

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

UTI INFRASTRUCTURE TECHNOLOGY AND SERVICES LIMITED
Corporate Identification Number (CIN) U65991MH1993GOI072051

(i) **Section 4 (1) (b) (i)- The Particulars of its Organizations, functions and duties:**

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 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**.

Setup

The Specified Undertaking of the Unit Trust of India a Statutory Authority of Ministry of Finance holds the entire paid up share capital of the Company. As per the provisions of Section 617 of the Companies Act, 1956, UTI Infrastructure Technology And Services Limited is a Government Company. The total capital of UTIITSL vests in Government of India through SUUTI and therefore the ownership of the Company vests with Government of India.

The Company has its Registered Office at Navi Mumbai and the four Regional Offices are located at Kolkata, Delhi, Chennai and Mumbai. The Company has its presence at 72 locations all over India. The Company has a strategic Corporate office at UTI Tower BKC, Mumbai. UTIITSL has a modern Data Centre at Navi Mumbai with an equally matching back up data centre at Hyderabad for ensuring business continuity. All the offices of the Company are integrated with an online computer network.

Information Technology Set up

The Company is constantly enhancing its capabilities and is active in management of networks, providing and managing, large and complex database management, migration of data from legacy systems to RDBMS, etc. The Company has around 150 IT professionals on its direct roles.

UTIITSL is a CMMi ML3, ISO/IEC 27001:2005, ISO/IEC 20000-1:2011 & ISO 9001:2008 Certified Company with its own Data Centre at Navi Mumbai.

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

THE ACTIVITIES TAKEN UP BY UTIITSL – SERVICES OFFERED

UTI Infrastructure Technology And Services Ltd., (UTIITSL) provides technology and outsourcing services to the Financial and Government sectors in India. It is primarily assigned with activities like issuance of PAN Card, settlement of claims under CGHS scheme of Ministry of Health & Family Welfare and Ex-Servicemen Contributory Health Scheme (ECHS) for the Ministry of Defence. The Company also processes and issues Smart and other cards in various user categories, Address cards for Department of Post etc.

UTIITSL also offer services in the field of transaction processing for the investors in Equity and Bond holdings, Mutual Funds, Fixed deposits and in Insurance products.

The Company also undertakes design, development and implementation of different IT/Web based solutions. It has also been appointed as a Nodal Agency by the Ministry of Urban Development, for the implementation of National Common Mobility Card project. The Company is also actively assisting the Government of India in implementing Information and Communication Technology programs through SSDG gateways and State Portals.

The Company is perhaps the only distributor of Mutual Funds in the Government Sector which is also registered with SEBI (Securities and Exchange Board of India) as Category – I Registrar and Transfer Agents.

In addition to above, Company also provides Property related services like acquisition / disposal of Property/ leasing of property, Valuation, Interior works, Facility/ Infrastructure Management.

The detailed write up on activities of UTIITSL is as under:

a) SUUTI SCHEMES

UTIITSL is offering services to investors of Mutual Fund AMC, Bond/Deposit. The Company has dealt with large number of the schemes as a Registrar & Transfer agent for UTI Mutual Fund and is currently associated with providing R & T services for around 82 schemes including ARS and US 64 Bonds falling under the purview of the Administrator of Specified Undertaking of Unit Trust of India (SUUTI). R & T activities includes providing services to the holders under SUUTI schemes mainly releasing the maturity and unclaimed amounts on receipt of the requests from the holders after verifying the genuineness of the holders based on documentary evidence provided by them.

b) SUUTI PROPERTIES

The disposal of properties owned by SUUTI is done by UTIITSL as per the guidelines issued by SUUTI Board of Advisors and/or as per the approval of the Administrator. The Property Advisory Committee constituted by the Board of Advisors of SUUTI, advises /recommends on SUUTI related works, i.e. acquisition, disposal, valuation and leasing of properties as also on various technical, commercial, administrative issues, etc.

c) IT /IT ENABLED SERVICES

UTIITSL has identified the following four domains to cover various IT initiatives in the e-governance space.

- Consulting projects
- Software Development/support projects
- Facility Management(Data centre, Network etc) projects
- Other Projects (Executed through technical support agencies, Data centre etc) projects

d) PAN CARDS

This activity is in operation since July 2003. At present, UTIITSL has network of around 9000 PAN Service Agents (PSAs). Till date, UTIITSL has issued & dispatched more than 8 crores PAN cards.

e) Bill CLEARING AGENCY (BCA) FOR CENTRAL GOVERNMENT HEALTH SCHEME (CGHS)

The Central Government Health Scheme (CGHS) is providing comprehensive medical care facilities to the Central Government Employees/Pensioners and their dependants residing in cities covered by CGHS. In the process CGHS has empanelled various hospitals/diagnostic centers for providing treatment to its beneficiaries. In order to avoid delays in bill payment, the process of settlement / reimbursement of claims to the private recognized hospitals/diagnostic centres, the Ministry of Health and Family Welfare has engaged UTIITSL for processing the claims on behalf of CGHS and make payments directly to the empanelled hospitals/diagnostic centres within a time frame.

f) BILL CLEARING AGENCY (BCA) FOR EX-SERVICEMEN CONTRIBUTORY HEALTH SCHEME (ECHS)

Ex-Servicemen Contributory Health Scheme (ECHS) is providing comprehensive medical care facilities to the Ex-Servicemen and their dependants residing in India. In the process ECHS has empanelled various hospitals/diagnostic centers for providing treatment to its beneficiaries. In order to avoid delays in bill payment, the process of settlement / reimbursement of claims to the private recognized hospitals/diagnostic centres, the Ministry of Defence has engaged UTIITSL for processing the claims on behalf of Department of Ex-Servicemen Welfare (DoESW), Ministry of Defence, Government of India. UTIITSL has been appointed as Bill Processing Agency (BPA) for settlement of claims submitted by ECHS empanelled hospitals/diagnostic centers.

g) DISTRIBUTOR FOR MUTUAL FUND (MF) SCHEMES

UTI ITSL is also into the business of selling financial products / marketing of Mutual Funds (MF) since April 2003. Services like Investment advice and after sales service are provided to the clients. UTI ITSL is AMFI registered Mutual Fund Advisor. UTIITSL has around 256 employees in 76 branches who are NISM certified. Mutual Funds are sold and advised through NISM certified staff. UTI, HDFC, ICICI Pru, LIC, Reliance, SBI, Taurus, and TATA Mutual Funds have appointed UTIITSL as Distributors for their Mutual Funds products since August 2007. UTIITSL is facilitating UTI MF for RBP scheme for the teachers of Government of Bihar. There is a proposal to have officials of UTI AMC at our UTITITSL branches to facilitate MF sales to favour of our commission.

SEBI has taken steps to increase the sales of Mutual Fund in B15 cities (excluding Top 15 cities), where UTIITSL has 45 branches. Fund Houses gives additional commission on sales mobilized in B15 cities.

h) POINT OF PRESENCE (POP) FOR NATIONAL PENSION SCHEME (NPS)

UTIITSL has been appointed Point of Presence (POP) for accepting the applications for National Pension System by Pension Fund Regulatory & Development Authority (PFRDA) and has been approaching various Corporate Bodies to be appointed as a Service Provider. UTI ITSL has also been appointed as an Aggregator for NPS Lite Swavalamban Scheme by the Pension Fund Regulatory and Development Authority (PFRDA) in February 2013. The provisions of the Scheme are basically applicable for the unorganized class of workers who do not come under the fold of Provident Fund Schemes of the Country.

In UTI ITSL, the NPS Lite Swavalamban Scheme is made available to the masses directly through our 72 Branches as well as through the network of NPS Lite Service Agents who operate as Collection Centres. Some of the State Governments have also taken initiatives in implementation of the Scheme with additional contribution from the State.

i) PROPERTY MATTERS

Infrastructure Division is offering services in the field of asset management, design, project management, interior furnishing and allied works, execution of works at site, facility management, property maintenance, valuation of properties, disposal / acquisition and leasing of properties and all associated real estate management works.

i) INTERIOR / ENGINEERING WORKS / FACILITY MANAGEMENT

UTIITSL is carrying out the complete solutions in the interior designing and execution and completion of all the services related thereto including facility management, covering housekeeping, operations and maintenance of equipments, annual maintenance contracts, providing staff on retainer basis.

UTIITSL has assignments from Department of Income Tax, Central Board of Excise and Customs, Ministry of Agriculture, New Delhi. Ministry of Corporate Affairs, Official Liquidator, Competition Commission of India, Directorate of Infrastructure, Indian Oil Corporation, National Fertilizers Ltd., Securities and Exchange Board of India., Steel Authority of India., Life Insurance Corporation of India., ASREC India Ltd., Bank of Maharashtra, Engineers India Ltd, Bank of Baroda, Goa Shipyard Ltd., ONGC, MOIL, RCF, Life Insurance Council., The Specified Undertaking of Unit Trust of India, UTI AMC (UTI Mutual Fund.) etc.

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 72 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) Section 4 (1) (b) (ii)- the Powers and duties of its Officer and employees;

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) Section 4 (1) (b) (iii)- the procedure followed in the decision making process, including channels of supervisions and accountability;

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.

(iv) Section 4 (1) (b) (iv)- the norms set by its for the discharge of its functions;

As stated above, the Company is a Government of India, Company under Section 617 of the Companies Act, 1956. Hence, the provisions of the Companies Act, 1956 with new Companies Act, 2013 are applicable to the Company. Further, the Company is functioning as per the overall objectives and framework of rules and regulations of the Company are laid down in the Memorandum and Articles of Association of the Company.

It is Board Managed Company. Therefore, the Board of the Company is time to time setting up the norms, procedure and Rules and Regulation through resolutions for functioning of the Company.

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- 20000-1: 2011 Certification (For IT Service Management System)
- ISO-9001: 2008 Certification (For Software Development & Maintenance)
- CMMi- ML3 (For Software Development)

(F) Administration Department

- Shop & Establishment Act

(G) MF Marketing

- AMFI Guidelines

II. 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.

III. 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.

IV. 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

Sr. No.	Name of Director	
1.	Shri G U Ahmed	Director
2.	Shri B Babu Rao	Director
3.	Shri K P Lakshmana Rao.	Director
4.	Shri Prakash Damodaran	Director
5.	Shri Y N Rammurthy	Director
6.	Shri S C Dikshit	Director

The following are the Members of Audit Committee

Shri K P Lakshmana Rao	Chairman
Shri Prakash Damodaran	Member
Shri Y N Rammurthy	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.

V. **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	Shri Dinesh Tiwari Plot No.3, Sector 11, CBD Belapur, Navi Mumbai, Maharashtra 400614	022-67931135	dinesh.tiwari@utiitsl.com

VI. **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**".

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

Not Applicable

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

Not Applicable

IX. **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.

X. 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**".

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

All the general Information regarding Services offered, 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.

XII. 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** " [Annexure-II Pay Scale of Employee.pdf](#)".

XIII. 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.