall be maintained by the Licensee. The authorized signatory shall at the end of three months summarise the change of name taken place during the month. In case there is no change, a certificate mentioning no change shall be given to Licensee.
- (x) For Bulk mobile connections, physical verification of subscriber shall be mandatory before activation of the connection. Here the subscriber means the person who has made the application for the bulk connections. Additionally, Bulk user premises should be inspected by the service provider at least once in six months for satisfying themselves about bonafide use of such facilities as per License condition.
- (xi) The existing Bulk Connections shall be made compliant to above instructions within three months of issue of these instructions or else disconnected. A certificate of compliance shall be submitted to the TERM cell at the end of first two months for the connections made compliant. At the end of third month a

certificate of numbers made compliant and the numbers disconnected shall be submitted to the TERM Cell.

- (xii) During sample CAF audit if any CAF of bulk case is rejected in PIA (photo, identity proof, address proof) that particular case shall be treated as failed case for that sample CAF audit and penalty as applicable shall be levied. Other connections which are part of such bulk connection will also be investigated by TERM Cell.

7. Change in the name of subscriber

- (i) The change of name of subscriber is not permitted as the SIM card in user terminal is not transferable. The change in name between the blood relatives/legal heirs is permitted provided new CAF and all the procedure as for registering a new subscriber is followed and new SIM Card is issued. However, after the change in name the connection shall be treated as new connection. In such case, change in address is not permitted. Further, No Objection Certificate from the original user shall also be taken. In case of death of the original user, death certificate will suffice instead of No Objection Certificate.

8. Change of Address:

- (i) All the mobile subscribers either individual or bulk should intimate to their service provider, any change of address within one week of such change alongwith new proof of address. If during re-verification process by the Licensee or Licensor or Security Agencies, it is found that subscriber address is not correct in the database, then the connection may be disconnected forthwith and the subscriber shall be solely responsible of any consequent hardship. The subscriber shall be suitably advised by the Licensee in this regard while booking for new connection. The database of Licensee must be updated at all points of time.

9. Timely Disconnection:

- (i) Whenever a CAF/connection is found non-compliant for a working mobile connection, either during regular CAF Audit or any other investigation by DoT/Security agencies, either proper CAF should be produced within 72 Hours or else the connection be disconnected.

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- (ii) In case it is detected that a mobile connection is working in the name of Foreigner/ person with limited stay permit, beyond the validity of Visa/stay permit, the connection should be disconnected immediately.
- (iii) In all cases of failure to take timely corrective action mentioned above or disconnection, penalty of Rs. 50,000 shall be levied on each such connection in addition to the applicable penalty on non-compliance during subscriber verification audit.
- (iv) The report of disconnected numbers alongwith the date of disconnection shall be provided to the respective TERM Cell within 7 days of disconnection. In case, the Licensee fails to intimate about the disconnection to TERM Cell within 7 days of disconnection, a penalty of Rs. 3000/- per connection per week or part thereof shall be levied from the date of intimation for disconnection to Licensee upto the date of confirmation in addition to any other prescribed penalty levied.
- (v) A number disconnected in compliance of instructions on subscriber verification may be activated at a later date provided it is activated as per procedure for new mobile connection.
- (vi) A number disconnected in compliance of instructions of DoT/TERM Cell, at any stage if it is detected that the number was not actually disconnected on or before the date of confirmation/disconnection as indicated above, then a penalty @ Rs. 1000 per day from the date of intimation to the Licensee to the date of actual disconnection shall be levied in addition to the penalty for non-disconnection.

10. Lodging Complaint / FIR:

- (i) TERM Cell shall indicate the apparently forged cases as per their observation in the CAF Audit giving reasons for prima facie observation to the Licensee and marking them as a failed case for CAF Audit. The Licensee shall investigate such cases at their level and take necessary action as detailed below.
- (ii) In order to deal with the use of forged documents for obtaining mobile connections, complaint/FIR may be lodged with the law enforcement agencies under the law of land. The complaint should clearly mention the information about the mobile number, type of document forged along with the details about the issuing authority, date of issue, reason for suspicion as forged

document, name of the person suspected (e.g. name of subscriber/ PoS/Franchisee/Licensee)

- (iii) In cases where forged documents are submitted by the subscriber and originals are also forged, police complaint/ FIR shall be lodged by the PoS/Franchisee against the subscriber within fifteen days of bringing it to the notice of the Licensee.
- (iv) In case PoS/Franchisee fails to lodge complaint/FIR as above, Licensee shall lodge FIR/ Complaint against the subscriber and Franchisee/POS within further three days.
- (v) In case where it is found that the forgery has been done by point of sale, the Licensee shall lodge the complaint / FIR against the Franchisee/ point of sale within one week and financial penalty shall be imposed.
- (vi) In case no action is taken by the Licensee as above or the Licensee itself is involved in forgery, TERM Cell shall lodge Complaint/ FIR against Licensee. Penalty shall be imposed on all such forged cases also.
- (vii) In cases where it is found that the act of issuing connections were done by point of sale using the document of some other subscriber or any person without the knowledge of the subscriber or the person, or the documents were forged by the franchisee/PoS of Licensee, the concerned PoS/franchisee may be terminated by the Licensee under intimation to the Licensor (concerned TERM cell of DoT) and the designated security agencies, in addition to the actions mentioned above. The same may be intimated to all other Licensee(s) in that Service Area by TERM Cell. The other Licensees after getting any such intimation shall terminate/ not appoint any such point of sale.
- (viii) No penalty shall be imposed on the Licensee, if the laid down process of activation/verification applicable at the time of activation has been followed and the forgery is done by the subscriber. In case where activation/verification process is not followed by the Licensee, the penalty shall be imposed even if the documents are found to be forged.

11. Providing of subscriber database, BTS Location, CDR and CAF:

- (i) The subscriber database submitted to the Licensor and Designated security agencies should contain all the fields mentioned in the Annexure-II.

- (ii) In case, CAF of any subscriber is asked by the TERM Cells/ designated Security Agencies, the original/scan copy of CAF & documents shall be furnished within 1 hour. Subscriber data will be provided in 1 hr. BTS Location shall also be provided within 1 hour but not later than 6 Hours. CDRs upto 6 months old shall be provided within 12 hours and CDR more than 6 months old shall be provided within 24 hours.
12. Provision of deactivation by SMS / Call Center /e-mail/ website etc. after confirmation should be in the system if any subscriber wants to get deactivated his mobile number.
13. In case of Test SIMs required by the Licensee for any purpose, the list of such connections/numbers shall be intimated to DoT/Security agencies along with the duration of such requirement.
14. The terms and condition which affect the conditions of subscriber verification and also those which lead to disconnection of the connection shall be clearly mentioned on the CAF.
15. The above instructions have been prescribed for ensuring that the connection is issued to bonafide subscriber. However, the responsibility for adequate verification of subscriber in accordance with Licence condition lies with the Licensee. The Licensee may adopt additional safeguards to ensure adequate verification of subscriber without, however, modifying the instructions / procedures outlined in this letter in any manner.
16. The special instructions / safeguards issued from time to time regarding mobile services in J&K, Assam and North East Service Areas shall continue to remain valid.

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(A. K. Tirkey)
Asstt. Director General (AS-II)

Copy to:

1. DDG (Security-TERM), DoT
2. All DDsG TERM
3. DDG (LF-I)/ DDG (A/C) DOT
4. All CCAs
5. Director (AS-III)/ Director (AS-IV) DOT
6. COAI/ AUSPI

APPLICATION FORM FOR NEW MOBILE CONNECTION

DRAFT

Affix self signed passport size photograph

Unique Customer Application Form (CAF) No* - _____

Type of Connection* Pre-paid Post-paid
(Not appropriate box)

1. Name of the Subscriber* _____
(As given in Proof of Identity document attached with application):
2. Name of Father/ Husband* _____
3. Gender* :- Male Female (Not appropriate box)
4. Date of Birth*(DDMM/YYYY)-

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5. Complete Local residential Address* (As given in Proof of Address document attached with application):
 House No/Flat No* _____ Street Address/Village* _____
 Locality/ Tehsil* _____
 City/ District* _____ State/UT* _____
 Pin Code* -

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6. Complete permanent residential Address of subscriber :
 House No/Flat No _____ Street Address/Village _____
 Locality/ Tehsil _____
 City/ District _____ State/UT _____
 Pin Code -

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7. Status of Subscriber* :- Individual Bulk Corporate Foreigner Outstation
(Not appropriate box)
8. Nationality* _____
9. Photo ID Proof type* (Driving Licence/ Voter ID Card/ Passport/ PAN Card/ Other (specify):
 Document No.* _____ Date of Issue* _____
 Place of Issue* _____ Issuing Authority* _____
10. Address proof document type* (Driving Licence/ Voter ID Card/ Passport/ Other (specify):
 Document No.* _____ Date of Issue* _____
 Place of Issue* _____ Issuing Authority* _____
11. Number of Mobile connections held in name of Applicant (Operator-wise)* - _____
12. Tariff Plan Applied* - _____ 13. Value Added Services Applied(if any) _____
14. E-mail address (if any): _____ @ _____
15. Alternate Contact numbers, if any: Home: _____ Business: _____ Mobile: _____
16. Profession of Subscriber : _____ 17. PAN/GIR/UID Number : _____
18. Details (Name, Address and phone number) of Local reference* (If Applicable): _____
19. To be filled in cases of Mobile Number Portability (MNP) -
 (A) UPC _____ (B). Previous Service Provider Details : _____
20. To be filled in cases of Post-paid connections -
 (A) Form of Payment - Cash Cheque credit card Debit card
 (B) if payment made by cash/cheque/credit card/debit card
 (a) Bank A/c No. _____ (b) Bank Name _____
 (c) Branch Name & Address _____

Signature of Customer* _____
 Date* - _____

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Fields to be filled by Service Provider/Authorized representative

21. IMSI No.* - _____ 22. Mobile Number allotted* - _____

23. Point of sale code* - _____ 24. Point of sale agent name* - _____

25. Complete Address of Point of Sale* :

House No/Flat No _____ Street Address/Village _____

Locality/ Tehsil _____

City/ District _____ State/UT _____

Pin Code -

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26. Name of local reference contacted by PoS at time of Sale (in case of outstation subscriber)*

Signature, name and stamp of PoS along with the declaration as per para 3(III) of instructions*(the name of local reference with whom the tele-verification of outstation customer is done is to be entered by PoS)
Date* - _____

Fields to be filled by Service Provider before SIM Activation

27. Name of local reference contacted at time of activation (The name of local reference with whom the tele-verification of outstation customer is done is to be entered by him)*(In case of outstation subscriber).

28. Name & designation of the Employee of the Licensee activating the SIM on behalf of the licensee*

29. Details of Add-on/Value Added facilities (like Internet, 3G, Call transfer facility, ISD facility, GPRS, navigation, Tariff plan etc.) activated on the SIM Card - _____

Signature of Employee of Licensee who is activating the SIM*
Date* - _____

*Mandatory fields

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PARAMETERS
Parameters required to be included in the subscriber database furnished by Telecom Service Providers

Sl. No.	Parameter	Width
1	Telephone Number	10 characters
2.	CAF serial No.	10 characters
3.	Name of the Subscriber	100 characters
4.	Date of Birth	10 characters
5.	Father's/Husband's Name	100 characters
6.	Local Address of the Subscriber	
	(i) House No./Flat No.	20 characters
	(ii) Street Address/Name	50 characters
	(iii) Locality	50 characters
	(iv) City	50 characters
	(v) State/UT	50 characters
	(vi) Postal Code	06 characters
7.	Permanent Address of the Subscriber:	
	(i) House No./Flat No.	20 characters
	(ii) Street Address/Name	50 characters
	(iii) Locality	50 characters
	(iv) City	50 characters
	(v) State/UT	50 characters
	(vi) Postal Code	06 characters
8.	Alternate phone No.	
9.	E-mail ID (if any)	100 characters
10.	Gender	06 characters
11	Nationality	15 characters
12	Profession of the Subscriber	15 characters
13	PAN/GIR No	
14	UID No (if available)	
15	Photo ID Proof type(Driving Licence /Voter ID Card/Passport/Pan Card/Other (specify):	20 characters
	(i) Document No.	10 characters
	(ii) Date of issue	10 characters
	(iii) Place of issue	25 characters
	(iv) Issuing Authority	20 characters
16	Address proof document type (Driving Licence/Voter ID Card/Passport/Others (specify):	25 characters
	(i) Document No.	10 characters
	(ii) Date of issue	10 characters
	(iii) Place of issue	25 characters
	(iv) Issuing Authority	20 characters
17	Status of Subscriber (Individual Bulk/Corporate/Foreigner/outstation)	10 characters
18	Connection Type (Pre-paid/Post-paid)	10 characters
	(i) if Post paid: form of payment (cash/cheque/credit card/debit card)	10 characters

	if payment made by cash/cheque/credit card/debit card:	
	(a) Bank A/c No.	20 characters
	(b) Bank Name	25 characters
	(c) Branch Name & Address	50 characters
19	IMSI No.	20 characters
20	Service Provider (initial)	20 characters
21	Circle (initial)	20 characters
22	SIM Activation date	10 characters
23	Current Status of Connection (Activated/Suspended)	10 characters
24	Previous Service Provider (in case of ported from other service provider)	20 characters
25	Previous Circle (in case of ported number from other circle)	20 characters
26	Point of sale code	10 characters
27	point of sale name	50 characters
28	Point of sale address:	
	(i) House No./Flat No.	10 characters
	(ii) Street Address/Name	50 characters
	(iii) Locality	50 characters
	(iv) City	50 characters
	(v) State/UT	50 characters
	(vi) Postal Code	06 characters
29	Details of Add-on/Value Added facilities (like Internet, 3G, Call transfer facility, ISD facility, GPRS, navigation, tariff plan etc.) activated on the SIM Card	50 characters
30	Scanned photograph (coloured) of the Subscriber	
31	Name & designation of officer activating the SIM on behalf of Licensee	50 characters