



**FIMI'S EXCELLENCE, SUSTAINABILITY,
ENVIRONMENT, HEALTH & SAFETY
AND SOCIAL AWARENESS
AWARDS**

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FIMI AWARD SCHEME 2018– 19

**FIMI's EXCELLENCE, SUSTAINABILITY,
ENVIRONMENT, SOCIAL AWARENESS
AND HEALTH & SAFETY AWARDS**

CATEGORY OF AWARDS

I. [FIMI EXCELLENCE AWARD – 1 Award](#)

i. **Bala Gulshan Tandon Excellence Award**

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 mines fulfilling following conditions will be eligible to apply:

- which have not won “FIMI’s Excellence Award” in last three years (i.e. since 2015-16)
- no fatalities in last three years (i.e. since 2016-17)
- should have overall good health conditions of mine workers
- should not have any report of worker suffering from notified disease

II. [FIMI SUSTAINABILITY AWARD – 1 Award](#)

i. **Tata Steel Mining Sustainability Award**

The award was instituted in 2017-18 to recognize excellence in biodiversity conservation and sustainability performance of mines. 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 mines fulfilling following conditions will be eligible to apply:

- which have not won “FIMI’s Excellence Award” in last three years (i.e. since 2015-16)
- which have not won “FIMI’s Sustainability Award” in the last year (i.e. 2017-18)
- no fatalities in last three years (i.e. since 2016-17)
- should have overall good health conditions of mine workers
- should not have any report of worker suffering from notified disease

III. [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 mines which have made significant and exemplary efforts towards environmental conservation and management in mines.

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

- which have not won “FIMI’s Excellence Award” in last three years (i.e. since 2015-16)
- which have not won any of the “FIMI’s Environment Award” in last three years (i.e. since 2015-16)
- no fatalities in last three years (i.e. since 2016-17)
- should have overall good health conditions of mine workers
- should not have any report of worker suffering from notified disease

IV. [FIMI SOCIAL AWARENESS AWARDS – 2 Awards](#)

i. Sita Ram Rungta Social Awareness Award

ii. NMDC Social Awareness Award

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 Awareness Awards to encourage the leaders to forge ahead and pull up the followers to do better. These two awards are designed to recognize the mines adjudged to have best contributed to the general upliftment and well-being of their various stakeholders while addressing broader sustainability concern.

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

- which have not won “FIMI’s Excellence Award” in last three years (i.e. since 2015-16)
- which have not won “FIMI’s Social Awareness Award” in last three years (i.e. since 2015-16)
- no fatalities in last three years (i.e. since 2016-17)

V. [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 mines 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 mines fulfilling following conditions will be eligible to apply:

- which have not won “FIMI’s Excellence Award” in last three years (i.e. since 2015-16)
- which have not won “FIMI’s Health & Safety Award” in last three years (i.e. since 2015-16)
- with no fatalities in last three years (i.e. since 2016-17)
- should have overall good health conditions of mine workers
- should not have any report of worker suffering from notified disease

General Conditions for all the Awards

- **Any mine with major compliance issues and/or having had fatal accidents within the last three years (i.e. since 2016-17) is not eligible for any of the Awards.**
 - **Exploration projects and Mines under development will not be considered for these awards.**
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SUMMARY

Category	Award
I. Excellence Award	Bala Gulshan Tandon Excellence Award
II. Sustainability Award	Tata Steel Mining Sustainability Award
III. Environment Awards	Subh Karan Sarawagi Environment Award
	Abheraj Baldota Environment Award
	Misrilal Jain Environment Award
	Gem Granites Environment award
IV. Social Awareness Awards	Sita Ram Rungta Social Awareness Award
	NMDC Social Awareness Award
V. Health & Safety Awards	Rio Tinto Health & Safety Award
	Hindustan Zinc Health & Safety award

Last date for submission of Award Applications is 31-March-2019 (Please note, this date will not be extended)

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 mines are not considered for any award. Similarly, if any fatal accident has taken place in a mine within the assessment period (last 3 years i.e. 2016-17, 2017-18 & 2018-19) it will be considered 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 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; Sustainability; Environment; Social Awareness and Health & Safety Awards of applicant mines 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 mines.

The shortlisted mines for all the categories of awards other than Excellence Award and Sustainability Award category will be required to make presentation before the Jury committee for selecting the final awardees. In case of Excellence Award and Sustainability Award, site assessment will be carried out for shortlisted mines, while in other categories of awards 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 5 sections:

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

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

Award	Sections to be filled
Excellence Award	Section A,B,D, E and F
Sustainability Award	Section A and C
Environment Award	Section A and D
Social Awareness Award	Section A and E
Health and Safety Award	Section A and F

3. Application form is attached at the end of this booklet; it can also be downloaded from our website: www.fedmin.com (under '[FIMI's 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 / permission / violation / show-cause notices must be submitted wherever required.
7. The shortlisted mines for all the categories of awards other than Excellence Award and Sustainability Award category will be required to make presentation before the Jury committee for selecting the final awardees. In case of Excellence Award and Sustainability Award, site assessment will be carried out for shortlisted mines, 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 31st March, 2019, along with payment, as mentioned below, towards 'Application fee for FIMI Awards'.

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

10. The mines shortlisted by the Jury for on-site assessment shall have to bear actual travel, boarding, lodging and incidental expenses of the assessors.
11. The payment shall preferably be made by RTGS/NEFT (details below):
- Bank Name : State Bank of India
Bank Account Name : Federation of Indian Mineral Industries
Bank Account No. : 30049272942
Bank Type : C/A Account
RTGS/NEFT : SBIN 000 4298
Bank Address : Commercial Branch, Nehru Place,
New Delhi- 110 019

Or

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

*Federation of Industrial Mineral Industries
FIMI House,
B-311, Okhla Industrial Area, Phase – I
New Delhi – 110 020
Tel.: (011) – 26814595/97*

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

12. In case a mine intends to apply for more than one award, in addition to the General Sections 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, 2018-19

1. Last date of submission of Award Application -- 31st March, 2019*
2. Award Assessment Process – April to May, 2019
3. Communication to Applicant mines -- June, 2019
4. Award Ceremony at the time of FIMI AGM -- July/August, 2019

*Note: Deadline will not be extended further in any circumstances.

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 you think that a particular question/point is not applicable to your 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 : Economic, Biodiversity & Sustainability, Environment, Social, Health & Safety Performance

- a. The five sections B, C, D, E & F : 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. 2015 - 16, 2016 - 17 & 2017 - 18). Applicants are free to provide information beyond past 3 years if considered relevant and important.
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FIMI AWARDS 2018 -19

APPLICATION FORMAT

SECTION-A: GENERAL INFORMATION AND STATUTORY COMPLAINTS

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
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)	Production (Tonnes)	Remarks
2015-16			
2016-17			
2017-18			

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 notified diseases (Please provide the details thereof)
2016-17	Yes/ No		
2017-18	Yes/No		
2018-19 till date	Yes/No		

15. Star-Rating awarded in the last reporting year, 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 (ISO 18001) : Yes / No
 d) Social Accountability International (SA 8000) : Yes / No
 e) Energy Audit undertaken by the mine : Yes / No
 f) Member of Sustainable Mining Initiative : Yes / No
 g) 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 a) Mining lease valid upto b) Validity period of latest Mining Plan / Scheme of Mining approved by IBM	Date Date
3	Mines Act 1952, Mines Rules 1955, MMR 1961 and MVTR 1966 a) Obtained Permission for deep hole blasting & Use of HEMM under regulation 106(2)? b) Obtained Common Boundary Working Permission?	Yes / No/ NA Yes / No/ NA
4	Forest Clearance under Forest (Conservation) Act, 1980	Obtained / Under process/ NA
5	Environment (Protection) Act, 1986 a) Environment Clearance under EIA Notification	Obtained /

	1994/2006 b) Permission under CRZ Notification, 1991	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	Water Cess Act, 1977 a) Mention the source(s) of water to the mine. b) Obtained permission to draw water from source under Water Cess Act, 1977?	----- Yes / No
11	Obtained permission and licenses under Explosive Act, 1951 for Magazine, Explosive transport vehicles and manufacture of site mix explosives?	Yes / No / NA
12	Implementation of Rehabilitation and Resettlement policy of the State Government, if applicable.	Yes / No / NA
13	Has the mine or company been issued any Show-Cause / Violation Notices? (If Yes, provide details along with compliance actions taken)	Yes / No
14	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 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)

SECTION-B: ECONOMIC PERFORMANCE (1000 Points)

1. BUSINESS DEVELOPMENT AND PRODUCTIVITY (200 points)

a) Furnish the following data regarding mine production:

Year	Mine capacity (Tonnes per year)	Production (Tonnes)	Turnover (Rs.)
2015-16			
2016-17			
2017-18			

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

2. SYSTEMATIC EXPLORATION (100 points)

Outline the geology, exploration carried, exploration planned, 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/satellite/ERP (Enterprise Resource Planning) being used at centralized office (For example Drones, etc.,)

4. MACHINERY UTILISATION AND MAINTENANCE (100 points)

Outline the uniqueness of the mine adopted in deploying special machineries for special purpose, optimal use of machinery (substantiated findings with statistics like machine wise annual availability, its productivity and energy efficiency for the past 3 years), machinery maintenance etc., and Highlight benchmarks especially availability, utilization, energy efficiency and productivity in comparison with industry peer specifications.

5. RESEARCH & DEVELOPMENT AND ASSOCIATED ACTIVITIES (100 points)

Outline the R&D facilities in respect of

- Use of sub-grade minerals and waste materials generated in the mine

- Productivity improvement (minimize the cost in-terms of change in machinery, change in capacity of machinery, machine-tipper combination etc, R&D on trial basis can also be mentioned)
- Reducing the environmental footprint of the mine (Substantiate with relevant photographs, wherever required)
- Any commercial utilization of associated minerals in the mine.
- 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 (variations in threshold limits, variations in gangue minerals contents, variation in demand & supply, variation in freight rates and mode of transport), other business related risks, sustainability and its future planning.

7. EFFORTS TOWARDS ZERO WASTE MANGEMENT (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 years by way of increase in fuel efficiency (by reducing fuel consumption per tonne of production and also compare the fuel consumption of each and every 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.

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 systems at the mine.

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

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)	Percentage
2016-17			
2017-18			
2018-19 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 publishing 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 SA8000 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 mines 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, if carried out.

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 years (2015-16 to 2017-18 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-D: ENVIRONMENTAL PERFORMANCE (1000 Points)

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.

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)
2015-16			
2016-17			
2017-18			

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/Transportation of ore
 - 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, PM2.5, SOx and NOx 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
2015-16				
2016-17				
2017-18				

- 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 (100 points)

- a) Outline the system of waste/OB dumping at the mine.
- b) Provide the detailed dump configuration (include no. of terraces, bench slope, area covered, etc).
- c) Highlight the steps taken for stabilization of static dumps (Provide details of techniques used such as Geo-coir mat, Vetiver, Miyawaki, etc)
- 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) 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

- f) Briefly mention how the mine management manages and disposes its hazardous wastes.

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, its implementation, area already reclaimed with different methods, effectiveness of reclamation etc,
- b) In case of reclamation & rehabilitation by afforestation also mention no of trees planted, type of maintenance and manure, survival rate with particular reference to species planted, and special mention of local species that existed prior to mining.
- c) 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
2015-16				
2016-17				
2017-18				

- 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 wild life.
- 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. ADOPTION OF ENVIRONMENT FRIENDLY TECHNOLOGIES AND AWARENESS GENERATION (100 points)

- a) 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.
- b) 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.
- c) Outline the activities undertaken by the mine management for spreading environmental awareness among the employees as well as surrounding communities.

SECTION-E: SOCIAL PERFORMANCE (1000 Points)

1. CORPORATE SOCIAL RESPONSIBILITY POLICY (100 points)

- a) Does the company have a formal corporate social responsibility policy (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)
- b) Furnish the following data:

Year	Actual expenditure on CSR activities (Rs.)
2015-16	
2016-17	
2017-18	

- 2. Mention about the CSR intervention areas and planning tools (such as village level micro planning, community meeting, stakeholder survey, stakeholder workshop, inputs from government, etc) (100 points)**

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

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

	Services	Work done in (monetary terms)
(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)

- a) Strengthening Watershed Management
- b) Partnership with the agricultural sector
- c) Assess and upgrade the local skills base
- d) Sustainable livelihood opportunities
- e) Infrastructure development in and around mine areas
- f) Support programs to reduce childhood malnutrition and hunger
- g) Drinking water facilities and Public sanitation
- h) Educational development
- i) Health care facilities
- j) Add anything you wish to furnish

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

Provide details before and after CSR intervention (Periodical survey 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 and status of underprivileged people (economic/social/other areas)

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, initiatives that are more than statutory obligation, etc.,)

9. CRISIS RESPONSE AND MANAGEMENT (100 points)

Mention about how company is sharing 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-F: HEALTH & SAFETY PERFORMANCE (1000 Points)

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

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		
2016-17					
2017-18					
2018-19 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)
2016-17					
2017-18					
2018-19 till date					

- b) For the last 3 years, mention the number and nature of cases of
- Notified diseases u/s 25 of Mines Act
 - Occupational diseases (other than notified 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)

Provide details in respect of schedules of initial / periodical medical exams of employees including contractors, maintenance of their medical record, periodical health surveillance, training record, refresher training record, return submitted to statutory authorities, records of other training imparted.

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
- b) Provide details regarding training provided related to job enrichment/enlargement of employees
- c) Mention trainings imparted regarding 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.
