

INFORMATION TO BE PUBLISHED UNDER SECTION 4(1) (b) of THE RIGHT TO INFORMATION ACT, 2005.

UTI INFRASTRUCTURE TECHNOLOGY AND SERVICES LIMITED

I. Objective Purpose of the Public Authority

I (a) Mission /Vision Statement of the Public Authority

- **Vision & Mission**

We are committed to total customer satisfaction through efficient technology and high quality services in all domain areas.

This will be achieved through managing and upgrading people and technological assets of the Company.

- **Quality Policy**

We strive to achieve business performance by producing and delivering service that matches the best in the industry.

We will have involvement of quality human input, continual improvement of systems and procedures through efficient technology and high quality services in compliance with statutory and regulatory requirements.

- **Quality Objectives**

- Timely delivery of products and services
- Aiming for zero defects
- Monitoring and improving customer satisfaction

I (b) Brief History of the Public Authority

UNIT TRUST OF INDIA INVESTOR SERVICES LIMITED (UTIISL), which was originally incorporated as a Public Limited Company under Companies Act, 1956 on **19th May 1993** is a Company registered with Registrar of Companies at Mumbai in the State of Maharashtra. The name of the company has been changed to **UTI TECHNOLOGY SERVICES LIMITED (UTITSL)** with effect from 14th October,2004. The Company having its registered office at UTI Bhawan, Plot No.3, Sector 11, CBD Belapur, Navi Mumbai 400314.

UTI TECHNOLOGY SERVICES LIMITED is a Government of India, Company under Section 617 of the Companies Act, 1956. The 100 % shareholding of **UTI Technology Services Limited** held by the Administrator of Specified Undertaking of Unit Trust of India (**SUUTI**).

Pursuant to the order of Ministry of Corporate Affairs, Government of India, under the scheme of Amalgamation under Section 391-394 of the Companies Act, 1956 dated 22nd June 2010 **UTI Infrastructure and Services Limited** (transferor Company) has been merged with **UTI Technology Services Limited** (Transferee Company).

Consequent upon the merger, the name of **UTI Technology Services Ltd** has been changed to **UTI Infrastructure Technology And Services Limited w.e.f. 24.08.2010**.

I (c) Duties of Public Authority

Board Procedures

The Board of Directors of the Company usually meets as per the norms specified to discuss inter alia the following:

1. All significant Operational and Financial Matters of the Company.
2. Annual Revenue and Capital Budgets.
3. Formatting business plans and Marketing output.
4. Investments made by the Company.
5. Statutory Compliance made by the Company and any default on compliances.
6. Monitoring of Board Directions.
7. Financial Results and annual accounts.
8. Proceeding of other committee meetings.
9. Departmental initiatives of the Company.
10. Operational and other Activities of the Company.

I (d) Main activities / functions of the Public Authority

The main business lines of UTIITSL are as under:

Card Based Solutions - Processing, Personalization, Printing & Rollout

- Issue of PAN Cards on behalf of CBDT Income Tax Department
- Common Mobility Card - AFC for Ministry of Urban Development
- Issue of Address Proof Cards for Postal Department GPO – Tamil Nadu, Orissa, West Bengal, A&N Islands, Sikkim, Rajasthan, Gujarat, Delhi
- Driving License for the State of Tamil Nadu
- Voter ID Cards for the State of Tamil Nadu
- Debit & Credit Cards for Banks
- Issue of ID cards for GPO Kolkata
- Cards – Plain & Smart for various Governmental Departments

Information Technology and Information Technology Enabled Services

- IT EPFO: Program Management & Issue of NSSF Cards
- MCA -21: IT Program Management/ Consultant
- E-Governance projects - IT Consultancy
 - ❖ Empanelled with DIT, MoIT as a Consultant for State Portals SSDG Project
 - ❖ SSDG Project started for Sikkim, Mizoram, Chattisgarh
 - ❖ Consultant for Jan Seva Kendra Project for Government of Himachal Pradesh
- IT Web-based software for IDRP Shimla, Himachal Pradesh
- IT Website Development - NIFTEM (MoFPI, New Delhi), MPSC Mumbai , National Jute Board (WB)
- IT Web-based software for Disbursal of Funds to end-Pensioners, State of Tripura.
- Establishing IT Project/ Facility Management
 - IT Online PAN Bulk Verification
 - EPFO Phase II - Software Rollout & Maintenance (All India)
 - UID - Enrolment Agency for 10 States
 - CMC/AFC- Jaipur & Bangalore

Transaction Processing Related Services

- R&T for SUUTI/ UTI AMC, NABARD & others
- Bill (Medical) Clearing Agency, E-adjudication of Medical Claims for CGHS, Ministry of Health & Family Welfare
- Insurance BPO for HDFC-SL – Scanning, Digitization & Image based Data Entry
- Fixed Deposit Processing for CESC Ltd. Kolkata
- Activities pertaining to KYC, as POS for CDSL Ventures Ltd
- Franking at Jaipur, Sanganer, Jhotwara, Jodhpur and Panaji.

Real Estate Services

- Acquisition / Disposal of Property
- Leasing of Property
- Valuation
- Interior Works
- Facility/ Infrastructure Management

Distribution

- Distribution of Mutual Fund products
- POP – Service Provider for New Pension System, PFRDA

It would be observed from the above that the Company is basically offering consultancy and processing services, which are comparatively low risk and low capital investment ventures. The main strength of the Company arises from:

1. Spread of the Company i.e. having offices in every nook and corner i.e. at about 70 locations all over India
2. The interconnectivity between the branches of the Company.
3. Availability of in-house Data Center and Business Continuity Center.
4. Availability of low cost in-house technical manpower.
5. Low cost manpower
6. High volume transaction processing

Based on the above strengths, the Company is going to step into high volume processing areas as CGHS / ECHS processing, UIDAI, Common Mobility Card and other similar areas.

The Company is poised for further growth, harnessing the use of technology in the services, consultancy and processing areas and looks to the future with confidence.

I (e) List of services being provided by the Public Authority

- Financial Services
- E-Governance
- Processing
- Consultancy
- Distribution
- IT and ITES
- Project Manager
- Real Estate Services

I (f) Organizational Structure Diagram

To view the Organizational Structure of the Company please refer **Annexure-I** "[Organizational Structure Diagram of UTIITSL](#)".

II. Powers and duties of officers and employees

The Board of Directors of the Company has authorized Company Officials certain powers for the functioning of the Company. The delegation of financial powers of various grades of officers are decided by the Board of Directors of the Company and which are reviewed and revised from time to time as per the requirement of the Company. The delegation of powers is a written document available approved by the Board.

The Company has its own "Internal Audit Manual and Standard Operation Practices" manual, officer circulars etc are used by the employees for discharging of their various functions.

III. The rules and regulations, Instructions, manuals and records held by the Company and used by its employees for discharging its Functions

The Company has its own "Internal Audit Manual and Standard Operation Practices" manual, officer circulars etc are used by the employees for discharging of their various functions.

As stated above the Company is SEBI approved Category I - Registrars and Transfer Agents and providing the various financial services to our above-mentioned clientele as a Registrars and Transfer Agents. Hence, the circulars and guidelines issued by the SEBI time to time as far as applicable as well as the Instructions and directions given by the respective clients also used by the employees to perform their various functions.

The Company is also issuing the PAN Card on behalf of the Income Tax Department, Government of India. The guidelines, circulars and instructions issued by the Central Board of Direct Tax (CBDT) are also required to follow for issuing of the Pan Card.

(A) Matters relating to Company Affairs

- Memorandum of Articles of Association
- Companies Act, 1956 and the provision contains therein.

(B) Matter relating to Finance & Accounts

- Accounting Policies and Accounting Standards issued by ICAI.
- Income Tax Act, 1961
- Service Tax Act, 1994

(C) Human Resources Development

- Staff Rules
- Employee Provident Fund Act, 1952
- Payment of Bonus Act, 1965
- Payment of Gratuity Act, 1972
- Minimum Wages Act, 1948
- Payment of Wages Act, 1936
- Professional Tax Act
- Govt. Policy for Reservation & Concessions to SC/ST & Other Backward Class
- ESIC Act
- Contract Labour Act
- The Maternity Benefit Act, 1961

(D) Legal Department

- Civil Procedure Code
- Criminal Procedure Code
- Consumer Protection Act

(E) IT Department

- Policies and Procedure laid down under: -
- ISO- 27001: 2005 Certification (For Information Security Management System)
- ISO- 20000: 2005 Certification (For IT Service Management System)
- ISO-9001 Certification (For Software Development & Maintenance)
- CMMi- ML3 (For Software Development)

(F) Administration Department

- Shop & Establishment Act

(G) MF Marketing

- AMFI Guidelines

IV. Whether there is any provision to seek consultation / participation of public or its representative for formation of policies? if there is, please provide the details of such policy

The equity shares of the UTI Infrastructure Technology And Services Limited (Formerly know as UTI Technology Services Limited) not allotted to the Public. Hence, there is no participation of the public or its representative. It is Board Managed Company.

V. The categories of documents that are held by the Company or under its control

UTI Infrastructure Technology Services Ltd is a category – I Registrars to an issue and Share Transfer Agent registered under SEBI (Securities and Exchange Board of India) Act, 1992 and acting as Registrars and Transfer Agents for the schemes of **SUUTI** and maintaining the following data and the records of unit holders of **SUUTI** in fiduciary capacity.

I. Soft data

1. Personal data of unit holder viz. Name and address of unit holder, Date of Birth, the name of joint holder if any, the name of Nominee if any.
2. PAN Number if any.
3. Details of Bank Mandate/ Bank Particulars/ ECS details.
4. Folio No/ Investor ID of unit holder, No. Of units held, Unit Certificate Nos.
5. Details of Dividend/ Interest / Income Distribution warrants issued.
6. Transaction data relating to Sale and Purchase of units.
7. Data regarding payment of Agent Commission.

II. Documents

1. Sale and Purchase Applications of units of Mutual Fund.
2. Complaint/ request letters received from the unit holders.
3. Transfer Deed for the Sale of units of Mutual Fund.

4. Request Letters/ Form for after Sale Services viz. Change of Address, Change of Bank details/ Bank Particulars, Noting of ECS/ Bank details/ Particulars, Change of Name and Nomination, Change of Status, Change of Holding, Conversion, Dematerialization and Rematerialization of Units etc.
5. Documents viz. Affidavit, Indemnity, and Letter of Undertakings etc. for issue of duplicate certificate/ Membership advise/ statement of accounts, issue of duplicate dividend/interest/ Income distribution warrants.

UTI Infrastructure Technology And Services Ltd is also issuing the PAN Cards and maintaining the following data and records of PAN Cards on behalf of Income Tax Department, Government of India in fiduciary capacity.

I. Soft Data

1. Personal Data of PAN Card Holder viz. PAN Number issued, Name and address of PAN Card holder, Date of Birth, Father Name etc.
2. Application Number and Coupon Number for allotment of PAN Number.

II. Documents

1. PAN Applications viz. Form 49A for Application of New PAN Card and CSF for request for New PAN Card or /And Change or correction in PAN Data.
2. Documents submitted along with PAN Applications.
3. Request/ Complaint Letters etc.

VI. Information on Boards, Councils, Committee and Other Bodies related to the Company

The following are the Board of Directors of UTI Infrastructure And Technology Services Limited

Shri K. N. Prithviraj The Administrator of the Specified Undertaking of Unit Trust of India	Chairman & Director
Shri C S Mohapatra (Director, Ministry of Finance, Department of Economic Affairs, Government of India)	Director
<u>Shri Punit Saxena</u>	MD & CEO
Shri S C Dikshit (Chief Legal Advisor of UTI AMC Ltd)	Director
Shri Y N Rammurthy - Retired Executive Director of Life Insurance Corporation of India	Director
Shri K P Lakshamana Rao , Ex. Deputy CAG (Former Deputy CAG, India)	Director
Shri D Prakash, IAS Former Secretary, Department of Electronics, Government of Tamil Nadu	Director

The following are the Members of Audit Committee

Shri K P Lakshamana Rao	Chairman
Shri D Prakash,	Member
Shri Punit Saxena	Member

Audit Committee

The Audit Committee of the Company usually meets to review the operations and to deliberate upon the internal controls in the business activities of the Company. After the reviews the Committee placed its recommendations for improving the performance of the operations and the service standards. The Committee has been reconstituted from time to time consequent on the reconstitution of the Board of Directors of the Company.

There are other Committees to help the Company.

VII. Information about the Public Information Officers, Appellate Authority and Transparency Officer of the Company

Appellate Authority, PIO & Transparency Officer under Right to Information Act, 2005

	Name and Address of the Officer	Telephone No.	Email ID
Appellate Authority	Shri Deepak Kumar Plot No.3, Sector 11, CBD Belapur, Navi Mumbai, Maharashtra 400614	022-67931106	deepak.kumar@utiitsl.com
Public Information Officer	Shri Sandeep R Rajeshirke Plot No.3, Sector 11, CBD Belapur, Navi Mumbai, Maharashtra 400614	022-67931029	sandeep.rajeshirke@utiitsl.com
Transparency Officer	Ms. Pushpa Priyani Plot No.3, Sector 11, CBD Belapur, Navi Mumbai, Maharashtra 400614	022-67931082	pushpa.priyani@utiitsl.com

VIII. Directory of Officer and Employees

The Company has 4 Regional Offices and 60 Branches all over India and almost 900 numbers of employees and they are subject to transfers. Any person interested in seeking the information about any officer or employee of the Company can approach the Public Information Officer.

The list of Regional Offices and the respective Branch offices with the details of the Regional Head/ Branch In charge and their address, contact Nos. and email addresses are already available in our website <http://www.utiitsl.com/> under the caption "**Contacts**".

IX. The manner of execution of subsidy programmes, including the amount allocated and the details and beneficiaries of such programmes

Not Applicable

X. Particulars of recipients of concessions, permits or authorizations granted by it

Not Applicable

XI. Details of the Norms / Standards set by the Department for execution of various activities

As per the applicability of various Laws/Act/Provisions/rules/guidelines/ circulars discussed above the Norms/ Standards are set for the respective Department for performing and executions of various activities.

XII. Frequently Asked Questions and their Answers

For frequently asked Questions and their Answers regarding PAN Card and Mutual Fund (MF), the information seeker can visit to our website <http://www.utiitsl.com/> under the caption "FAQs".

XIII. The Information related to the various Schemes which are available in the Electronic Form

All the general Information regarding Services officered, Certification, Clients, IT and E-Governance Projects, Forms downloads, Tenders Details and Careers etc of the Company are already available on our website <http://www.utiitsl.com/> under respective the caption. The Information seeker may visit to our said website.

XIV. The Monthly Remuneration Received by each of its officers and Employees, including the system of compensation as provided in its regulations of the Company

For pay scales of officers/ employees, please refer **Annexure-II** " [Pay Scale of Employee.xls](#)".

XV. Means, Methods or facilitation available to the Public which are adopted by the department for dissemination of Information

The list of Regional Offices and the respective Branch offices with the details of the Regional Head/ Branch In charge and their address, contact No. and email addresses are already available in our website <http://www.utiitsl.com/> under the caption " **Contacts**". The Information seeker may contact to nearest Regional Offices/ Branch Office or contact through email /on telephone or the Information seeker also approach to the Public Information Officer for information/ documents.

The Information seeker can also refer to the caption "**Write to us**" in our website <http://www.utiitsl.com/> and submit the query.