

LDI Master & SMLDI Compliance

Defence Exim User Manual

Table of Contents

SMLDI COMPLIANCES	3
LDI Master	3
Annexures	7
Annexure-I	8
Annexure-II:.....	10
Annexure-III:	13
Annexure-IV:	16
Annexure-V:.....	17
Annexure-VI:	18
Annexure-VII:.....	20
Annexure-VIII:	22
Annexure-IX:	24
Annexure-X:	26
Annexure-XI:	27
Annexure- XII:.....	29
Annexure- XIII:	31
Annexure- XIV:	33
Annexure- XV:.....	35

SMLDI COMPLIANCES

SMLDI Module Navigation:-

1. Go to **SMLDI** from the main menu.
2. After clicking SMLDI ,a dropdown will appear and user will see two options:
 - **LDI Master(To be filled before filling Annexures)**
 - **Annexures**

LDI Master

The LDI Master is a mandatory section under the SMLDI module and must be completed as the first step.

Brief:

This section is used to capture location-wise license information along with the items covered under each license. All details in the LDI Master are entered by the user and serve as the base data for compliance activities.

Purpose:

The purpose of the LDI Master is to:

- Capture and maintain accurate license information for each location
- Record items covered under each license
- Create a centralized repository of license and item data
- Ensure correct mapping of compliance requirements to licenses

Importance:

The **LDI Master** is important because:

- It is **mandatory** to complete before accessing Annexures
- It ensures **data accuracy and consistency** across the SMLDI module
- It enables proper **regulatory compliance tracking**
- It prevents incorrect or incomplete Annexure submissions
- All Annexures are directly linked to the data created in the LDI Master

Note: Annexures cannot be filled unless the LDI Master is completed and saved.

Accessing LDI Master:

- **Click on "LDI Master"** in the navigation bar (navbar). This will take you to the LDI Master section.
-

Defence Exports Promotion
Department of
Defence Production

Dashboard
Export Applications
Import Applications
OGEL
Export Lead
Masters
Communication
SMLDI Compliances
Annexures
LDI Master
User Manual

You will be logged out in 29:57 [Reset Session](#)

LDI Master [+ Add New](#)

S. No	Location	District	State	Licence	Action
-------	----------	----------	-------	---------	--------

Step 2: Viewing the LDI Master List

- On the LDI Master page, you will see a **list** of existing LDI Masters.

Step 3: Adding a New LDI Master

- To add a new LDI Master, click on the "**Add New**" button. A **form** will appear for you to fill in the details of the new LDI Master.

LDI Master [+ Add New](#)

S. No	Location	District	State	Licence	Action
-------	----------	----------	-------	---------	--------

Step 4: Filling the "+Add New" Form

Add Licence Details

Licence Details and Items

State/UT* District* Location*

DLI Number* Issued By* Date of Issue*

Items (As per Licence)* [+](#) [+](#)

[Save](#)

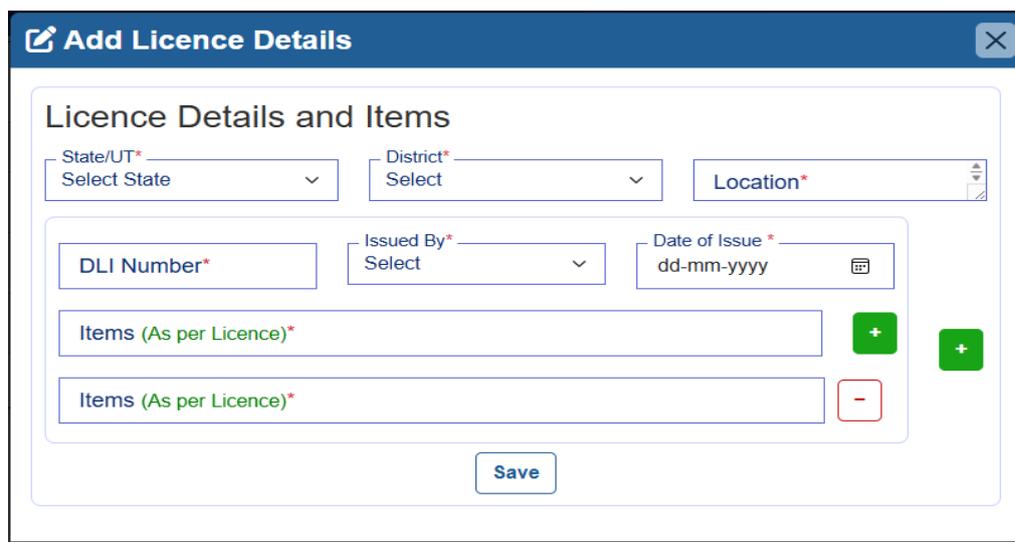
Filling the Form of License:

Step A: Enter Licence Details

1. Select **State/UT**.
2. Select **District**.
3. Enter the **Location**.
4. Enter the **DLI Number**.
5. Select **Issued By**.
6. Select the **Date of Issue**.

Step B: Add Items (As per Licence)

1. Enter the item name in “**Items (As per Licence)**”.
2. Click the “**+**” **icon** next to the item field.
 - The item will be added under the same licence.
 - Click the “**+**” **icon** again to add more items.



The screenshot shows a web form titled "Add Licence Details" with a close button in the top right corner. The form is titled "Licence Details and Items" and contains the following fields:

- State/UT***: A dropdown menu with "Select State" and a downward arrow.
- District***: A dropdown menu with "Select" and a downward arrow.
- Location***: A text input field with a small icon on the right.
- DLI Number***: A text input field.
- Issued By***: A dropdown menu with "Select" and a downward arrow.
- Date of Issue ***: A date picker field with the format "dd-mm-yyyy" and a calendar icon.
- Items (As per Licence)***: Two text input fields. The first has a green "+" icon to its right. The second has a red "-" icon to its right.
- Save**: A blue button at the bottom center.

Step C: Add Additional Licence

- Click the “**+**” **icon** provided on the right side of the licence section to add another licence.
- A new section will appear to enter:
 - DLI (Driving License)Number
 - Issued By
 - Date of Issue
 - Items (As per Licence)

Add Licence Details

Licence Details and Items

State/UT*
Select State

District*
Select

Location*

DLI Number*

Issued By*
Select

Date of Issue *
dd-mm-yyyy

Items (As per Licence)*

DLI Number*

Issued By*
Select

Date of Issue *
dd-mm-yyyy

Items (As per Licence)*

Save

Step D: Remove Licence or Item

- Click the “-” icon to remove:
 - An added licence section, or
 - Any unwanted licence entry.

Step E: Save Details

- After entering all mandatory information, click **Save** to complete the process.

Important Note

After saving the LDI Master details, the information is shared with the DDP for review and approval. Only after the LDI Master is approved by the DDP will the user be able to proceed with filling the Annexures.

Note: Until the LDI Master Details are filled, saved and approved by DDP, users will not be able to fill the Annexures.

Annexures

Overview of the page:

- Go to SMLDI Compliances and Choose Annexures as shown in *Figure 1*.

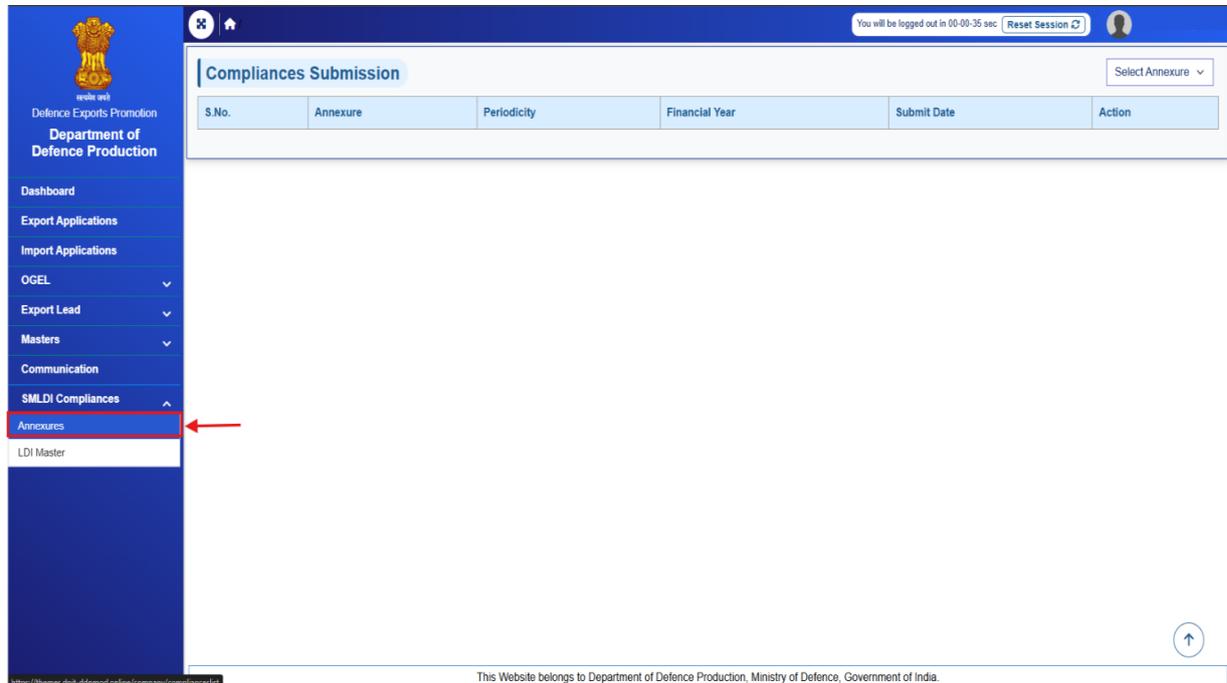


FIGURE 1

- There are multiple annexures in the tab.
- Select the Annexure from Select Annexures dropdown menu on Top right corner as shown in *Figure 2*.

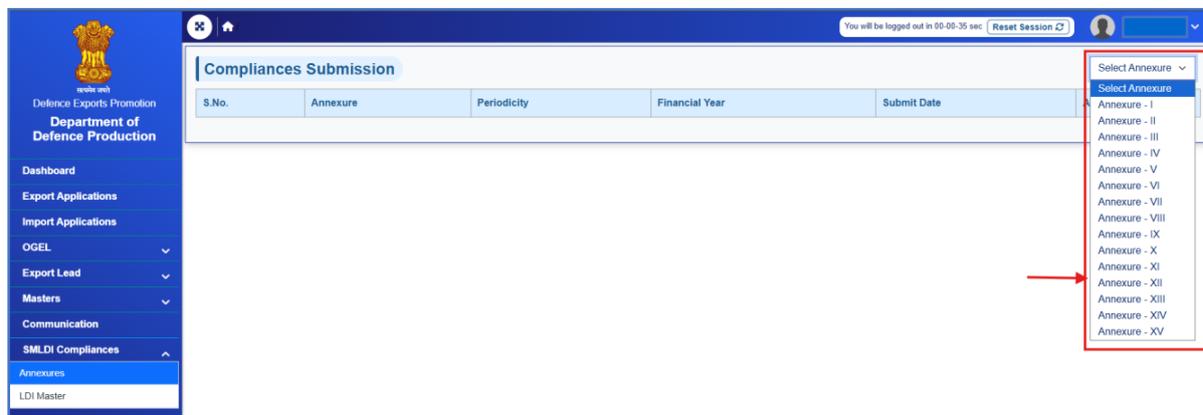


Figure 2

Annexure-I:

The Annexure -1 is about the track the progress till commencement.

Follow the steps to fill the Annexure-1.

The screenshot shows a web form titled "Report on Progress made till commencement" with a sub-header "Annexure - I". The form contains the following fields:

- Name (IU): Enter name of (IU)
- Location of factory: State (Select State), District (Select District), Location (Select Location)
- Details of Defence License: A table with columns S.No., Licence Number, and Date.
- Extension No.: Enter Extension Number, Date: dd-mm-yyyy
- Validity: dd-mm-yyyy, Expiry of Lease Land: Yes No

FIGURE 3

STEP: 1

- Enter the Name of Internation Unit.
- Enter the factory location.
- Select State, District, Location of the company from the dropdowns
- Enter the Defence License details.
- Enter Extension No., Date, Validity and Expiry of Lease Land as in [Figure 3](#).

FIGURE 4

	Proposed Investment	Actual Investment	Additional / Expansion investment	Total
Land				
Building				
Common machinery				
Specific machinery				

STEP: 2- Status of Investment

- Enter all status of investment in [Figure 4](#)
- Enter all the investment details of Land investment.
- Enter all investment details of Building investment.
- Enter the Common Machinery and Specific Machinery investment details.

Status of Progress
+

S.No	Physical Progress	Status	Action
------	-------------------	--------	--------

Date of Commencement (DPR) :

Likely Date of Commencement : Year Half yearly

FIGURE 5

Step:3- Status of Progress

- Enter the Date of Commencement.
- Also select the likely Date of Commencement by selecting year and half yearly from dropdown.
- Mentioned in figure 5.

Additional Information, if any

Place:

Date:

Name:

Save as Draft
Submit With DSC

FIGURE 6

Step:4- Additional Information

- Enter the additional information.
- Enter the place, Name, Date.
- After filling the details Click submit button.

Annexure-II:

- **Title :** *Intimation / Information of Commencement of Production*
- **Annexure Reference:** Annexure – II under SMLDI compliance *Figure 7*.
- **Purpose:** This form is used to notify the concerned authority regarding the commencement of production under a Defence Manufacturing License.

Location: State: Select State District: Select District Location: Select Location

Defence Manufacturing License Details:

S.No.	Licence Number	Date
-------	----------------	------

FIGURE 7

Steps:1-

- **Location Details:**
 - State Dropdown: Select the state where the production unit is located.
 - District Dropdown: Select the relevant district corresponding to the state.
 - Location Dropdown: Choose the specific location within the district.
- **Defence Manufacturing License Details:**
 - S. No.: Serial number of entries.
 - Licence Number: Enter the Defence Manufacturing License number issued by the competent authority.
 - Date: Mention the date of commencement of production.

Actual Date of Commencement (Item wise)*

Add Commencement (Item wise) +

S.no	License No	Name of Item(s)	Date	Action
------	------------	-----------------	------	--------

FIGURE 8

Step:2- Actual Date of Commencement

- To enter the details, click the (+) button.
- After clicking it a form will open.

FIGURE 9

Step:3- Add Commencement of Production

- **Access the Form**
 - Navigate to the *Add Commencement of Production* section in the application.
 - A form will appear with three fields: **Licence No**, **Name of Item(s)**, and **Date** as in *Figure 9*.
- **Select Licence Number**
 - Click on the **Licence No** dropdown.
 - From the list, select the license under which production is being commenced.
- **Select Item Name(s)**
 - Click on the **Name of Item(s)** dropdown.
 - Choose the appropriate item(s) associated with the selected license.
- **Enter Commencement Date**
 - In the **Date** field, enter the production commencement date in the format **dd-mm-yyyy**.
 - Alternatively, click on the **calendar icon** to select the date.
- **Save the Record**
 - After filling in all fields, click the **Save** button.
 - The system will store the details and confirm that the commencement of production has been added successfully.

Actual Investment		
S.No.	Premises	Rupees (s)
a	Land (for rented premises, Capitalised value of the same to be indicated)	<input type="text"/>
b	Building	<input type="text"/>
c	Plant & Machinery	<input type="text"/>
	(i) Indigenous	<input type="text"/>
	(ii) Imported	<input type="text"/>
	(a) CIF Value	<input type="text"/>
	(b) Landed Cost	<input type="text"/>
	(iii) Total [(i)+(ii)+(iii)]	<input type="text"/>

FIGURE 10

Step:4- Actual Investment

- **Enter Investment in Land**

- o In row (a) Land, enter the value of land investment in rupees.
- o If the premises are rented, enter the capitalized value of the rent.

- **Enter Investment in Building**

- o In row (b) **Building**, enter the cost of investment in the building structure in rupees.

- **Enter Investment in Plant & Machinery**

- Under row (c) **Plant & Machinery**, provide the details of machinery investments:
 - (i) **Indigenous**: Enter the amount invested in machinery procured within the country.
 - (ii) **Imported**: Provide investment details for imported machinery.
 - (a) **CIF Value**: Enter the *Cost, Insurance, and Freight* value.
 - (b) **Landed Cost**: Enter the total cost after customs duty, transportation, and handling charges.
 - (iii) **Total**: Enter the sum of Indigenous, Imported CIF Value, and Landed Cost.

Employment

(a) Supervisory :

(b) Non-Supervisory :

Step5:- Employment Details

1. **Supervisory**: Enter Supervisory details of employment.
2. **Non-Supervisory**: Enter non-supervisory details of employment.

Additional Information, if any

Any other information (if any faced during implementation of the project) _____

Place: Name:

Date:

Save as Draft
Submit With DSC

FIGURE 11

Step:6- Additional Information

- Enter the place, Name, Date.
- After filling the details Click submit with DSC button or Save as Draft.

Annexure-III:

- **Title:** Information of Production Data / Sales Data
- **Annexure Reference:** Annexure – III under SMLDI compliance Figure 8.
- **Purpose:** This form is used to capture details of production and sales data, linked to the industrial license, for a specific reporting period

The screenshot shows a web form titled "Information of Production data/Sales data" with a tab labeled "Annexure - III". The form contains the following sections:

- (i) For Location: Three dropdown menus labeled "State" (with "Select State" below), "District" (with "Select District" below), and "Location" (with "Select Location" below).
- (ii) Details of Industrial License: A table with three columns: "S.No.", "Licence Number", and "Date".
- (iii) Period of reporting: Two dropdown menus labeled "FY" (with "Select" below) and "Quarter" (with "Select" below).
- (iv) Status of commencement of Commercial Production: A single-line text input field.

FIGURE 12

Step:1-

• Location Details

- **State Dropdown:** Select the state where the production or sales activity is carried out.
- **District Dropdown:** Choose the district corresponding to the selected state.
- **Location Dropdown:** Select the exact location within the district.

• Industrial License Details

- **Licence Number:** Enter the industrial license number issued by the authority.
- **Date:** Specify the date related to the license or commencement of operations.

• Period of Reporting

- **FY Dropdown:** Select the financial year for which data is being reported.
- **Quarter Dropdown:** Choose the relevant quarter (Q1, Q2, Q3, Q4) of the selected financial year.

• Status of Commencement of Commercial Production

- Provide the current status of whether commercial production has commenced or not.

(v) Production Data : Add Production Data 

S.No.	Item	Licensed Quantity (if applicable)	Quantity Produced	Value	Import content (%)	Action
-------	------	-----------------------------------	-------------------	-------	--------------------	--------

FIGURE 13

Step:2- Production Data

- **Add Button:** Click the button to add the Production Data
- **Select Items (dropdown,):** Choose the product to which the data applies.
- **Licensed Quantity:** The licensed/approved quantity for the chosen item. Must be a non-negative number.
- **Quantity Produced:** Units produced in the reporting period. Must be a non-negative number. If your policy restricts production to licensed limits, this may not exceed Licensed Quantity.
- **Value:** Monetary value of the produced quantity. Enter numbers only; decimals allowed. Currency is based on system settings.
- **Import content (%):** Portion of imported materials in the item. Enter 0–100; decimals allowed.
- **Save:** Save the data.

 Add Production Data


<input style="width: 95%; border: 1px solid #ccc;" type="text" value="Select Items"/>	<input style="width: 95%; border: 1px solid #ccc;" type="text" value="Licensed Quantity"/>
<input style="width: 95%; border: 1px solid #ccc;" type="text" value="Quantity Produced"/>	<input style="width: 95%; border: 1px solid #ccc;" type="text" value="Value"/>
<input style="width: 95%; border: 1px solid #ccc;" type="text" value="Import content (%)"/>	<input type="button" value="Save"/>

FIGURE 14

(vi) Sale data: (please tick the appropriate box and furnish details of the entities) Add Sale Data 

S.No.	Item	Quantity	Value (in INR)	Entity to whom sold		Action
				Domestic (organisation)	Export (countries)	

FIGURE 15

Step:3- Save Data

- **Add Button:** To add the sale data, click on (+) button in the top right corner of *Figure 15*.
- **Select Items Dropdown:** Choose the items from dropdown from *Figure 16*.
- **Quantity:** Add the quantity of the selected items.
- **Values:** Enter the value of the items.
- **Export Countries:** Select the countries in which the items have to be imported.
- **Domestic (organization):** Enter the name of the local buyer/organization.
- **Click Save.**

FIGURE 16

Step 4: Stock in hand/Balance Stock

- **Add Button:** To add the data, click on (+) button.
- **Select Items:** Choose the items from the dropdown.
- **Quantity:** Enter the quantity of the selected item.

FIGURE 17

Step 5: Additional Data

- **Place:** Enter the place of signing.
- **Name:** Enter the name of the authorized signatory.
- **Date:** Select the signing date.
- **Submit:** To submit all the data which is entered Choose Submit with DSC.
- **Save as Draft:** Save the data as draft if not submitting.

FIGURE 18

Annexure-IV:

- **Title:** Self certification on compliance to Security Manual for Licensed Defence Industries.
- **Annexure Reference:** Annexure – IV under SMLDI compliance *Figure 19*.
- **Purpose:** To declare that the company complies with the Security Manual for Licensed Defence Industries and that the mandated internal audit has been conducted and observations/compliance actions are completed for the selected period.

< Self certification on compliance to Security Manual for Licensed Defence Industries Annexure - IV

To,
D(DIP) Section,
Department of Defence Production,
Ministry of Defence

Subject: Self certification on compliance to Security Manual for Licensed Defence Industries

In regard to Industrial License No / Nos

issued to M/s _____ at location _____, I hereby declare that our company is complying with the provisions mentioned in the Security Manual for Licensed Defence Industries prepared by Ministry of Defence, Department of Defence Production. Internal Audit as mandated by the Security Manual for LDIs have been conducted and the observation/Recommendations have been complied with.

Encl:If Required Yes No

Place: Name:

Date: Annual/Half Yearly/Quarterly : Year Half yearly

FIGURE 19

How to fill

Steps:

1. **Select License:** Choose the relevant Industrial License number.
2. Verify the name and location of which the license has issued.
3. **Encl:** If Required: Choose Yes or No.
4. **Place:** Enter the place of signing.
5. **Name:** Enter the name of the authorized signatory.
6. **Date:** Select the signing date.
7. **Annual/Half Yearly/Quarterly:**
 - a) Year: Select the year.
 - b) Half yearly/Quarterly: Select the applicable period (e.g., H1/H2 or the relevant quarter), as available.
8. Click Save as Draft to store and edit later.
9. Click Submit with DSC to finalize submission with digital signature.

Annexure-V:

- **Title:** Self certification on compliance to Internal Security Audit.
- **Annexure Reference:** Annexure – V under SMLDI compliance *Figure 20*.
- **Purpose:** Declare that the Internal Security Audit mandated by the Security Manual for LDIs has been conducted and that observations/recommendations have been complied with for the selected year.

< Self certification on compliance to Internal Security Audit Annexure - V

To,
D(DIP) Section,
Department of Defence Production,
Ministry of Defence

Subject: Self certification on compliance to Internal Security Audit.

In regard to Industrial License No / Nos Select License

issued to M/s _____ at location _____, I hereby declare that the Internal Audit as mandated by the Security Manual for LDIs have been conducted and the observation/Recommendations have been complied with.

Encl: If Required Yes No

Place: Name:

Date: Annual:

Save as Draft Submit With DSC

FIGURE 20

How to fill -

Steps:

1. **Select License:** Choose the relevant Industrial License number.
2. Verify the name and location of which the license has issued.
3. **Encl:** If Required: Choose Yes or No.
4. **Place:** Enter the place of signing.
5. **Name:** Enter the name of the authorized signatory.
6. **Date:** Select the signing date.
7. **Annual/Half Yearly/Quarterly:**
 - a. Year: Select the year.
 - b. Half yearly/Quarterly: Select the applicable period (e.g., H1/H2 or the relevant quarter), as available.
8. Click Save as Draft to store and edit later.
9. Click Submit with DSC to finalize submission with digital signature.

Annexure-VI:

- **Title:** Annual Cyber Security Audit in case of classified information.
- **Annexure Reference:** Annexure – VI under SMLDI compliance *Figure 21* .
- **Purpose:** Record annual cyber security audit observations for locations handling classified information, along with actions, progress, and completion timelines.

The screenshot shows a web application interface for recording annual cyber security audit observations. At the top, there is a breadcrumb trail: '< Annual Cyber Security Audit in case of classified information, if any' and a tab labeled 'Annexure - VI'. Below this, there are two dropdown menus: 'FY' with 'Select' as the current value, and 'Location' with 'Select' as the current value. To the right of the 'Location' dropdown is a button labeled 'Annual Cyber Security Audit' with a '+' icon, which is highlighted with a red box. Below these elements is a table with the following columns: 'S.No', 'Observations of Annual Cyber Security Audit', 'Action Taken', 'Stage of Progress', 'Probable Date of completion', 'Remarks, if any', and 'Action'.

FIGURE 21

Step 1: Annual Cyber Security Audit

- **FY dropdown:** Select the financial year from the dropdown.
- **Location:** Select the location.
- **Add Data:** Click the + button to open the “Annual Cyber Security Audit” pop-up form.

The screenshot shows a pop-up form titled 'Annual Cyber Security Audit' with a close button (X) in the top right corner. The form contains several input fields: 'Observations of Annual Cyber Security' (a text area), 'Action Taken' (a dropdown menu with 'Select' as the current value), 'Stage of Progress' (a text area), 'Probable Date of completion' (a date picker with 'dd-mm-yyyy' as the format and a calendar icon), and 'Remarks, if any' (a larger text area). A 'Save' button is located at the bottom right of the form.

FIGURE 22

Fill the fields:

- **Observations of Annual Cyber Security:** Enter the audit observation.
- **Action Taken:** Choose from the dropdown list.
- **Probable Date of completion:** Pick a date.
- **Stage of Progress:** Describe current status.
- **Remarks, if any:** Add notes.

Place: Name:

Date:

Step 2:

- **Place:** Enter the place of signing.
 - **Name:** Enter the name of the authorized signatory.
 - **Date:** Select the signing date.
 - **Submit:** To submit all the data which is entered Choose Submit with DSC.
 - **Save as Draft:** Save the data as draft if not submitting.
-

Annexure-VII:

- **Title:** Internal Inspection Reports of Manufacturing facilities.
- **Annexure Reference:** Annexure – VII under SMLDI compliance *Figure 23*.
- **Purpose:** Capture the results of internal inspections at each manufacturing location for the selected FY and half-year.

S.No	Observations of Internal Reports	Action Taken	Stage of Progress	Probable Date of completion	Remarks, if any	Action
------	----------------------------------	--------------	-------------------	-----------------------------	-----------------	--------

FIGURE23

Step 1:

Financial Year: Select FY.

Select: Select Half yearly period.

Location: Select Location.

Add Button: Click the + button (Add Internal Inspection Reports).

Observations of Internal Reports

Action Taken
Select

Stage of Progress

Probable Date of completion
dd-mm-yyyy

Remarks, if any

Please fill in this field.

Save

FIGURE 24

Step 2: In the pop-up, fill:

- **Observations of Internal Reports**
- **Action Taken:** Choose from the dropdown menu
- **Progress:** Stage of Progress
- **Enter Date:** Probable Date of completion
- **Remarks, if any**

Click Save. The entry appears in the table.

The image shows a web form with three input fields: 'Place:', 'Name:', and 'Date:'. The 'Date:' field contains the placeholder text 'dd-mm-yyyy' and a calendar icon. Below the fields, there are two buttons: 'Save as draft' and 'Submit With DSC'. A red rectangular box highlights these two buttons.

FIGURE 25

Step 3:

- **Place:** Enter the place of signing.
- **Name:** Enter the name of the authorized signatory.
- **Date:** Select the signing date.
- **Submit:** To submit all the data which is entered Choose Submit with DSC.
- **Save as Draft:** Save the data as draft if not submitting.

Annexure-VIII:

- **Title:** Report on Loss/Recovery/Unearthed Arms & Ammunition and Explosives.
- **Annexure Reference:** Annexure – VIII under SMLDI compliance Figure 26.
- **Purpose:** Capture details of any incident involving loss, recovery, or unearthing of arms, ammunition, or explosives, including reporting status and corrective measures.

Report on Loss/recovery/uneearthed Arms & Ammunition and Explosives Annexure - VIII

Financial Year: Select
Quarter: Select

Location: State: Select, District: Select, Location: Select

S.No	Date	Whether reported to concerned authorities	Section of Industrial under taking where incident has occur	Details of Authority	Cause of Incident	Loss/Value	Corrective Measures taken	Remarks, if any	Action
------	------	---	---	----------------------	-------------------	------------	---------------------------	-----------------	--------

+ Add new report on loss/recovery/uneearthed arms.

FIGURE26

Step 1:

- **Financial Year:** Select FY.
- **Quarter:** Select Quarter.
- **Location:** Select State, District, and Location.
- **Add Button:** Click the + button (Add new report on loss/recovery/uneearthed arms).

Add Report on Loss/recovery/uneearthed Arms

Date: dd-mm-yyyy
Reported to concerned authorities: Select

Section of Industrial under taking where incident has occur

Cause of Incident
Loss/Value

Corrective Measures taken

Remarks, if any

Save

FIGURE 27

Step 2: Add Report on Loss/Recovery/Uneared Arms (pop-up)

- **Date:** Select the incident date.
- **Reported to concerned authorities:** Choose the applicable option.
- **Section of industrial undertaking where incident has occurred:** Specify the shop/area/department.
- **Cause of Incident:** Describe what led to the incident.
- **Loss/Value:** Enter the loss or value involved.
- **Corrective Measures taken:** Note the actions implemented.
- **Remarks, if any:** Add any additional details.
- **Click Save to add the entry to the table.**



The screenshot shows a form with three input fields: 'Place:', 'Name:', and 'Date:'. The 'Date:' field is pre-filled with 'dd-mm-yyyy' and has a calendar icon. At the bottom right, there are two buttons: 'Save as Draft' and 'Submit With DSC', both of which are highlighted with a red border.

FIGURE28

Step 3:

- **Place:** Enter the place of signing.
- **Name:** Enter the name of the authorized signatory.
- **Date:** Select the signing date.
- **Submit:** To submit all the data which is entered Choose Submit with DSC.
- **Save as Draft:** Save the data as draft if not submitting.

Annexure-IX:

- **Title:** Report to security Agencies of MHA/DDP on compliance with observation of Internal and External Audit.
- **Annexure Reference:** Annexure – IX under SMLDI compliance *Figure 29*.
- **Purpose:** Provide a periodic report to MHA/DDP security agencies on compliance with observations from Internal and External Audits (including security and cyber).

Report to Security Agencies of MHA/DDP on compliance with observations of Internal and External Audit: Annexure - IX

Financial Year: Quarter:

Location: State: District: Location:

For Internal Audit: +

S.No	Observations of Internal Reports	Action Taken	Stage of Progress	Probable Date of completion	Remarks, if any	Action
------	----------------------------------	--------------	-------------------	-----------------------------	-----------------	--------

For External Audit: +

S.No	Observations	Security Observations	Cyber Observations	Action Taken	Stage of Progress	Probable Date of completion	Remarks, if any	Action
------	--------------	-----------------------	--------------------	--------------	-------------------	-----------------------------	-----------------	--------

FIGURE 29

Step 1:

- **Financial Year:** Select FY.
- **Quarter:** Select Quarter.
- **Location:** Select State, District, and Location.
- **Add Data:** Click on + buttons to add the Internal Audit and External Audit data.

Add Internal Audit: ✕

Observations of Internal Reports:

Action Taken:

Remarks, if any:

FIGURE 30

Step 2: Add Internal Audit

- **In the pop-up, fill:**
- Observations of Internal Reports
- **Action Taken:** Select action taken
- Remarks, if any

- Click Save. The entry appears in the table.

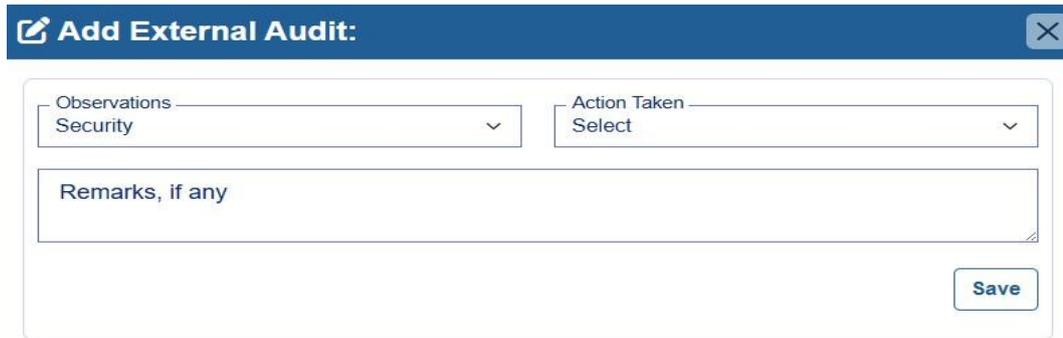


FIGURE 31

Step 3: Add External Audit

- In the pop-up, fill:
- Observations of Internal Reports
- Action Taken: Select action taken
- Remarks, if any
- Click Save. The entry appears in the table.

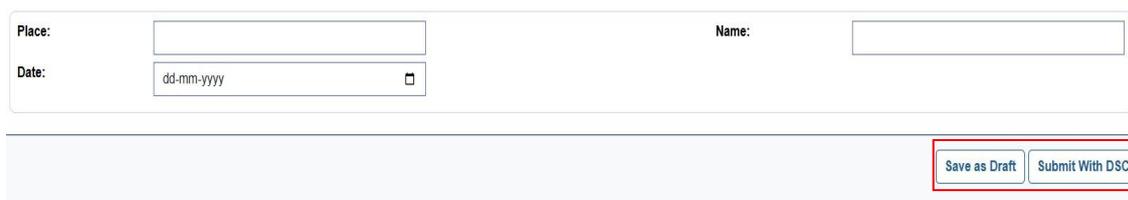


FIGURE32

Step 4:

- **Place:** Enter the place of signing.
- **Name:** Enter the name of the authorized signatory.
- **Date:** Select the signing date.
- **Submit:** To submit all the data which is entered Choose Submit with DSC.
- **Save as Draft:** Save the data as draft if not submitting.

Annexure-X:

- **Title** Report on visit of Foreign Business visitors.
- **Annexure Reference:** Annexure – X under SMLDI compliance *Figure 33.*
- **Purpose:** To keep records of foreign visitors.

Report on visit of Foreign Business visitors: Annexure - X

Financial Year: Select Quarter: Select

Location: State: Select District: Select Location: Select

S.No	Name	Address	Nationality	Passport/Visa Details	Section of industrial under taking where area visited	Purpose of Visit	Duration of Visit	Action
------	------	---------	-------------	-----------------------	---	------------------	-------------------	--------

FIGURE 33

Step 1: – Report on visit of Foreign Business visitors

- **Financial Year:** Select FY.
- **Quarter:** Select Quarter.
- **Location:** Select State, District, and Location.
- **Add Data:** Click on + button to add data.

Add Report on Loss/Recovery/Uneareded Arms ✕

Name:

Address:

Nationality: Select

Passport/Visa Details:

Section of Industrial Undertaking where area visited:

Duration of Visit:

Purpose of Visit:

FIGURE 34

Step 2(Saving the details):

- Click Save. The entry appears in the table

Annexure-XI:

Title: Action taken report to Nodal Office, DDP (Half yearly)

Annexure Reference: Annexure – XI under SMLDI compliance.

Purpose: To submit a half-yearly action taken report to the Nodal Office, DDP, detailing compliance status on various observations and recommendations.

< | Action taken report to Nodal Office, DDP (Half yearly): | Annexure - XI

Financial Year: Select | Half Yearly: Select

Location: State: Select State | District: Select | Location: Select

S.No	Observations/Recommendations	Action taken	Probable date of Completion	Remarks, if any	Actions
------	------------------------------	--------------	-----------------------------	-----------------	---------

Save as Draft | Submit With DSC

FIGURE35

Step 1: Select Report Period and Location

- **Financial Year:** Select the relevant financial year from the dropdown list.
- **Half Yearly:** Choose the specific half-year period (e.g., H1, H2).
- **Location:**
- **State:** Select the concerned state.
- **District:** Select the district within the chosen state.
- **Location:** Specify the exact location under the selected district.
- **Add Data:** Click on + button to add new data.

Action taken report to Nodal Office: X

Observations/Recommendations

Action Taken: No

Remarks

Save

FIGURE 36

Step 2: Action taken report to Nodal Office

- **In the pop-up, fill:**
- Observations of Internal Reports
- **Action Taken:** Select action taken

- Remarks, if any
- **Click Save. The entry appears in the table.**

Step 3: Submit in *Figure 36*

Submit: To submit all the data which is entered Choose Submit with DSC.

- **Save as Draft:** Save the data as draft if not submitting.
-

Annexure- XII:

- **Title:** Report on Fire, Theft, Sabotage, Espionage, Cyber Accidents, Strike, Terror Activities, Adverse Information about Employees, Unauthorized Receipt of Classified Materials, Report of Loss or Suspected Compromise (Immediately)
- **Annexure Reference:** Annexure – XII under SMLDI compliance.
- **Purpose:**
To immediately report any incident related to fire, theft, sabotage, espionage, cyber accidents, strikes, terror activities, adverse information about employees, unauthorized receipt of classified materials, or any loss/suspected compromise. This enables timely response and action by the authorities.

Report on Fire, Theft, Sabotage, Espionage, Cyber Accidents, strike, terror activities, adverse information about employees unauthorized receipt of classified materials, report of loss or suspected compromise (Immediately): Annexure - XII

Financial Year: Select Quarter: Select

Location: State: Select District: Select Location: Select

S.No	Date	Place of Incident	Brief of Incident	Loss	Remarks, if any	Action
------	------	-------------------	-------------------	------	-----------------	--------

Save as Draft Submit With DSC

FIGURE37

Step 1: Select Reporting Period and Location

- **Financial Year:** Select the relevant financial year from the dropdown list.
- **Quarter:** Choose the specific quarter for which the incident is being reported.
- **Location:**
- **State:** Select the State where the incident occurred.
- **District:** Select the District.
- **Location:** Specify the exact Location.
- **Add Data:** Click + button to add the Data about incident.

Report on Incident (Immediately):

Date: dd-mm-yyyy

Place of Incident

Brief of Incident

Loss

Remarks

Save

FIGURE 38

Step 2: Enter Incident Details

- **Date:** Select or enter the date of the incident (format: dd-mm-yyyy).
- **Place of Incident:** Enter the specific location or place where the incident occurred.
- **Brief of Incident:** Provide a concise summary describing the nature and key details of the incident.
- **Loss:** Specify the type and extent of loss suffered due to the incident (e.g., physical damage, loss of materials, data breach).
- **Remarks:** Add any additional comments, clarifications, or relevant information about the incident (optional).

Step 3: Submit with DSC(Figure 37)

- **Place:** Enter the place of signing.
 - **Name:** Enter the name of the authorized signatory.
 - **Date:** Select the signing date.
 - **Submit:** To submit all the data which is entered Choose Submit with DSC.
 - **Save as Draft:** Save the data as draft if not submitting.
-

Annexure- XIII:

- **Title:** Report on Fire, Theft, Sabotage, Espionage, Cyber Accidents, Strike, Terror Activities, Adverse Information about Employees, Unauthorized Receipt of Classified Materials, Report of Loss, or Suspected Compromise (Quarterly)
- **Annexure Reference:** Annexure – XIII under SMLDI compliance.
- **Purpose:** To submit a quarterly report on critical incidents such as fire, theft, sabotage, espionage, cyber accidents, strike, terror activities, adverse information about employees, unauthorized receipt of classified materials, and report any loss or suspected compromise. This report facilitates periodic assessment and monitoring by relevant authorities.

Report on Fire, Theft, Sabotage, Espionage, Cyber Accidents, strike, terror activities, adverse information about employees unauthorized receipt of classified materials, report of loss or suspected compromise (Quarterly): Annexure - XIII

Financial Year: Select Quarter: Select

Location: State: Select District: Select Location: Select

S.No	Place of Incident	Cause of Incident	Loss	Corrective Measures taken	Remarks, if any	Action
------	-------------------	-------------------	------	---------------------------	-----------------	--------

Place: Name: Date: dd-mm-yyyy

Save as Draft Submit With DSC

FIGURE 39

Step 1: Select Report Period and Location

- **Financial Year:** Select the relevant financial year from the dropdown menu.
- **Quarter:** Choose the relevant quarter for reporting (Q1, Q2, Q3, or Q4).
- **Location:**
 - State: Select the state where the incident occurred.
 - District: Select the district within the state.
 - Location: Specify the specific location.
- **Add Data:** Click on + button to add new data

Report on Incident (Quarterly):

Date & Place of Incident Cause of Incident

Loss Corrective Measures taken

Remarks, if any

Save

FIGURE 40

Step 2: Fill in Incident Details

Complete the following fields in the pop-up:

- **Date & Place of Incident:** Enter the date when the incident occurred and the specific place/location.
- **Cause of Incident:** Provide a brief description of the cause or reason behind the incident.
- **Loss:** Specify the nature and extent of any loss (material, data, financial, etc.) resulting from the incident.
- **Corrective Measures Taken:** Describe the corrective actions or measures implemented to address, mitigate, or prevent recurrence of the incident.
- **Remarks, if any:** Add any additional comments, information, or context relevant to the incident.

Step 3: Submit Details

Figure 39

- **Place:** Enter the place of signing.
 - **Name:** Enter the name of the authorized signatory.
 - **Date:** Select the signing date.
 - **Submit:** To submit all the data which is entered Choose Submit with DSC.
 - **Save as Draft:** Save the data as draft if not submitting.
-

Annexure- XIV:

- **Title:** Report to MHA on List of Employees Cleared from Security Angle (Quarterly)
- **Annexure Reference:** Annexure – XIV under SMLDI compliance.
- **Purpose:** To submit a quarterly report to the Ministry of Home Affairs (MHA) detailing the list of employees who have been cleared from a security perspective, including details of Police Verification/Character Certificate (PCC) and relevant documentation for record and compliance.

The screenshot shows a web application interface for reporting. At the top, there's a title bar with a back arrow, the text 'Report to MHA on list of employees cleared from Security angle (Quarterly)', and a tab labeled 'Annexure-XIV'. Below the title bar, there are two dropdown menus: 'Financial Year' and 'Quarter', both with 'Select' as the current value. Underneath, there are three more dropdown menus: 'State', 'District', and 'Location', all with 'Select' as the current value. Below these is a table with the following columns: 'S.No', 'Name', 'Address', 'Employee ID', 'Whether POC Done', 'Designation', and 'Upload PDF'. A green square with a white '+' sign is highlighted with a red border in the top right corner of the table area.

Step 1: Select Reporting Period and Location

- **Financial Year:** Select the appropriate financial year from the dropdown.
- **Quarter:** Select the quarter (Q1, Q2, Q3, or Q4) for which data is being reported.
- **Location:**
- **State:** Select the state.
- **District:** Select the district.
- **Location:** Select the specific location/unit.

Add Data: Click + button to add new Data.

The screenshot shows a pop-up window titled 'Add Report to MHA on list of employees' with a close button (X) in the top right corner. The form contains the following fields: 'Name' (text input), 'Address' (text input), 'Employee ID' (text input), 'Designation' (text input), and 'Whether POC Done:' (dropdown menu with 'No' selected). A 'Save' button is located at the bottom right of the form.

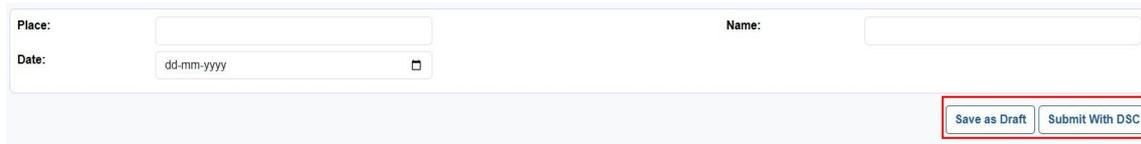
FIGURE 41

Step 2: Enter Employee Details

Complete the following fields in the pop-up form:

- **Name:**
Enter the full name of the employee.

- **Address:**
Provide the current, complete residential address of the employee.
- **Employee ID:**
Input the unique Employee Identification Number assigned to the employee.
- **Designation:**
State the employee's job title or functional designation.
- **Whether POC Done:**
Select "Yes" or "No" from the dropdown to indicate if (PCC) has been completed for the employee.



The screenshot shows a form with three input fields: "Place:" (text), "Name:" (text), and "Date:" (calendar icon). The date field contains the placeholder "dd-mm-yyyy". At the bottom right, there are two buttons: "Save as Draft" and "Submit With DSC". The "Submit With DSC" button is highlighted with a red border.

FIGURE 42

Step 3: Submit

Place: Enter the place of signing.

Name: Enter the name of the authorized signatory.

Date: Select the signing date.

Submit: To submit all the data which is entered Choose Submit with DSC.

Save as Draft: Save the data as draft if not submitting.

Annexure- XV:

- **Title:** Report of Inflow of Foreign Investment
- **Annexure Reference:** Annexure – XV under SMLDI compliance.
- **Purpose:**
To record and report details of foreign investment inflows into the company, including licensing status, contact information of responsible persons, and the FDI (Foreign Direct Investment) route. This ensures regulatory compliance and transparency in foreign investment reporting.

Report of inflow of foreign investment		Annexure-XV
Name of the Company	<input type="text"/>	
License	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="text" value="Enter Items..."/>	
Particulars of the concerned	Name	<input type="text"/>
	Email	<input type="text"/>
	Contact	<input type="text"/>
FDI Route (Government/Automatic) (In Case of Government Route, Approval No and date)	Select <input type="text"/>	

FIGURE 43

STEP 1: FILL COMPANY AND INVESTMENT DETAILS

- **Name of the Company:** Enter the full official name of the company that is reporting the inflow.
- **License:** Indicate if the company holds a relevant license by selecting "Yes" or "No". If "Yes," specify the license details in the text field.

Particulars of the concerned

- **Name:** Enter the name of the contact person responsible for the foreign investment report
- **Email:** Enter the email address for correspondence.
- **Contact:** Enter the contact phone number for the responsible person.

FDI Route (Government/Automatic)

- Select the applicable FDI route from the dropdown.

Details of Foreign Investors						
S.No	Name of Foreign Investor	Percentage Shareholding	Country	Nature of Investment (FDI, FII, FPI, QFI etc.)	Value (in INR)	Action
<input type="button" value="+"/>						

FIGURE 44

Step 2: Details of Foreign Investors

Add Data: Click on + button to add new data.

FIGURE 45

Step 4: Add new entry of Foreign Investors

Fill the details: *Figure 45*

- **Name:** Enter the name of the foreign investor.
- **Percentage of Shareholding:** Enter the share percentage investor is holding.
- **Country:** Select the country from the dropdown.
- **Nature:** Enter the Nature of Investment.
- **Values:** Enter the values of shareholding in Rupees.

FIGURE 46

Step 3: Submit

Place: Enter the place of signing.

- **Name:** Enter the name of the authorized signatory.
- **Date:** Select the signing date.
- **Annual:** Enter financial year
- **Submit:** To submit all the data which is entered Choose Submit with DSC.
- **Save as Draft:** Save the data as draft if not submitting.