

**EXCELLENCE, ESG, SUSTAINABILITY, MINING INNOVATION,
ENVIRONMENT, SOCIAL RESPONSIBILITY
AND HEALTH & SAFETY AWARDS 2022-23
&
AWARD SCHEME 2023-24**



FEDERATION OF INDIAN MINERAL INDUSTRIES
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FIMI AWARD SCHEME 2023 – 24

**FIMI's EXCELLENCE, ESG, SUSTAINABILITY,
MINING INNOVATION,
ENVIRONMENT, SOCIAL RESPONSIBILITY
AND HEALTH & SAFETY AWARDS**

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SPONSORS OF FIMI AWARDS

<u>Awards</u>	<u>Year of Institution</u>
I. Environment Awards – 4 Nos.	
<ul style="list-style-type: none"> S.K. Sarawagi & Co. Pvt. Limited MSPL Limited Misrilall Jain & Sons Gem Granites Private Limited 	1990-1991
II. Social Responsibility Awards – 2 Nos.	
<ul style="list-style-type: none"> Rungta Mines Limited NMDC Limited 	1995-1996 2001-2002
III. Bala Gulshan Tandon Award of Excellence – 1 No.	
<ul style="list-style-type: none"> Padma Bhushan Late Shri G. L. Tandon (Former Chairman of Coal India Limited) 	2004-2005
IV. Health & Safety Awards – 2 Nos.	
<ul style="list-style-type: none"> Rio Tinto India Pvt. Limited Hindustan Zinc Limited 	2011-2012 2014-2015
V. Sustainability Awards – 2 Nos.	
<ul style="list-style-type: none"> Tata Steel Limited Hindalco Industries Limited 	2017-2018 2021-2022
VI. Mining Innovation Award – 1 No.	
<ul style="list-style-type: none"> Vedanta Limited - Sesa Goa Iron Ore 	2020-2021
VII. ESG Award – 1 No.	
<ul style="list-style-type: none"> Odisha Mining Corporation Limited 	2023-2024

BACKGROUND

In the present world of globalization, no business can achieve the desired results without ensuring economic, social and environment sustainability. However, unlike other industries that have choice of locating their projects at any geographical location suitable to them, mining industry inevitably has to be where the minerals occur. Therefore, the challenge of following sustainability principles gets significantly magnified and complicated too. This challenge gets further compounded by the fact that most of the mineral bodies are in forest, backward and tribal areas – where economic, social and other infrastructures are conspicuous by their absence. In such settings, mining industry has to take care of many diverse and compelling issues right from conservation of biodiversity, wildlife, environment, etc.

Mining industry follows sustainable mining while performing its dual role of meeting the domestic demand of raw materials as well as of increasing its contribution in the international market. It is striving hard to acquire the capability to deliver sustainable and responsible economic growth through R&D, productivity enhancement, improved technology and conservation strategies. The voluntary CSR and community welfare initiatives undertaken by the industry along with the Health & Safety of the stakeholders is well recognized.

In order to motivate and recognize the efforts of mining industry for having addressed these multi-dimensional issues in an exemplary manner, FIMI instituted FIMI's Awards Scheme in the year 1990-91 with the support of Ministry of Mines and MOEFCC.

There are thirteen awards in seven categories, viz. awards of Excellence, ESG, Sustainability, Mining Innovation, Environment, Social Responsibility and Health & Safety which are given annually through a Jury of experts in mining and sustainable development.

FIMI has instituted a new award “OMC Mining Happiness ESG Award” in its current Award Scheme 2023-24. The main objective of this annual award is to recognize and honour individual mines for their exemplary efforts in the field of environment, social and corporate governance in mining operation.

FIMI Awards have unique recognition in the country and are conferred during the Annual General Meeting of FIMI. Each award carries a trophy and a certificate. In particular, the Excellence award was instituted in the year 2004-05 by Shri. G. L. Tandon, the country's first mining engineer to have been conferred the prestigious Padma Bhushan Award, in memory of his late wife Smt. Bala Gulshan Tandon. This award is designed to recognize excellence in overall mine performance covering economic, social, environmental and health & safety aspects.

AWARD WINNING MINES IN FIMI AWARD SCHEME 2022-23

FIMI EXCELLENCE AWARD

Bala Gulshan Tandon
Award of Excellence

Kodingamali Bauxite Mine
Odisha Mining Corporation Ltd.

FIMI SUSTAINABILITY AWARDS

Hindalco – Aditya Birla
Award for Sustainable Mining

Sukinda Chromite Mines
Tata Steel Mining Limited

Joint Winners

Tata Steel Award for
Sustainable Mining

Baphlimali Bauxite Mines
Utkal Alumina International Limited
&
Bhusar Bauxite Mine
Hindalco Industries Limited

FIMI MINING INNOVATION AWARDS

Joint Winners

Vedanta Sesa Goa Mining
Innovation Award

Joda East Iron Mine
Tata Steel Limited
&
Sindesar Khurd Mine
Hindustan Zinc Limited

FIMI ENVIRONMENT AWARDS

Subh Karan Sarawagi
Environment Award

Surkha (North) Lignite Mine
GMDC Limited

Abheraj Baldota
Environment Award

Samri Bauxite Mines
Hindalco Industries Limited

Misrilal Jain Environment Award	Dharma Iron Ore Mine JSW Steel Limited
Gem Granites Environment Award	Century Cement Limestone Mines UltraTech Cement Limited
FIMI Special Environment Award	Muddapur Limestone & Dolomite Ore Mine South West Mining Limited
FIMI Special Environment Award	Ghewaria Soapstone & Dolomite Mine Udaipur Mineral Development Syndicate Pvt. Ltd.

FIMI SOCIAL RESPONSIBILITY AWARDS

Sita Ram Rungta Award for Social Responsibility	Bailadila Iron Ore Mine, Bacheli Complex NMDC Limited
NMDC Award for Social Responsibility	Orient Coal Mine No. 1 & 2 Mahanadi Coalfields Limited

FIMI HEALTH & SAFETY AWARDS

Rio Tinto Health & Safety Award	Kujam II Bauxite Mine Hindalco Industries Limited
Hindustan Zinc Health & Safety Award	Dulanga Coal Mining Project NTPC Limited

FIMI AWARD SCHEME 2023 – 24

CATEGORY OF AWARDS

I. FIMI EXCELLENCE AWARD – 1 Award

i. Bala Gulshan Tandon Award of Excellence

This award was instituted in 2004-05 by Shri G. L. Tandon, the country's first mining engineer to have been conferred the prestigious Padma Bhushan Award, in memory of his wife Smt. Bala Gulshan Tandon. The award is designed to recognize excellence in the overall performance – economic, social, environmental and health & safety of the applicant mine. In the overall scheme of assessment, dimensions which are germane to excellence such as commitment, self-evaluation, transparency, governance etc. are also given due and significant importance.

Eligibility: Any mine fulfilling following conditions will be eligible to apply:

- which have not won “FIMI's Excellence Award” in last three financial years (i.e. since 2020-21)
- no fatalities during last three financial years (i.e. since 2021-22)
- should have overall good health conditions of mine workers
- should not have any report of worker suffering from notifiable disease

II. FIMI ESG AWARD – 1 Award

i. OMC Mining Happiness ESG Award

The award is designed to recognize and honour individual mine for their exemplary efforts in the field of environment, social and corporate governance in mining. This Award has been recently instituted in the year 2023-24 and is open for application to all categories of mine.

Eligibility: Any mine fulfilling following conditions will be eligible to apply:

- which have not won “FIMI's Excellence Award” in last three financial years (i.e. since 2020-21)
- no fatalities in last three financial years (i.e. since 2021-22)
- should have overall good health conditions of mine workers
- should not have any report of worker suffering from notifiable disease

III. FIMI SUSTAINABILITY AWARDS – 2 Awards

- i. **Tata Steel Award for Sustainable Mining**
- ii. **Hindalco – Aditya Birla Award for Sustainable Mining**

Tata Steel Award for Sustainable Mining Award was instituted in 2017-18 and Hindalco – Aditya Birla Award for Sustainable Mining Award was instituted in 2021-22. The purpose of these awards is to recognize excellence in biodiversity conservation and sustainability performance of mine. In the overall scheme of assessment, aspects such as business approach towards sustainability, integration of biodiversity with mining, risk assessment, etc. are also given due and significant importance.

Eligibility: Any mine fulfilling following conditions will be eligible to apply:

- which have not won “FIMI's Excellence Award” in last three financial years (i.e. since 2020-21)
- which have not won “FIMI's Sustainability Award” in last three financial years (i.e. since 2020-21)
- no fatalities in last three financial years (i.e. since 2021-22)
- should have overall good health conditions of mine workers
- should not have any report of worker suffering from notifiable disease

IV. FIMI MINING INNOVATION AWARD – 1 Award

- i. **Vedanta – Sesa Goa Mining Innovation Award**

The award is designed to recognize and honour individual mine for their exemplary efforts in the field of innovation in mining. This Award was instituted in the year 2020-21 and is open for application to all categories of mine.

Eligibility: Any mine fulfilling following conditions will be eligible to apply:

- which have not won “FIMI's Excellence Award” in last three financial years (i.e. since 2020-21)
- which have not won “FIMI's Mining Innovation Award” in last three financial years (i.e. since 2020-21)
- no fatalities in last three financial years (i.e. since 2021-22)
- should have overall good health conditions of mine workers
- should not have any report of worker suffering from notifiable disease

V. FIMI ENVIRONMENT AWARDS – 4 Awards

- i. Subh Karan Sarawagi Environment Award**
- ii. Abheraj Baldota Environment Award**
- iii. Misrilall Jain Environment Award**
- iv. Gem Granites Environment Award**

Mining has a direct implication on the natural environment. Environmental compliance and management therefore play a prominent role in mining activity. In order to encourage mineral conservation, preservation of bio-diversity and maintain ecological balance around mining activity all over the country, FIMI has instituted four Environment Awards. These awards are designed to recognize the mine which have made significant and exemplary efforts towards environmental conservation and management in mine.

Eligibility: Any mine fulfilling following conditions will be eligible to apply:

- which have not won “FIMI's Excellence Award” in last three financial years (i.e.since 2020-21)
- which have not won “FIMI's Environment Award” in last three financial years (i.e. since 2020-21)
- no fatalities in last three financial years (i.e. since 2021-22)
- should have overall good health conditions of mine workers
- should not have any report of worker suffering from notifiable disease

VI. FIMI SOCIAL RESPONSIBILITY AWARDS – 2 Awards

- i. Sita Ram Rungta Award for Social Responsibility**
- ii. NMDC Award for Social Responsibility**

FIMI believes that mere propagation of conventional corporate social responsibility is more like following others. Obtaining social license to operate is a goal that requires leadership. It is a matter of not just following best practices but of innovating to best practices. After all, brand reputation and creation of stable and conducive social environment are needs not only for trade and investment but for better standard and quality of life of all the stakeholders, specially the community around. FIMI, therefore, instituted two Social Responsibility Awards to encourage the leaders to forge ahead and pull up the followers to do better. These two awards are designed to recognize the mine adjudged to have best contributed to the general upliftment and well-being of their various stakeholders while addressing broader sustainability concern.

Eligibility: Any mine fulfilling following conditions will be eligible to apply:

- which have not won “FIMI's Excellence Award” in last three financial years (i.e. since 2020-21)

- which have not won “FIMI's Social Responsibility Award” in last three financial years (i.e. since 2020-21)
- no fatalities in last three financial years (i.e. since 2021-22)
- should have overall good health conditions of mine workers
- should not have any report of worker suffering from notifiable disease

VII. FIMI HEALTH & SAFETY AWARDS – 2 Awards

i. Rio Tinto Health & Safety Award

ii. Hindustan Zinc Health & Safety Award

Health & Safety of workers engaged in mining activities and communities around mine has been getting increasing attention of societies and stakeholders. To specifically attract attention and focused efforts of mining industry towards this important area, FIMI has introduced these Awards to recognize good efforts and initiatives made by the mining industry in taking care of health & safety of their employees and to inspire others to do the same. The ultimate objective of these Awards is to create awareness and implement strategies for improving occupational health & safety management standards so as to focus on development, management and awareness of occupational health & safety by minimizing adverse hazards and risks.

Eligibility: Any mine fulfilling following conditions will be eligible to apply:

- which have not won “FIMI's Excellence Award” in last three financial years (i.e. since 2020-21)
- which have not won “FIMI's Health & Safety Award” in last three financial years (i.e. since 2020-21)
- no fatalities in last three financial years (i.e. since 2021-22)
- should have overall good health conditions of mine workers
- should not have any report of worker suffering from notifiable disease

General Conditions for all the Awards

- **Any mine with major compliance issues and/or having had fatal accidents within the last three financial years (i.e. since 2021-22) is not eligible for any of the Awards.**
- **Exploration projects and mine under development will not be considered for these awards.**

SUMMARY

Category	Award
I. Excellence Award	Bala Gulshan Tandon Award of Excellence
II. ESG Award	OMC Mining Happiness ESG Award
III. Sustainability Awards	Tata Steel Award for Sustainable Mining
	Hindalco – Aditya Birla Award for Sustainable Mining
IV. Mining Innovation Award	Vedanta – Sesa Goa Mining Innovation Award
V. Environment Awards	Subh Karan Sarawagi Environment Award
	Abheraj Baldota Environment Award
	Misrilal Jain Environment Award
	Gem Granites Environment Award
VI. Social Responsibility Awards	Sita Ram Rungta Award for Social Responsibility
	NMDC Award for Social Responsibility
VII. Health & Safety Awards	Rio Tinto Health & Safety Award
	Hindustan Zinc Health & Safety Award

Last date for submission of Award Applications is 29th February, 2024.

ASSESSMENT PROCESS

The entire scheme of FIMI Awards has been designed to eliminate, to the extent possible, any subjectivity that might creep into the assessment process. The matter of choosing eventual award winners is the exclusive domain of the Jury.

To assist the Jury Committee Members, desktop assessment of the duly filled in applications are evaluated by independent assessors through an in-house scoring system.

The overarching filter relates to compliance with all the applicable laws and regulations. Non-compliant applicant mine are not considered for any award. Similarly, if any fatal accident has taken place in a mine within the assessment period (last 3 financial years i.e. 2021-22, 2022-23 & 2023-24) it will be considered as ineligible.

Evaluation/Assessment of application form is restricted to the performance parameter for the category of awards for which applicant has applied. However, compliance to various laws, listed in the application document, is mandatory for everyone, irrespective of the category of award one is applying for.

USB/CD/DVD containing good quality photographs and video clips relevant to the Award and showing important features of the mine will also be used as supporting evidences of your answers.

The aggregated scores by the independent assessors are then averaged and normalized through a consensus meeting.

Separate lists of applicant mine for each category of award i.e. Excellence; ESG; Sustainability; Mining Innovation; Environment; Social Responsibility and Health & Safety Awards of applicant mine are prepared in the descending order of their scores, and then presented to the Jury Members to decide the cut offs for short-listing the mine.

In case of Excellence Award, ESG Award, Sustainability Award and Mining Innovation Award, site assessment will be carried out for shortlisted mine.

The shortlisted mine for other categories such as Environment, Social Responsibility and Health and Safety Award, will be required to make presentation before the Jury committee for selecting the final awardees, however, the site visit will be undertaken only, if so desired by the Jury.

Scores, with supportive evidences and justifications in respect of all the shortlisted applicants, shall be presented to the Jury for selecting the Award Winners.

GUIDELINES AND APPLICATION FORMAT

I. General Guidelines

1. The application document is divided into seven sections:

Section No.	Section Name
Section A	General Information and Statutory Compliance
Section B	Economic Performance
Section C	ESG Performance
Section D	Biodiversity & Sustainability Performance
Section E	Mining Innovation Performance
Section F	Environment Performance
Section G	Social Performance
Section H	Health & Safety Performance

2. Guidelines for sections to be filled for different awards:

Award(s)	Sections to be filled
Excellence Award	Section A,B, F, G and H
ESG Award	Section A and C
Sustainability Award	Section A and D
Mining Innovation Award	Section A and E
Environment Award	Section A and F
Social Responsibility Award	Section A and G
Health and Safety Award	Section A and H

3. Application form is attached at the end of this booklet; it can also be downloaded from our website: www.fedmin.com (under "[FIMIs Award Scheme](#)" heading).
4. All the questions/points in the application document, for respective awards, are required to be filled. Provide quantitative answer / result wherever possible with relevant photographs, wherever possible. If any document (approval) attached is in any other language (English & Hindi), a translation should be provided.
5. The application should be accompanied by a USB/CD/DVD containing photographs and video clips relevant to the Award and showing important features of the mine.
6. Copies of approvals / clearances / permissions / violations / show-cause notices must be submitted wherever required.
7. The shortlisted mine for all the categories of awards other than Excellence Award, ESG Award, Sustainability Award and Mining Innovation Award category will be required to make presentation before the Jury committee for selecting the final awardees. In case of Excellence Award, ESG Award, Sustainability Award and Mining Innovation Award, site assessment will be carried out for shortlisted mine, while in other categories of awards the site visit will be undertaken only, if so desired by the Jury.

8. All the information and documentation provided by the applicants shall be kept strictly confidential and shall be used only for the purpose of selecting Award Winners. The best practices adopted by the mine will be showcased in the larger interest of the industry in the FIMI's News Bulletin, only after written prior permission of the competent person of the mine.
9. Applications, complete in all aspects, should be submitted in spiral bound form (avoid loosely threaded compilation of document) in **Duplicate** (two copies) along with required supporting documents and should reach the Federation of Indian Mineral Industries (FIMI) Office, addressed to the **Secretary General – FIMI, FIMI House, B-311, Okhla Industrial Area, Phase-I, New Delhi-110 020**, latest by 29th February, 2024 along with payment, as mentioned below, towards 'Application fee for FIMI Awards'. For any clarifications, applicant may contact Shri B.K. Bhatia, Additional Secretary General, FIMI, Mobile No. 9993000750 or Ms. Pronota Mitra Mukherjee, Director, FIMI-SMI, Mobile No. 8076551741.
10. Soft copy of the application must be sent to smi@fedmin.com

Category		For FIMI Members	For Non-Members
For Award of Excellence or Award of ESG or Award of Sustainability or Award of Mining Innovation		Rs. 40,000	Rs.50,000
For All Other Awards	For Mine ≥ 50ha	Rs. 30,000	Rs. 40,000
	For Mine < 50ha and / or Minor Mineral Mine	Rs. 20,000	Rs. 30,000

11. GST is applicable @18% extra on the application fee.
12. The mine shortlisted by the Jury for on-site assessment shall have to bear actual travel, boarding, lodging and incidental expenses of the assessors.

13. The payment shall preferably be made by RTGS/NEFT (details below):

Bank Account Name : Federation of Indian Mineral Industries
Bank Name : State Bank of India
Bank Account No. : 65081610236
Account Type : Current Account
IFSC No. : SBIN 0014461
MICR Code : 110002360
Bank Address : Aggarwal Plaza, Okhla Industrial Area, Phase- 1,
New Delhi -110020

Or

By Demand Draft in favour of '**Federation of Indian Mineral Industries**', payable at **New Delhi**, to be sent at:

*Federation of Indian Mineral Industries
FIMI House,
B-311, Okhla Industrial Area, Phase – I
New Delhi – 110 020
Tel.: (011) – 43520828 / 29 / 30
Fax : (011) 45643254*

Kindly note our **GST No. 07AAATF0348Q1ZG**

14. In case a mine intends to apply for more than one award, in addition to the Section-A-General Information & Statuary compliance, it should fill in the relevant section for the particular Award being applied for. It may be noted that separate fee, as applicable, has to be deposited for the number of awards being applied.

Schedule for FIMI's Award Scheme, 2023 – 24

1. Last date of submission of Award Application – 29th February, 2024
2. Award Assessment Process – April to May, 2024
3. Communication to Applicant mine – June, 2024
4. Award Ceremony at the time of FIMI AGM – July / August, 2024

II. Section-wise Guidelines

1. Section – A : General Information and Statutory Compliances

Part I – General Information

- a. Relates to general information about the applicant's organization and the mine site for which the application is specifically made.
- b. Specify clearly at S.No.1 of this section as to which Award the application has been submitted for.
- c. Although no marks have been allotted to any of the questions in this section, it is used by the examiners and Judges in application review, including site visit, to understand your organization's environment, relationships, influence and challenges, as presented in the questions and organizational profile note.

Part II – Statutory Compliances

- a. Relates to compliance with all the applicable laws, Acts and Regulatory requirements. The applicant may add further information in respect of compliance with other relevant Acts or Regulatory requirements for which no direct questions have been asked.
- b. Applicants are requested to fill this Section carefully and factually with details and documentary support wherever required.
- c. If applicant think that a particular question/point is not applicable to the mine, write "Not Applicable" and clearly mention why.
- d. In states where SPCBs grant Consolidated Consents and Authorization (CCA), applicants need not submit separate details under relevant separate headings.

2. Sections – B, C, D, E, F, G, H : Economic, ESG, Biodiversity & Sustainability, Mining Innovation, Environment, Social, Health & Safety Performance

- a. The seven sections B, C, D, E, F, G & H : comprise of questions, whose answers shall be assessed and evaluated as objectively as possible through a rigorous scoring system for short-listing the potential Award winners.

- b. In scoring system, each section shall carry a specific weightage, as indicated against the section.
- c. Applicants must answer all the questions in the applicable section (s). If any of the questions is not applicable to the respective applicant, please mention the reason for it.
- d. Answer to each question in these sections should be as comprehensive as possible and should be furnished with supporting evidence, and outcome. Additional sheets may be used, if required.
- e. Wherever years are not specified, information is asked for only last three financial/working years (i.e. 2020-21, 2021-22, 2022-23). Applicants are free to provide information beyond past 3 years if considered relevant and important.

FIMI AWARDS 2023 – 24

APPLICATION FORMAT

SECTION-A: GENERAL INFORMATION AND STATUTORY COMPLIANCES

PART – I: GENERAL INFORMATION

1. Name of the Award applied for :
2. Name of lease holder :
3. Name of Mine :
4. M.L. No. :
5. Mineral(s) mined :
6. Location of mine :
7. Date of commencement of mining :
8. Lease area (details to be given in the following format)

Type of Land	Area under Lease (Hectares)	Area Broken Open or Under Working (Hectares)
Forest land		
Non-forest land		
Total Area		

9. Salient features of mine including its geology etc. (not more than 1000 words)
10. Method of working (Tick ✓) : Opencast / Underground / Both
11.
 - a) Type of operations (Tick ✓) : Mechanized / Semi-mechanized / Manual
 - b) List the equipment & machinery used (with broad specifications)
 - c) Any innovative practices need to be highlighted with relevant photographs
12. Production (details to be given mineral-wise in the following format)

Year	Mine Capacity (Tonnes Per Year)	EC Capacity (Tonnes)	Production (Tonnes)	Remarks
2020-21				
2021-22				
2022-23				

13. Total manpower in Operations (as on date):

Year	Direct	Contract	Total
As on date			

14. Details of Fatal Injury, if any:

Year	Fatal injury in the mine	If Yes, provide details thereof	No. of cases of notifiable diseases (Please provide the details thereof)
2021-22	Yes/ No		
2022-23	Yes/No		
2023-24	Yes/No		

15. Star-Rating awarded from IBM/MOC in the last three reporting years, if any:

16. Any Accredited Certification of mine for (please tick ☒ whichever is appropriate):

- a) Quality Management System (ISO 9001) : Yes / No
- b) Environmental Management System (ISO 14001) : Yes / No
- c) Occupational Health & Safety Management System : Yes / No
(ISO 18001) / (ISO 4500, 45001)
- d) Social Accountability Certification (SA 8000) : Yes / No
- e) Energy Audit undertaken by the mine : Yes / No
- f) Member of Sustainable Mining Initiative : Yes / No
- g) GRI Reporting / ESG reporting : Yes / No
- h) Any other certification lessee wishes to furnish

17. Details of awards received earlier, including any FIMI awards:
(Name & Year of Award, Award conferred by)

18. Details (Name, designation, address, e-mail, mobile number) of

- a) Owner/ Agent :
- b) Mines Manager :
- c) Contact person :

19. Any other relevant information the applicant wishes to furnish.

PART – II : STATUTORY COMPLIANCES

Please tick (√) or fill, whichever is applicable.

1	Payment of all applicable mandatory taxes, royalties, DMF and NMET contribution, GST on royalty, levies, cess, fees, etc., to both State and Central Governments are upto date	Yes / No
2	MMDR Act 1957; MCR 2016 and MCDR 2017 / MCR 1960 (for coal) a) Mining lease valid upto b) Validity period of latest Mining Plan / Scheme of Mining approved by IBM or Ministry of Coal (in case of coal)	Date Date
3	Occupational Safety, Health and Working Conditions Code, 2020 and rules thereunder a) Obtained Permission for deep hole blasting & Use of HEMM b) Obtained Common Boundary Working Permission c) Exemption under prohibition of employment of contract labour (if applicable) for coal mines- d) Permission for opening for seams by Ministry of Coal e) Scientific study for dump slope stability under CMR 2017	Yes / No/ NA Yes / No/ NA Yes / No/ NA Yes / No Yes / No
4	Forest Clearance under, Van (Sanrakshan Evam Samvardhan) Adhiniyam / Forest (Conservation) Act, 1980	Obtained / Under process/ NA
5	Environment (Protection) Act, 1986 a) Environment Clearance under EIA Notification, 2006 b) Permission under CRZ Notification, 1991 or CRZ Notification, 2011 or CRZ Notification, 2019	Obtained / Under process / NA Obtained / Under process / NA
6	Has there been any implication of the following Acts? a) The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act 2006 b) The Provisions of the Panchayat (Extension to the Scheduled Areas) Act 1996 c) Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013 (Land Acquisition Act, 2013) (If Yes, provide details)	Yes / No Yes / No Yes / No
7	Authorization received under Hazardous and Other Wastes (Management and Transboundary Movement) Rules, 2016?	Obtained / Under process/ NA

8	Clearance under Wild Life (Protection) Act, 1972	Obtained / Under process/ NA
9	Consent To Operate (CTO) under Air (Prevention & Control of Pollution) Act, 1981 & Water (Prevention & Control of Pollution) Act, 1974	Obtained / Under process/ NA
10	Obtained Permission for Ground water withdrawal from Central Ground Water Authority (CGWA)	Yes / No
11	Drone survey carried out under Sub-Rule 5 of Rule 31A of MCDR 2017 and submitted to IBM	Yes / No
12	Obtained permission and licenses under Explosive Act, 1951 for Magazine, Explosive transport vehicles and manufacture of site mix explosives?	Yes / No / NA
13	Implementation of Rehabilitation and Resettlement policy of the State Government, if applicable.	Yes / No / NA
14	Has the mine or company been issued any Show-Cause / Violation Notices / Prohibitory notices by DGMS? (If Yes, provide details along with compliance actions taken)	Yes / No
15	Has there been any instance of any penal provisions being invoked against the mine under any of the above Acts/Rules in last 3 years? If Yes, provide details.	Yes / No

UNDERTAKING:

I, hereby state that

I have reviewed the information provided by my organization in this application and confirm this is to be correct and update.

We understand that this application will be reviewed by a group of assessors. Should our mine be selected for a site visit, we agree to host the site visit and to facilitate an open and unbiased examination.

I agree, on behalf of my organization, to abide by the conditions mentioned in the guidelines and accept that the decisions of the Jury will be final.

I certify that the mine/organization complies to all administrative, statutory and legal provisions (terms and conditions) attached to lease deed, various grants /clearances/approvals/consents etc.

Date: ____/____/____

(Authorized Signatory)

Name:

Designation:

SECTION-B: ECONOMIC PERFORMANCE (1000 Points)

Eligibility: Any mine fulfilling following conditions will be eligible to apply:

- which have not won “FIMI's Excellence Award” in last three financial years (i.e. since 2020-21)
- no fatalities in last three financial years (i.e. since 2021-22)
- should have overall good health conditions of mine workers
- should not have any report of worker suffering from notifiable disease

1. BUSINESS DEVELOPMENT AND PRODUCTIVITY (200 points)

a) Furnish the following data regarding mine production:

Year	Mine capacity (Tonnes per year)	EC Capacity (Tonnes)	Production (Tonnes)	Turnover (in Rs. lakhs)
2020-21				
2021-22				
2022-23				

- b) Outline the major improvements in productivity and profitability of the mine and substantiate with statistics, tables, charts, graphs etc.
- c) Outline the value addition to the extracted ore/minerals by the way of adopting Crushing/ Screening/ Beneficiation/ Washing/ Downstream process etc. and provide the economic benefit of the same.

2. SYSTEMATIC EXPLORATION (100 points)

Outline the geology, exploration carried, updated reserves as per UNFC, software used for resource estimation, future exploration programmes, threshold and cutoff grade for resource estimation and any other related information and any significant outcomes in the past 3 years.

3. MINE PLANNING AND MONITORING MINE OPERATIONS (100 points)

Outline the effective mine planning (mention if any software is used and its implementation achieved and its implementation to achieve reduced stripping ratio), optimum recovery of ore and efforts to achieve highest safety and health indicators. Innovations in reducing mining costs can also be illustrated. Mention about the monitoring system such as GPS/drones/satellite imagery/ERP (Enterprise Resource Planning) being used.

4. MACHINERY UTILISATION AND MAINTENANCE (100 points)

Outline the uniqueness of the mine adopted in deploying machineries for special purpose, optimal use of machinery (provide statistics like machine-wise availability, utilization, its productivity and energy efficiency for the past 3 years). Highlight the advanced practices towards preventive and predictive maintenance of machinery, etc.

5. INNOVATION AND RESEARCH & DEVELOPMENT (100 points)

- a) Outline how mine/company has started adopting digital technologies to reduce cost, ensure work safety and improve its mining operation. How it contributes at various stage of mining process from exploration to transportation of the ore?
- b) Outline the R&D facilities in respect of
 - Collaboration with start-ups for innovation in mining operations.
 - Use of sub-grade minerals in the mine or any commercial utilization of associated minerals.
 - Cost optimization measures (such as machinery capacity selection, shovel-dumper combination, R&D on trial basis etc.)
 - Reducing the environmental footprint of the mine (substantiate with relevant photographs, wherever required)
 - Expenditures made for R&D over past 3 years together with significant outcomes of R&D.

6. BUSINESS GROWTH AND RISK MANAGEMENT (100 points)

Outline how company is developing its strategy for its business growth (by adding new projects), business diversification (investing in diversified mining projects or diversified businesses), managing risks (variation in logistics / truck / freight rates and mode of transport, variations in threshold limits, variations in gangue minerals contents, variation in demand & supply), other business related risks, sustainability and its future planning.

7. EFFORTS TOWARDS ZERO WASTE MANAGEMENT (100 points)

Outline how company is utilizing waste generated in the mine for market, sale, other use of commercial benefit and alternate use. Elaborate how it is exploring opportunities to utilize wastes generated in the mine and pursuing economic activities such as developing market for overburden, use of tailings, recycling of oil, etc. Also outline the activities to promote recycling and reuse in the mine. (Please elaborate the reduction of waste at source, recycling & reuse of waste).

8. ENERGY MANAGEMENT (100 points)

Outline how company is targeting energy efficiency over past three financial years by way of increase in fuel efficiency (provide statistics of fuel consumption per tonne of production and also compare the specific fuel consumption of each machine for the past 3 year), use of renewable energy wherever feasible and possible, reducing the

energy requirements by innovative methods and process re-engineering and any other means. Indicate whether the mine has undertaken energy audit in the past few years.

9. STAKEHOLDERS ENGAGEMENT AND PUBLIC REPORTING SYSTEMS (100 points)

Outline the practice and process in place to identify, prioritize and engage key stakeholders to address concerns pertaining to sustained economic well-being of the mine, method of engagement with stakeholders and any related information. Focus on the business risk related issues to stakeholders especially investors, employees, suppliers, government agencies and community likely to be impacted. Also outline if there are any public reporting system physically at the mine or online on website.

SECTION-C: ENVIRONMENT, SOCIAL, GOVERNANCE (ESG) PERFORMANCE (1000 Points)

Eligibility: Any mine fulfilling following conditions will be eligible to apply:

- which have not won “FIMI's Excellence Award” in last three financial years (i.e. since 2020-21)
- no fatalities in last three financial years (i.e. since 2021-22)
- should have overall good health conditions of mine workers
- should not have any report of worker suffering from notifiable disease

I. ENVIRONMENT (300 points)

1. APPROACH TOWARDS CLIMATE CHANGE MITIGATION AND RENEWABLE ENERGY (100 points)

- a) What are the efforts taken towards mitigating climate change such as reduction in GHG emissions during mining operations? Does the management measure direct and indirect GHG emissions such as Scope 1, Scope 2 and Scope 3 emissions? Provide trend of Scope 1, Scope 2 and Scope 3 emissions or related KPIs (i.e. Specific diesel & electricity consumption, refrigerant use etc. for last 3 years)
- b) Does the mine promote and utilize renewable energy (such as solar power, biofuel, electric vehicle etc.) at mine? Provide trend of related KPIs (i.e renewable energy as % of total energy consumption) for last 3 years .Is the organization certified for ISO 14001:2015 & ISO 50001:2018? If so, please attach certificates.
- c) What are the proposed action plan to shift towards the use of renewable energy? Please provide details of the targets/initiatives implemented. Has the organization taken a Net Zero target & if so provide details.

2. MANAGEMENT OF AIR AND WATER (100 points)

- a) Briefly mention how air quality is managed at the mine and the systems in place? Outline the steps/measures adopted to prevent and mitigate air pollution w.r.t. Drilling and Blasting, transportation, Storage of minerals / waste material. Briefly mention with photographs, how air quality is monitored at the mine? Provide factual data regarding Ambient Air Quality monitoring for the last 3 years (Mention the details of PM₁₀, PM_{2.5}, SO_x and NO_x parameters).
- b) Provide the mine's specific water consumption data for last 3 years. How mine drainage system is managed to control the runoff and the methods adopted for

controlling water pollution in the mine. (Provide details of construction of garland drains, gully plug, check/silt dam, settling ponds and mode of final discharge, details of treatment facility provided, dimensions wherever applicable with photographs).

- c) Outline if any efforts are made for rain water harvesting, if yes, substantiate with the details and results achieved by the rainwater harvesting structures. Also provide KPI trend related to volume of rain water harvested, water reused & recycled for last 3 years with details of initiatives taken.
- d) Provide details of any external awards won by the unit/organization on Environment Management related initiatives.

3. AFFORESTATION, BIODIVERSITY ACTIVITIES AND WASTE MANAGEMENT (100 points)

- a) Efforts undertaken in afforestation (explain with photographs and number of trees planted & survival rate in last 3 years) within lease and outside lease area (such as 3-tier plantation, use of seed balls for seed dispersal, vetiver grass plantation, landscaping, horticulture or any other. Please mention if any other initiatives undertaken regarding biodiversity management.
- b) Highlight best practices adopted by the mine for conserving biodiversity in and around the lease area. Provide details on the formulation of Biodiversity Management Plans and Wildlife conservation plan (if applicable) for the area.
- c) Highlight the steps taken for stabilization of dumps (Provide details of techniques used such as Geo-coir mat, Vetiver, Miyawaki, etc). Whether the mine management has carried out slope stability study? If yes provide details.
- d) Highlight the steps taken to avoid slope failure, rolling of boulders and runoff washing from edge of dumps in active dumps.

II. SOCIAL (300 points)

4. CSR PLANNING PROCESS AND SOCIO-ECONOMIC STATUS OF SURROUNDING COMMUNITIES (100 points)

- a) Provide details of the services provided to the community in surrounding villages, in the areas of infrastructure, water supply, irrigation, education, health infrastructure and employment generation. Please provide supporting data including project cost (in lakhs) with relevant photographs for last 3 years.

- b) Mention about the CSR planning tools (such as village level micro planning, community meeting, stakeholder survey, stakeholder workshop, inputs from government, etc). Please highlight the community engagement process for planning and implementation of CSR. Please attach CSR policy and details of CSR board committee.
- c) Provide details before and after CSR intervention (Periodical survey / Third party study carried out for pre CSR intervention and post CSR intervention to understand its effectiveness) – Especially on issues related to male and female ratio, literacy/illiteracy rate, employment ratio (gender wise), health status, education etc. Please provide copies of Impact assessment of minimum 2 no. of signature CSR projects of the organization implemented in last 3 years.
- d) Does the livelihood support to host community help in generating income? If yes, please provide the following details:

Project	Avg. income/person/month

5. SOCIAL INITIATIVES FOR COMMUNITY (100 points)

- a) Outline the steps taken to improve socio-economic status of local community w.r.t the UNSDGs. What are the positive outcomes for community? Mention about any innovative CSR Project/practices and Digital intervention in CSR projects.
- b) Furnish the following data:

Year	Profit Before Tax (PBT)	Budget allocated on CSR activities (Rs.Lakh)	Utilization (Rs. Lakh)	Amount of Royalty paid (% of PBT)
2020-21				
2021-22				
2022-23				

- c) Outline the initiatives to ensure employee's participation in social innovation as well as implementation of policies. Please provide last 3 years of mandays of participation of employees in CSR activities. Is the organization certified for SA 8000:2014 ? If yes, provide the copy of certificate.

6. SUPPORT TO COMMUNITY-CRISIS RESPONSE (100 points)

- a) How the mine management has adopted a unique innovative way to support community during crisis? List out the efforts / crisis response provided by the mine/ company (monetary/non-monetary) in the last 3 years.
- b) Describe how social innovation has helped the mine/company to change its perception among community/society? Mention about any reward/recognition from regulatory authority and/or any external CSR award received by the organization/unit in last 3 years.

III. GOVERNANCE (400 points)

7. ESG POLICY (100 points)

- a) Briefly describe the ESG framework/policy of the company. Please provide information regarding ESG vision, strategy & Goals of the organization and mention if ESG is part of corporate vision. Provide details (Attach policy & other documents as annexure).
- b) Briefly outline the mechanism and implementation of the ESG framework. Provide approximate budgeted and actual expenditure on ESG management (can provide breakup of environment, social and governance) as % of revenue over the last 3 years.

8. CORPORATE GOVERNANCE (100 points)

- a) Provide details of formal structure of company's corporate governance policy, composition of board of Directors & ESG board committee. Illustrate with disclosures, and reporting system as per compliance norms including Diversity, Equity, & Inclusion (DEI) etc.
- b) Explain with details how these following guiding principles are considered in the corporate governance-
 - Integrity and Transparency
 - Policies & Regulatory Framework
 - Management/Board and Committees
 - Values & Ethics (including Anti-Bribery & Anti-Corruption Policy, Whistle blower policy etc)
 - Monitoring & Internal Control
 - Executing Strategy, audit and Enterprise Risk management
 - Tax Governance and Strategy

- Grievance Redressal Mechanism
 - Cyber security and Digitization
- c) Briefly outline mechanism for managing internal (such as owner, investors, board of directors, managers and employees) and external (customers, community, suppliers, Government) stakeholders of the company. Please outline the system devised to ensure compliance of all applicable laws. Mention none if no system is there. (Please provide as annexure any other related information such as copies of various certifications, Purpose, Vision, Mission, Values statements, various board approved policies of the organization, if available.

9. ESG TARGETS AND GOALS (100 points)

- a) How the company set target for ESG goals? Does the company conduct materiality assessment to set priorities and actions towards ESG purpose?
- b) Briefly describe the targets & achievements in the following areas health & safety, climate change, water management, net zero targets, Diversity, Equity & Inclusion, community and employee welfare, advanced technology, stakeholder engagement etc.
- c) Does the company has scoring mechanism for achieving ESG goals? Describe the key performance indicators, is it aligned with UN Sustainable Development Goals? Provide the outcomes in details tables/charts for last 3 years.

ESG Performance	ESG Targets	Key performance indicators	Target	Outcomes/actions taken	UN SDGs aligned
2020-21	<ul style="list-style-type: none"> • Parameter 1 • Parameter 2 • Parameter 3 				
2021-22					
2022-23					

10. ESG REPORTING SYSTEM (100 points)

- a) Does the company disclose/ report on Sustainability & ESG practices performance on the basis of the Business Responsibility & Sustainability Reporting (BRSR) format by SEBI/GRI/ Sustainability Accounting Standards Board (SASB)/ Carbon Disclosure Project (CDP) or under any other framework/guideline? Is the report

audited by 3rd party/independent entity? If yes, please share the latest Annual Sustainability report & Annual report as per the relevant standard.

- b) Briefly describe the issues and challenges pertaining to Environmental, Social & Governance matters? What are the different approaches undertaken by mine management in identifying and addressing such issues?
- c) Does the company conduct ESG rating by external agency/ESG rating provider? If yes, what are the trends of ESG ratings of the organization over the past years. Provide details of any ESG awards or accolades received over last 3 years.

SECTION-D: BIODIVERSITY & SUSTAINABILITY PERFORMANCE (1000 points)

Eligibility: Any mine fulfilling following conditions will be eligible to apply:

- which have not won “FIMI's Excellence Award” in last three financial years (i.e. since 2020-21)
- which have not won “FIMI's Sustainability Award” in last three financial years (i.e. since 2020-21)
- no fatalities in last three financial years (i.e. since 2021-22)
- should have overall good health conditions of mine workers
- should not have any report of worker suffering from notifiable disease

A. BIODIVERSITY ASPECTS (400 points)

1. BIODIVERSITY MANAGEMENT POLICY (50 Points)

- a) Is there a commitment in terms of Policy/Directives from company's senior management on Biodiversity Conservation and management? If yes, please highlight its key features.
- b) Are roles and responsibilities clearly defined to take policy commitment to the ground level?
- c) Is there any commitment to No Net Loss or Net Positive Impact? Provide the details.
- d) Provide details on the formulation of Biodiversity Management Plans and Wildlife conservation plan (if applicable) for the area.

2. RISK ASSESSMENT PROCEDURE (100 Points)

- a) Provide brief information about baseline data regarding biodiversity (information regarding flora and fauna species prior to the project, various ecosystem services)
- b) Has the mine assessed the risks to biodiversity due to mining in the area? If yes, provide details of risks identified along with remediation measures.
- c) Is there any species of special conservation status (WPA Schedule II and IUCN RED list) found in and around area of operation of mining company? If yes, please list the species.
- d) Is/are mining company's current or future operations falling in areas whose development may result in loss of critical habitats, World Heritage Sites or Protected Areas?
- e) Is there any assessment done for addressing social and environmental impacts of mining on natural resources dependent livelihoods, wherever applicable?

3. INTEGRATION OF BIODIVERSITY WITH MINING (100 Points)

- a) Describe how the mine monitors its footprint on biodiversity and reviews its efforts to conserve biodiversity? Does the mine conduct any independent review by experts?
- b) Mention the annual budget earmarked for implementation of the biodiversity conservation management plan for the last 3 years.

Year	Budget Allocated (in Rs. Lacs)	Utilization (in Rs. Lacs)	Funds Utilised (Percentage)
2021-22			
2022-23			
2023-24 Till date			

- c) Does the mine/company have a public reporting system for its biodiversity conservation efforts. If yes, please provide details thereof.

4. IMPLEMENTATION OF BIODIVERSITY CONSERVATION MEASURES (100 Points)

- a) Highlight best practices adopted by the mine for conserving biodiversity in and around the lease area.
- b) Also mention any specific interventions made by the mine to prevent damage to biodiversity in the region. (E.g.– fire-fighting system to tackle forest-fires, awareness programmes, etc.)
- c) What are the measures adopted by the mine to protect endangered/threatened species (flora and fauna), wetlands, etc.?
- d) Has the mine allowed strips/land of native vegetation within mining lease as biodiversity hotspots, and reconstructed fauna habitats using rocks, logs etc. from areas being cleared for mining? If yes, please furnish the details.

5. BIODIVERSITY AWARENESS PROGRAMME AND STAKEHOLDER ENGAGEMENT (50 Points)

Describe efforts made by the mine/company to engage with stakeholders (communities, Government bodies, NGOs, knowledge partners, etc.) to promote awareness towards biodiversity conservation. It may include efforts through hosting events, programmes for the host community, school children, organizing camps, part of the training curriculum, etc.

B. SUSTAINABILITY ASPECTS (600 points)

6. BUSINESS APPROACH TOWARDS SUSTAINABILITY (150 Points)

Please provide information on the following:

- Formation of corporate sustainability team and sustainability vision, mission, strategy and policy, etc. of the organization.
- Identification of sustainability related risks and targets (if any) for the mine.
- Guidelines followed for Sustainability reporting of mine – Is it through Integrated reporting or as a separate sustainability report or as a separate section in the Annual Report or only being published on website.
- Company's participation/involvement in national and international forums.
- Engagement with local communities to understand the mines' actual and potential positive and negative impacts.
- Engagement with suppliers on sustainability issues/ whether due diligence done while selecting the vendors/ whether bidding is made accessible to local vendors.
- Compliance to SA 8000:2014 standard in any form.

7. ENVIRONMENTAL PERFORMANCE (150 Points)

- a) Briefly outline the environmental management system at the mine (policy, organizational structure for environment management, mechanism and implementation, etc.)
- b) Briefly outline how the mine monitors and manages its impacts on each of the following:
 - (i) Air Quality
 - (ii) Surface Water – Run-off and Effluent discharge, etc.
 - (iii) Ground Water – NOC from CGWA/ CGWB, groundwater recharge measures, rainwater harvesting, etc.
 - (iv) Noise & Vibration
 - (v) Dump Management – dump design, stabilization, reclamation, avoidance of slope failure, etc.
 - (vi) Disposal of Hazardous wastes
 - (vii) Afforestation – plantation methods, use of native species, survival rate, etc.
- c) Please provide information on the following:
 - (i) Use of digital/ innovative technology for gainful and scientific extraction/ beneficiation of mineral resources.
 - (ii) Initiatives taken for reducing water and energy consumption in the mine and associated plants.
 - (iii) Outline the steps undertaken by the mine for progressive reclamation of the dumps.
 - (iv) Management of topsoil, subgrade minerals, tailings, slimes or ash (whichever is applicable) (a) generation, storage and utilization

- (b) % area of leasehold used for handling these materials.
- (v) Details of mined-out area reclaimed and stabilized (i.e. converted into final land use as mentioned in approved Mine Plan).
- (vi) Measuring of direct and indirect GHG emissions such as Calculation of Scope 1 and Scope 2 greenhouse gas (GHG) emissions, if carried out.
- (vii) Measure undertaken to eliminate single use plastic (SUP) in and around the mine premises.

8. SOCIAL PERFORMANCE (150 Points)

- a) Briefly outline the CSR management system at the mine (policy, organizational structure for CSR, mechanism, identification of community needs, implementation, etc.).
- b) List out the major initiatives by the mine that demonstrates its commitment towards the local community
 - Recognizing and respecting culture & heritage of local communities.
 - Supporting non-mining livelihood options
 - Upgradation of local skill base.
- c) List out the major initiatives by the mine that demonstrates its commitment towards its workforce:
 - Motivating and empowering employees.
 - Employee participation in innovation, enhancing productivity, implementation of policies, etc.
 - Skill development of both employees and contract workers
 - Grievance redressal mechanism
 - Conduct of employee satisfaction surveys
- d) What are the plans/efforts by the mine to ensure socio-economic sustenance of the host community after closure of mining in the area?

9. HEALTH & SAFETY PERFORMANCE (150 Points)

- a) Briefly outline the Health & Safety management system at the mine (policy, organizational structure, mechanism, implementation, etc.).
- b) List the H&S indicators monitored by the mine and provide their details for the last three financial years (2020-21 to till date).
- c) Outline the initiatives by the mine to
 - Identify H&S risks and hazards
 - Improve H&S culture at the mine
 - Impart H&S related training to employees and contract workers
- d) Outline the mechanism at the mine for investigating accidents/unsafe incidents and preventing similar incidents from happening in future.
- e) Briefly mention about the emergency response plan at the mine site.

SECTION-E: MINING INNOVATION PERFORMANCE (1000 points)

Eligibility: Any mine fulfilling following conditions will be eligible to apply:

- which have not won “FIMI's Excellence Award” in last three financial years (i.e. since 2020-21)
- which have not won “FIMI's Mining Innovation Award” in last three financial years (i.e. since 2020-21)
- no fatalities in last three financial years (i.e. since 2021-22)
- should have overall good health conditions of mine workers
- should not have any report of worker suffering from notifiable disease

1. COMPANY'S COMMITMENT TOWARDS INNOVATION (100 points)

- a) Is there a commitment in terms of Policy/Directives/Guidelines from Company's senior management / leadership on adopting innovation in the mining business? If yes, please highlight its key features?
- b) Are roles and responsibility defined in the Policy/Directives/Guidelines for proper implementation at ground level?
- c) Is there a specific approach / architecture for driving the innovation across the business (organization strategy to encourage employees to share new ideas and suggestions and how these ideas are converted into positive improvements/innovations)?

2. TECHNOLOGICAL INNOVATION (200 points)

- a) Outline the various technological innovation adopted by the mine such as automation and digitization, remote operating centers/ tele-operations, use of artificial intelligence, autonomous vehicles and equipments. Please mention if any other technological innovation implemented by mine.
- b) Please provide the details (in figures/data) regarding improvement in operational efficiency in mining operation by implementing above technological innovations.
- c) Describe the positive outcomes observed due to such innovation such as health & safety related incidents, equipment utilization, downtime and equipment failure, operational productivity or any other? Please provide the data wherever possible.

3. ENVIRONMENTAL INNOVATION (200 points)

- a) Outline the innovative steps taken to reduce environment footprint and improve conservation in the following:

- (i) Innovative efforts towards clean energy adoption and reducing GHG emissions (such as generation of solar energy, wind energy, use of electric vehicles/HEMM, energy efficient devices, use of bio-diesel/biogas, advanced environment monitoring system). Please mention if any other initiatives undertaken.
 - (ii) Has the mine/company made innovative efforts towards biodiversity conservation (such as conservation efforts for certain species, controlling forest-fire, preventing human-wildlife conflict & habitat fragmentation, adopting traditional ecological conservation knowledge, environmental awareness)? Please mention if any other initiatives undertaken.
 - (iii) Innovative efforts for reclamation and rehabilitation (R&R) of mined area (such as 3 tier plantation, use of seed balls for seed dispersal, geo-coirs, vetiver grass plantation, landscaping, pisciculture, horticulture or any other livelihood generation activities on such land). Please mention if any other initiatives undertaken.
 - (iv) Innovative efforts towards water conservation and management (such as recycling mine water for drinking or process use, mapping and recharging groundwater, efforts to reduce water evaporation in mine roads or pits etc). Please provide data wherever possible. Please mention if any other initiatives undertaken.
 - (v) Innovative efforts towards air pollution mitigation and prevention (such as utilizing advanced dust monitoring system, dust suppression system or any other). Please mention if any other initiatives undertaken.
 - (vi) Innovative efforts towards waste management and waste utilization. What are the initiative undertaken for tailings management (if applicable) and is any tailings being utilized?
- b) List out the positive outcomes observed due to environmental innovation at the mine in the following:
- (i) Briefly explain improvements observed in biodiversity, energy saving, air quality improvement, soil quality or any other environmental aspects.
 - (ii) Briefly explain that how does the innovation helps in reducing GHG emissions. Provide the details as follows:

Year	Specific Diesel Consumption (kl/tonne)	Specific Electricity Consumption (kw/tonne)
2020-21		
2021-22		
2022-23		

- (iii) Provide factual data regarding ambient air quality monitoring for last 3 years (Mention PM₁₀, PM_{2.5}, SO_x and NO_x parameters)

Year	Area Afforested (ha)	Survival Rate (%)	Species Planted
2020-21			
2021-22			
2022-23			

4. SOCIAL INNOVATION (150 points)

- a) Outline the innovative steps taken to improve socio-economic status of local community in the following areas. What are the positive outcomes for community? Please provide supporting data with relevant photographs for the following items:

- Livelihood support
- Women empowerment
- Promoting education
- Healthcare services
- Generating employment opportunities for locals
- Community engagement
- Conserving cultural and traditional Value
- Sustainable mine tourism
- Any other

Year	Project Name	Project Cost	No. of Beneficiaries

- b) How the mine management has adopted a unique innovative way to support community during crisis? List out the efforts / crisis response provided by the mine/company (monetary/non-monetary) in the last 3 years.
- c) Does the livelihood support to host community help in generating income? If yes, please provide the following details:

Project	Avg. income/person/month

- d) Describe how social innovation has helped the mine/company to change its perception among community/society? Any reward/recognition from regulatory authority?

5. INNOVATIVE EFFORTS IN THE FOLLOWING: (150 points)

a) LOGISTICS

- (i) Outline the various logistics innovation adopted by the mine/company (such as conveyor system, road, railway, slurry pipeline or any other, please mention).
- (ii) Highlight the positive outcomes observed due to logistics innovation such as commercial benefits, operational efficiencies, managing uncertainty or any other. Please provide data wherever possible.

b) PRODUCT INNOVATION

- (i) Outline the innovative steps adopted by the mine to use sub-grade, low grade minerals. Please mention if any other initiatives undertaken.
- (ii) Briefly mention how R&D activities are carried out to recover useful components from mine waste.
- (iii) Expenditure made for R&D over past 3 years with significant outcomes of R&D.

c) SUPPLY CHAIN SUSTAINABILITY

- (i) List out the innovative initiatives by the mine in its procurement model. Please mention if any other initiatives undertaken.
- (ii) Describe how does the mine/organization encourage suppliers / customers /business partners to collaborate in inclusive innovation.
- (iii) Mention the positive outcomes from implementing such innovative steps.

6. COMPETENCIES, TRAINING AND SKILL DEVELOPMENT (100 points)

- a) Highlight the innovative steps being taken to train the workforce (such as training on simulators, audio-visual training, industrial tours, etc.). Also, mention that how innovately is the training imparted for job enrichment, personal productivity enhancement etc.
- b) How the mine is skilling the local workforce and employing them in mining operations after training? Please provide data.

Year	No. of trainee completed training	No. of trainee employed in mining
2020-21		
2021-22		
2022-23		

- c) Please mention if any other initiatives undertaken.

7. INNOVATION CULTURE AND CROSS SECTORAL PARTNERSHIP (100 points)

- a) Outline the initiatives for encouraging innovation culture within the employees. How does it ensure that employee's contribution to innovation are implemented and their ideas are recognized and rewarded?
- b) How is the mine/company engaging with industry expert/academia/think-tanks for feedback and further improvement in mining processes/operations?
- c) Does the mine look at related industries innovation and implement the same in their process? If yes, please mention:
- How it is implemented?
 - How it is helping to improve the performance?
- d) Does the company/mine engage or work with startups/innovative companies to bring innovation in mining operations. Please give details

SECTION-F: ENVIRONMENTAL PERFORMANCE (1000 Points)

Eligibility: Any mine fulfilling following conditions will be eligible to apply:

- which have not won “FIMI's Excellence Award” in last three financial years (i.e. since 2020-21)
- which have not won “FIMI's Environment Award” in last three financial years (i.e. since 2020-21)
- no fatalities in last three financial years (i.e. since 2021-22)
- should have overall good health conditions of mine workers
- should not have any report of worker suffering from notifiable disease

1. ENVIRONMENT MANAGEMENT SYSTEM (100 points)

- a) Briefly outline the Environmental Management System (Policy, organizational structure for environmental management, mechanism and implementation of the system)
- b) Provide approximate budgeted and actual expenditure on environmental management over the last 3 years.
- c) Is the company/mine is measuring their ESG performance, if yes, provide details.

2. TOP SOIL MANAGEMENT (100 points)

- a) Mention how the top soil is collected, stored and utilized at the mine. Outline the efforts made to conserve the top soil.
- b) Provide the details as follows:

Year	Quantity Generated (in metric tonnes)	Quantity Stored (in metric tonnes)	Quantity Utilized (in metric tonnes)
2020-21			
2021-22			
2022-23			

3. AIR QUALITY MANAGEMENT (100 points)

- a) Briefly mention how air quality is managed at the mine and the systems in place? Outline the steps/measures to prevent and mitigate air pollution w.r.t. the following:
 - Drilling and Blasting
 - Haulage within mine
 - Transportation of ore beyond lease
 - Beneficiation Process

- Storage of minerals / waste material
 - Any innovative methods (Highlight with relevant photographs)
- b) Briefly mention how air quality is monitored at the mine? Provide details of Environmental monitoring station if established. Provide factual data regarding Ambient Air Quality monitoring for the last 3 years (Mention the details of PM₁₀, PM_{2.5}, SO_x and NO_x parameters)

4. WATER MANAGEMENT (100 points)

- a) Provide factual data regarding water consumption at the mine for the last 3 years.

Year	Total Consumption (cu.m.)	Specific consumption (cu.m. per tonne of ore)	Quantity recycled (cu.m.)	Source of Water
2020-21				
2021-22				
2022-23				

- b) Have the mine operations intersected or likely to intersect ground water table? If yes, please provide management system for the same.
- c) How mine drainage system is managed to control the runoff and the methods adopted for controlling water pollution in the mine. (Provide details of construction of garland drains, gully plug, check/silt dam, settling ponds and mode of final discharge, details of treatment facility provided, dimensions wherever applicable)
- d) Briefly mention how water quality is monitored at the mine and the frequency of surveys? (Provide latest report of inlet and outlet parameters)
- e) Outline if any efforts are made for rain water harvesting, if yes, substantiate with the details and results achieved by the rainwater harvesting structures.

5. NOISE AND VIBRATION CONTROL (100 points)

- a) NOISE: Mention the source of Noise generation, frequency of Noise Surveys, availability of monitoring equipment; and steps taken to control noise.
- b) VIBRATION: Mention the source of Vibration generation, frequency of Vibration Surveys, availability of monitoring equipment; and steps taken to minimize the adverse impacts of ground vibration and air blast.

6. WASTE MANAGEMENT INCLUDING HAZARDOUS WASTE (100 points)

- a) Outline the system of waste/OB dumping at the mine. Provide the detailed dump configuration (include no. of terraces, bench slope, area covered, etc).
- b) Details of stabilization of waste/OB dumps to be given in the following format:

Total Area occupied by Dump(s) (Hectares)	Area Stabilized (Hectares)	Percentage

- c) Highlight the steps taken for stabilization of static dumps (Provide details of techniques used such as Geo-coir mat, Vetiver, Miyawaki, etc). Did the mine management has carried out slope stability study? If yes provide details.
- d) Highlight the steps taken to avoid slope failure, rolling of boulders and runoff washing from edge of dumps in active dumps (inlay structure have been maintained or not)
- e) List the hazardous wastes at the mine and briefly mention how these are managed and disposed off.

7. MANAGEMENT OF SUBGRADE MINERALS (100 points)

- a) STACKING: Outline how subgrade mineral is stacked in the mine.
- b) Indicate the percentage of subgrade mineral in the mine, quantities of subgrade mineral generated and stored.
- c) UTILIZATION: List the efforts made, including R&D, for utilization of subgrade minerals.

8. RECLAMATION AND REHABILITATION OF MINED AREAS (100 points)

- a) Outline the reclamation and rehabilitation procedure adopted - The method of final mine closure, its planning, implementation, area already reclaimed, effectiveness of reclamation etc,
- b) What indicators have been selected to measure the success of rehabilitation and reclamation effort?

9. AFFORESTATION (100 points)

- a) Furnish the details regarding afforestation within ML area for the last 3 years.

Year	Area Afforested (Hectares)	Total saplings planted	Survival Rate (%)	Major species planted
2020- 21				
2021-22				
2022-23				

- b) Outline the post-plantation care, future afforestation plans within lease and in surrounding neighborhood including nearby villages, measures for protecting and conservation of biodiversity and wildlife.
- c) Mention the use of inoculation techniques to introduce microbe community to improve soil quality either to disintegrate rocks or improve soil fertility or to remove toxic elements or any/all of them, use of invertebrate community to improve soil quality; attract pollinators; 3-tier plantation etc., Efforts for ecological restoration and maintaining biodiversity may be explained.
- d) Mention briefly the steps taken to upgrade general aesthetic beauty in the lease area and surrounding area.

10. CLIMATE CHANGE MITIGATION, ADOPTION OF ENVIRONMENT FRIENDLY TECHNOLOGIES AND AWARENESS GENERATION (100 points)

- a) Has mine management taken any initiatives towards mitigating climate change such as reduction in GHG emissions, promoting the use of renewable energy sources, energy efficiency measures, etc.? If so, please mention briefly.
- b) Does the mine have an action plan to reduce GHG emissions for the current year? What are the proposed action plan to achieve this goal? Please provide details of the emissions and targets/initiatives implemented.
- c) Highlight the major technologies adopted in last 2 years to prevent and/or control pollution, reduce power and water consumption, utilize wastes and by-products etc.
- d) Outline the activities undertaken by the mine management for spreading environmental awareness among the employees as well as surrounding communities.
- e) Highlight the initiatives undertaken to phase-out Single Use Plastic (SUP) in and around the mine premises.

SECTION-G : SOCIAL PERFORMANCE (1000 Points)

Eligibility: Any mine fulfilling following conditions will be eligible to apply:

- which have not won “FIMI's Excellence Award” in last three financial years (i.e. since 2020-21)
- which have not won “FIMI's Social Responsibility Award” in last three financial years (i.e. since 2020-21)
- no fatalities in last three financial years (i.e. since 2021-22)
- should have overall good health conditions of mine workers
- should not have any report of worker suffering from notifiable disease

1. CORPORATE SOCIAL RESPONSIBILITY POLICY (100 points)

- Does the company have a formal corporate social responsibility policy duly.(Y/N)
(If yes, attach a brief note highlighting how the key areas of work are identified, how this policy is being implemented and involvement of the beneficiaries)
- Furnish the following data:

Year	Budget allocated on CSR activities(Rs. Lakh)	Utilization (Rs. Lakh)	% of utilization
2020-21			
2021-22			
2022-23			

2. CSR PLANNING PROCESS (100 points)

- Mention about the CSR planning tools (such as village level micro planning, community meeting, stakeholder survey, stakeholder workshop, inputs from government, etc). Please highlight the community engagement process for planning and implementation of CSR.
- Has the mine management achieved the set targets for CSR activities during last three years? Is there an internal review mechanism in place to monitor achievement against proposed goals?

3. SERVICES PROVIDED TO SURROUNDING TOWNS / VILLAGES (100 points)

(Note: Activities/services provided for employees should be excluded)

	Services (provide during last year)	Work done in (Rs. Lakh)
(a)	Town planning and infrastructural development, roads, etc.	
(b)	Provision of clean drinking water	
(c)	Housing	
(d)	Transport facilities	
(e)	Public health amenities and family planning	
(f)	Disease control services	
(g)	Education	
(h)	Generation of employment e.g. formation of cooperatives (number of self-employment generated to be indicated separately)	
(i)	Training and assistance for animal husbandry, sericulture, pisciculture, improved methods of agriculture, traditional crafts for self-employment, employable skills (artisan training)	
(j)	Cooperatives and fair price shops	
(k)	Greening of areas outside of leasehold, parks and gardens (survival rate of plantation to be indicated)	
(l)	Use of non-conventional energy sources	
(m)	Any other, please mention	

4. EXPLAIN MEASURES TAKEN FOR THE FOLLOWING CSR ACTIVITIES (200 points)

- Strengthening Watershed Management
- Partnership with the agricultural sector
- Assess and upgrade the local skills base
- Sustainable livelihood opportunities
- Infrastructure development in and around mine areas
- Support programs to reduce childhood malnutrition and hunger
- Drinking water facilities and Public sanitation
- Educational development
- Health care facilities
- Specific initiative for women empowerment
- Support for conserving cultural and religious heritage
- Support for sports promotion among youth of nearby villages
- Mention any other CSR activity, if you wish to furnish

5. Provide socio-economic status of surrounding communities? (100 points)

Provide details before and after CSR intervention (Periodical survey / Third party study carried out for pre CSR intervention and post CSR intervention to understand its

effectiveness) – Especially on issues related to male and female ratio, literacy/illiteracy rate, employment ratio (gender wise), health status, etc.

6. What measures are taken for the improvement of socio-economic status of underprivileged communities? (100 points)

7. EMPOWERING EMPLOYEES (100 points)

- a) List the initiatives by the mine management towards building/enhancing skills of employees at various levels (including contract workers).
- b) Outline the initiatives to ensure employee's participation in innovation as well as implementation of policies, management of the mine.

8. RESETTLEMENT AND REHABILITATION ENDEAVOURS (100 points)

List all the statutory obligations and specific initiatives by the mine towards resettlement and rehabilitation of displaced population, if any. (Elaborate on statutory commitments with timeline for implementation, its target and achievements, initiations that are more than statutory obligation, etc.,)

9. CRISIS RESPONSE AND MANAGEMENT (100 points)

Mention about how company is committed for its social responsibilities in crisis situations in the region of its operation, state and country especially like earthquake, flood, drought, fire, other natural calamities.

Focus on last three years' responses of the company in terms of monetary/non-monetary forms for crisis. (Please note that Emergency Preparedness Plan of mine need not to be mentioned here and it is related to managing the impact of crisis situations at/in mine level).

SECTION-H : HEALTH & SAFETY PERFORMANCE (1000 Points)

Eligibility: Any mine fulfilling following conditions will be eligible to apply:

- which have not won “FIMI's Excellence Award” in last three financial years (i.e. since 2020-21)
- which have not won “FIMI's Health & Safety Award” in last three financial years (i.e. since 2020-21)
- no fatalities in last three financial years (i.e. since 2021-22)
- should have overall good health conditions of mine workers
- should not have any report of worker suffering from notifiable disease

1. H&S MANAGEMENT SYSTEM AND POLICY (100 points)

a) Does your mine have a formal Occupational Health and Safety policy?

(If yes, attach a brief note highlighting the following:

- key objectives and targets of this policy
- organizational structure for H&S, and
- how it is implemented at the mine.

2. H&S PERFORMANCE (100 points)

a) List the H&S performance indicators (such as TIFR, LTIFR, SI, NMI, etc) used by your mine and briefly describe the rationale for selecting these indicators.

b) Innovative implementations related to H&S.

c) Briefly outline the efforts taken by the mine management for continuing mining operation amidst COVID-19 pandemic. How has COVID-19 affected the mining operations? How it is managed? Describe in brief about the COVID-19 relief measures undertaken for the villagers.

3. SAFETY MANAGEMENT SYSTEM (100 points)

a) Outline the Safety Management System (SMS) as recommended by DGMS in respect of –

- Implementation of SMS (DGMS Tech Circular No.13 of 2002)
- Safety Audit to reduce accidents (DGMS Tech Circular No. 8 of 2009) and
- Review of SMS (DGMS Tech Circular No. 02 of 2011)

b) Provide details about Pit Safety Committee and its meetings, Workmen Inspector, 3rd party audit and review of SMS, Emergency Preparedness Plan, etc.

4. H&S STATISTICS AND RESULTS (100 points)

a) Furnish the following:

Employee Health

Year	Total No. of man days worked	Total sickness absence days		Major causes of sickness absence	Corrective/preventive actions taken
		Days	%age of man days absence		
2021-22					
2022-23					
2023-24 Till date					

Employee Safety

Year	No. of Fatalities	Total Injury Frequency Rate (TIFR)	Lost Time Injury Frequency Rate (LTIFR)	Severity Index (SI)	Near Miss Incidents (NMI)
2021-22					
2022-23					
2023-24 Till date					

b) For the last 3 financial years, mention the number and nature of cases of -

- Notifiable diseases as per third schedule of Occupational Safety, Health and Working Conditions Code, 2020
- Occupational diseases (other than notifiable diseases)

5. H&S CULTURE (100 points)

- a) Outline the initiatives by the mine management towards creating a safer and healthier working environment. Also mention any specific measures adopted in the last 3 years to address the H&S risks and hazards. Mention about all statutory provisions implementations, additional implementations and innovations adopted.
- b) Is there any mechanism/programs to encourage employees at the mine site for improved H&S culture and alter employee behavior to work safely? (If so, please provide a brief). This may include competition among employees regarding health & safety knowledge and reward system to employees, contract-workers, etc. (Mention how workplace health is promoted and provide details about counseling programs.

6. H&S FACILITIES (100 points)

- a) Outline the medical related facilities such as training center, first aid center, ambulance facility, etc. provided by the mine management.

- b) Mention details about safety related facilities such as vocational training center, full time instructor, use of training simulators, etc. provided by the mine management.

7. H&S RECORDS (100 points)

- a) Provide details in respect of schedules of initial / periodical medical exams of employees including contractors, maintenance of their medical record, periodical health surveillance, return submitted to statutory authorities all training records imparted.
- b) Please provide the details regarding number of patients visited in hospital during last three years.

8. H&S TRAINING (100 points)

- a) Describe the training as per vocational training rules, 1966 such as initial basic training, job oriented special training and periodical refresher training.

Number of trainings provided

Year	Basic Training		Refresher Training		Specific job training		Total number of persons trained
	Employees	Contract Workers	Employees	Contract Workers	Employees	Contract Workers	
2020-21							
2021-22							
2022-23							

- b) Does the mine follows National Skills Qualification Framework (NSQF) for providing skill training and development of employees? If yes, share the details -type of trainings, job roles, no., of trainings provided. Does the mine conducts certification and trainings through Skill Council for Mining Sector (SCMS)?
- c) Mention trainings imparted regarding job enrichment, soft skill development, behavioral change, personal productivity enhancement, healthy practices, etc., for the employees
- d) Describe the H&S related training program (type of training, duration, frequency, etc.) for:
- Employees
 - New inductees
 - Contract-workers and service providers
 - Transporters, etc.

9. HAZARD IDENTIFICATION & RISK ASSESSMENT (100 points)

- a) Briefly mention how the mine identifies health hazards and safety risks both within the mine and outside lease area and also activity wise. The ranking of risks on its severity, likeliness to occurrences, its impact on the particular scale.

- b) Briefly mention about mitigating measure of risks, its implementation, analysis of effectiveness of implementation, periodical review and modification if required.

10. ACCIDENTS / NEAR MISS ANALYSIS & MANAGEMENT (100 points)

Outline the methods used for investigating accidents/ incidents, root-cause analysis and incorporating the learnings to avoid future occurrences. Briefly describe the above process followed for a past accident in the mine.

NOTES



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