

Guidelines for uploading documents and awarding Rating points during self-evaluation by mine owner for Star Rating of mines

1. Appropriate document for each evaluation parameter shall be uploaded by incorporating relevant portion of the applicable Statutory provisions/Permission Copy/Project Report/Scientific Report/Approved document issued by Ministry/Action Plan approved by the company/Any concomitant document combined with the certificate issued by appropriate authority specifying Actual value /achieved value w.r.t. the respective evaluation parameter.
2. Appropriate authority for issuing the certificate against respective evaluation parameter is mentioned in designated Column of check list.
3. Non submission of the appropriate document will attract ZERO marks for the respective evaluation parameter.
4. Falsification of any uploaded data, if found, will attract ZERO Star Rating to the mine, for which decision of CCO will be final.
5. Mine users shall select appropriate point from drop down menu provided in the portal against each parameter, after uploading required and appropriate documents.
6. Criteria for awarding points is given in evaluation template (OC mines/UG mines) which is available at Star Rating Portal.
7. For better understanding and convenience of users, evaluation template is better clarified (expanded) and check list for uploading appropriate documents and reference documents for particular evaluation parameter ,is given in subsequent pages .

| CHECK LIST FOR UPLOADING DOCUMENTS-UG MINES | | | |
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| Sr No. | Evaluation Parameter | reference documents required | Documents to be uploaded to support self evaluation |
| MODULE 1 - MINE GEOMETRY | | | |
| 1 | Pillar Size | Copy of permission or Relevant statutory provision in CMR-2017 | Underground plan showing development done during the year and combined certification by Agent, Manager and surveyor. |
| 2 | Height of galleries | Copy of permission or copy of application notice | Certification by Agent, Colliery Manager & Surveyor. |
| 3 | Width of galleries | Copy of permission or Relevant statutory provision in Reg... of CMR-2017 | Certification by Agent, Manager & Surveyor |
| 4 | Panelization of UG workings | Document supporting/proving incubation period | Certification by Agent, Manager & Surveyor |
| 5 | In case of depillaring with Caving - Area of uncaved roof | Copy of DGMS permission highlighting the relevant clause | Plan of depillaring section (worked during the year) in scale 1:500, showing line of breaks with date of local & main fall.+ inspection by team |
| 6 | In case of depillaring with stowing -Status of stowing | Copy of DGMS permission highlighting the relevant clause | Certification by Colliery Manager & Agent for maintaining voids within permissible limits. |
| MODULE 2 – MINE ENVIRONMENT RELATED PARAMETERS | | | |
| 7 | Dust suppression measures as per PR/EMP | (7A) Underground plan showing spraying & dusting zones | (7A) Underground plan showing water spraying arrangement |
| | | (7B) Underground plan showing spraying & dusting zones alongwith requirement of stone dust as per coal production | (7B) Store issue vouchers during the period |
| 8 | Mine water utilization | (I) Proof of make of water (ii) Mine water pumping layout with quantity (line diagram) | Certificate of Mine water utilisation signed by Agent, Manager, Mine Engineer and surveyor (with quantity) for different purposes & discharge in natural sources |
| 9 | Whether Energy audit was undertaken within 5 years | | Copy of Recommendation of Energy Audit + (coverpage) |
| 10 | Implementation of recommendations of Energy Audit | Copy of Recommended | Work completion certificates store vouchers etc. |

| MODULE 3 - ADOPTION OF TECHNOLOGY: Best mining practices | | | |
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| 11 | Use of State of art technology in communication e.g. telephone | 1. Tele monitoring of gases 2. Multi gas detectors 3. Underground Telephones 4. LED Cap Lamps | Asset register or Store receipt voucher or Combined Certification by Area Enginner,Area Safety Officer, Agent and Manager |
| 12 | Use of mining technologies | 1. Continous Miner 2. UDM 3. Resin Bolting with Mechanised Roof Bolter 4. Manriding | Asset register or Store receipt voucher or Combined Certification by Area Enginner,Area Safety Officer, Agent and Manager |
| MODULE 4 - ECONOMIC PERFORMANCE RELATED PARAMETERS | | | |
| 13 | Achievement of coal production target in reporting year | Corporate Doc for AOP or Revenue Budget (approved) | Audited Cost sheet or Annual return submitted to CCO/DGMS |
| 14 | Achievement of coal despatch target in reporting year | Corporate Doc for AOP or Revenue Budget (approved) | Audited Cost sheet or annual return submitted to CCO/DGMS |
| 15 | Capacity utilization | Copy of CMPDIL's assigned capacity/ Mining Plan copy/ Project Report copy depicting capacity of the mine | Audited Cost sheet or Annual return depicting production of the year |
| 16 | Impact of grade slippage (Realization Percentage) | Annual grade declared by CCO/ Nominated owner (as applicable) | Audited Cost sheet depicting the parameters or certificate of sales realization in different grades during the year by GM(QC)/GM(SM) |
| 17 | Growth in OMS | Audited cost sheet of previous year (highlighting parameters) | Audited cost sheet of the review period or any other valid document |
| 18 | Utilization of budget for capital expenditure | Approved capital budget of mine with copy of approval of competent authority | Audited Cost sheet or Copy of bills paid during the year against the capital activities approved. |
| MODULE 5 - REHABILITATION & RESETTLEMENT RELATED PARAMETERS | | | |
| 19 | Survey for identification of Project affected families, families to be displaced, compensation to be paid for houses and other properties, persons losing livelihood etc. | Relevant abstack of approved project report/MiningPlan showing provisions w.r.t. land acquisition, Rehabilitation and Resettlement. | Copy of BLSES/SIA conducted through NGO/certified agency. |

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| 20 | Status of Rehabilitation Site | Approved RAP- Rehabilitation Action Plan/ Scheme | Work completion certificate for public amenities. Handing over certificate to State Revenue Authority depicting all amenities (List of public amenities to be provided as per R & R Policy adopted OR Schedule III of RFCTLARR Act vis-a-vis created by mine operator) |
| 21 | Whether alternate arrangements for sustainable livelihood have been made for persons who lost their livelihood due to project . | list of total affected PAFs/PAPs eligible for employment (direct/indirect/skill development), as per approved Rehabilitation Action Plan. | List of persons whom direct employments provided, duly signed by HR dept. |
| | | list of total affected PAFs/PAPs eligible for employment (direct/indirect/skill development), as per approved Rehabilitation Action Plan. | List of persons whom indirect (through contractor, etc) employment provided, duly signed by HR dept. |
| | | list of total affected PAFs/PAPs eligible for employment (direct/indirect/skill development), as per approved Rehabilitation Action Plan. | List of persons whom Skill development Training, Vocational trainings imparted, duly signed by HR dept and Area Training Officer. |
| MODULE 6 - EMPLOYEE/WORKER RELATED COMPLIANCE PARAMETERS | | | |
| 22 | Expenditure on Welfare Activities | Copy of welfare budget for the year. | Work completion certificate or bill payment voucher for list of works. |
| 23 | PME conducted as per the requirement of once in 5 years (once in 3 years for 50+ age) | Target - Total of i) No of eligible employees of age <50 yrs and ii) No. of eligible employees of age >50yrs | List of employees undergone PME, duly signed by Medical officer, Agent , Area Safety officer, Mine Manger, Mine Safety Officer and Mine Welfare Officer. |
| 24 | Sanitation provisions as per Mines Rules 1955 | Provision to be made i) pit head bath ii) Toilet (ladies/gents) iii) Rest shelter iv) drinking water v) canteen, etc | Photographs alongwith certification by Agent, Manager,Safety Officer & Labour Welfare Officer. |
| 25 | Whether 20% of workers were given vocational training in reporting year as per requirement of Mines Vocational Training Rules 1966 | List of 20% of total employees who are entitled for refresher training. | List of employees imparted training duly signed by Area Training officer, Area safety Officer,Agent, Mine Manager and Mine safety Officer. |

| MODULE 7 - SAFETY and SECURITY RELATED PARAMETERS | | | |
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| 26 | Imposition of Sec-22 in the mine | | if yes - copy of notice / order if No - Declaration by colliery Manager & Agent, duly countersigned by GM (Safety) of Company. |
| 27 | Safety audit of mine | | Copy of safety audit with its recommendation (conducted during the year) |
| 28 | Standard of Illumination | Copy of applicable Statutory provisions OR specific direction from DGMS (if any) | Certification by Colliery Manager & Agent |
| 29 | Standard of Ventilation | Copy of applicable Statutory provisions OR specific direction from DGMS (if any) | Certification by Agent, Colliery Manager & Ventilation Officer. |
| 30 | Support | Copy of SSR | Certification by Agent, Colliery Manager, Safety Officer/strata Control Officer & Surveyor. |
| 31 | Provision of man-riding system | Permission condition/CMR-2017 provisions | Purchase Order or Store Issue Voucher and photographs |
| 32 | Light weight LED lamps | Number of total U/G manpower | Asset register / Store voucher for LED cap lamps |
| 33 | Pit safety committee meetings | Number of meetings required to be conducted as per statute | Annual Return/ Certification by GM (Safety) of Company |
| 34 | No of disasters in recording year (Note: figures of the previous financial year to be considered and not the calendar year) | | Declaration by GM (Safety) of the Company |
| 35 | No of fatal accidents in recording year (Note: figures of the previous financial year to be considered and not the calendar year) | | Declaration by GM (Safety) of the Company |
| 36 | No of serious bodily injuries in recording year (Note: figures of the previous financial year to be considered and not the calendar year) | | Declaration by GM (Safety) of the Company |

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| 37 | No of dangerous occurrences in recording year (Note: figures of the previous financial year to be considered and not the calender year) | | Declaration by GM (Safety) of the Company |
| 38 | IT initiatives to check pilferage | 1. Geofencing & PTZ camera with auto message trigger system, 2. Use of RFID / Boom barriers in coal stock yard & dispatch system, 3. Inventory Mgt through SAP / ERP | Proof documents may be asset register SIV, OR photographs etc. copy of generated report by such system, etc. |
| 39 | Utilization of safety budget | Copy of budget under Safety head for the year. | Cost sheet /Proof of budget utilisation during the year/ Store Vouchers, etc. |
| 40 | Strength of statutory personnel | Target as per statutory provision (with exemptions) : No..... (enclose approval of exemption) duly signed by GM (Safety) | List of statutory persons with designation duly signed by Agent & Manager (HR). |
| 41 | Risk assessment based safety management system | CMR-2017/Permission copy | Copy of SMP submitted to DGMS as prescribed in the Statute. |
| 42 | Maintenance of all important statutory plans including emergency action plan | CMR-2017/Permission copy | Declaration by GM (Safety)/GM (Survey)/Area Survey Officer of the Company |
| 43 | Existence of various SOPs/Code of practice for | | Declaration by GM (Safety) /Area safety Officer of the Company |
| 44 | Installed telemonitoring system for monitoring of gases | | Declaration by GM (Safety)/ Area Survey Officer of the Company |
| 45 | Assessment in the annual safety week | Total Marks (Max) | Copy of marklist duly signed by GM (Safety) or in case of small organisation, GM of project. |

CHECK LIST FOR UPLOADING DOCUMENTS-OC MINES

| Sr No. | Evaluation Parameter | Reference documents required | Documents to be uploaded in support of self evaluation |
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| MODULE 1 - MINING OPERATIONS RELATED PARAMETERS | | | |
| 1 | Haul Road Gradient | Permission copy /statutory provisions (CMR) | Sections of suitable scale, preferably 1:500 or 1:1000 for O/B haul road (upto top of external dump) for the year under evaluation. (Duly signed by Mine Survey officer & Colliery Manager & Agent) |
| 2 | Haul Road width (m) | Statutory provisions/permission copy (wrt Size of HEMM deployed mentioning max width of Dumper deployed) | Combined certification by Surveyor, Mgr & Agent. |
| 3 | Slope of final batter | Document to effect of max permissible limit as per permission / statutory provisions/ scientific study conducted. | Statutory mine working plan at suitable scale highlighting the requisit details involved in evaluation like, RLs at various points including highest RL of external / internal dump, fencing, drains, etc. |
| 4 | Fencing around OC | Permission copy /statutory provisions (CMR) | |
| 5 | Garland drain around OC | Permission copy /statutory provisions (CMR) | |
| 6 | OB Dump height | Copy of permission showing max. permissible height of OB dump | |
| 7 | OB Removal (M Cu.m) | Target of total OB removal for the year under evaluation , specifying internal, external dumping (copy of physical parameters of approved Revenue Budget OR relevant authentic document to support the assigned target) | Annual cost sheet/other document showing physical parameters, duly signed by Area Finance Manager & Agent OR Annual return submitted under CMR-2017 or Final cost sheet showing physical parameters. |
| MODULE 2 - ENVIRONMENT RELATED PARAMETERS | | | |
| 1 | Dust suppression measures as per PR/EMP | Copy of relevant extract of project report showing provisions of dust suppression measures (water tankers, fixed sprinklers, mechanical brooms, etc) | No. of fixed sprinklers, water tanker & brooms installed /deployed (supported by store issue voucher/Asset Register) |
| 2 | | Total No. of drills deployed (enclosed Asset register / SIV) | Total No. of drills with wet drilling facility. Document to prove facility of wet drilling with self certification to the effect of its operating condition. |

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| 3 | Ambient Air Quality | Frequency of Monitoring (Enclose statutory provision regarding prescribed frequency) | Monitoring & analysis report of agency conducting the work & report of submission to State Pollution Control Board. |
| 4 | | Quality / Standard (Enclose statutory threshold limits for all components being monitored) | |
| 10 | Monitoring of surface water quality | Frequency of Monitoring (Enclose statutory provision regarding prescribed frequency) | Monitoring & analysis report of agency conducting the work & report of submission to State Pollution Control Board. |
| | | Quality / Standard (Enclose statutory threshold limits for all components being monitored) | |
| 11 | Water conservation | 1) Document to prove make of water of mine. 2) Annual rail fall | Water conservation measures taken for rain water. Number of measures taken with proof documents for it. |
| 12 | Mine water utilization | Line diagram of pumping layout with specifications & discharge of each pumps depicting total pumping capacity & total discharge / unit time | Stipulate different usage & its quantity like i) Industrial Use A) Washing m/c b) Spraying / dust suppression c) Fire fighting d) drinking. ii) Domestic Use, iii) Agricultural use, iv) Discharge in natural drainage system. Duly certified by Agent & Nodal Officer Environment (Corporate level). |
| 13 | Submission of EMP compliance report | | Copy of submission of compliance report. |
| 14 | Whether Energy audit was undertaken within 5 years | - | Copy of energy audit, if conducted, within last five years, including the year under evaluation. |
| 15 | Implementation of recommendations of Energy Audit | Copy of recommendation of energy audit | Proof of implementation like store issue voucher, work completion certificate, if any. |
| 16 | Compliance of EC and FC related violations | Violation report, if any, of statutory authority of EC or FC. | Copy of compliance submitted to authority. |
| 17 | Back-filling of OBR | Target of internal dump as per P.R. or B.E. or Mining Plan | Proof of execution: plan & section at suitable scale with certification duly signed by Survey Officer, Colliery Manager & Agent. |
| 18 | Biological Reclamation of area affected by mining | Target of area to be reclaimed biologically as per i) PR or ii) MCP or iii) BE | Proof of execution: plan & section at suitable scale with certification duly signed by Survey Officer, Colliery Manager & Agent. |
| | | Target of plantation in the year of evaluation. | copy of plantation contract & work completion certificate. |

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| 19 | Use of renewable energy resources such as solar, wind etc | Target of solar, wind energy etc. | Copy of Work Order & Work Completion Certificate. |
| 19 | Top Soil Utilization | i) External dump (Separate Top soil dump) for biological reclamation i) External dump , ii) on internal black filled area for biological reclamation | Proof of execution: plan & section at suitable scale with certification duly signed by Survey Officer, Colliery Manager & Agent. |

MODULE 3 - ADOPTION OF Technology: Best mining practices

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| 20 | Has the Quality Management System Standard (ISO:9001) been implemented in the mine? Has it been certified? | - | Copy of valid certification for the evaluation year. |
| 21 | Has the Environment Management System Standard (ISO:14001) been implemented in the mine? Has it been certified? | - | Copy of valid certification for the evaluation year. |
| 22 | Use of State of art technology in communication e.g. walkie talkie | Permission copy /statutory provisions | Asset register, store issue voucher, report generated by such system, etc. |
| 23 | Use of blastfree technologies e.g.surfaceminer etc. | Permission copy /statutory provisions | Asset register, store issue voucher, any annual return depicting production from blast free technology, etc. |
| 24 | use of latest technology & software in planning & surveying e.g. total stations, | | Asset register, store issue voucher, report generated by such system or Tax Invoice, etc. |
| 25 | use of upgarded technology in conveying of material e.g. use of High angle conveyours,inpitcrusher & conveying sysytem | | Asset register, store issue voucher, or Tax Invoice etc., including Photogrphs. |

MODULE 4 - ECONOMIC PERFORMANCE RELATED PARAMETERS

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| 26 | Achievement of coal production target in reporting year | Cost sheet/AOP showing physical parameter of target & achievement OR document of EC for rated capacity. | Cost sheet showing achieved production OR Statutory document like Annual return submitted under CMR/MMDR, depicting coal production. |
| 27 | Achievement of coal despatch target in reporting year | Cost sheet /AOP showing physical parameter of target & achoevement OR document of EC for rated capacity. | Cost sheet showing achieved dispatch OR Statutory document like Annual return submitted under CMR/MMDR, depicting despatch. |
| 28 | Capacity utilization | Document issued by CMPDIL OR of corporate office depicting mine capacity (for that year). | Copy of Annual return / cost sheet showing coal production & OB with calculation of composite production. |

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| 29 | Impact of grade slippage (Realization Percentage) | Declared grade / GCV band (issued by CCO) for that year. OR for liginte - P.R. extract. | Cost sheet showing realisation OR loss on a/c of grade slippage OR Document issued by Q.C. cell of Company or S & M dept. of Company under sign of GM (QC) / GM (S& M) |
| 30 | Utilization of budget for capital expenditure | Copy of Capital Budget of the Mine duly approved by Competent Authority. | Cost sheet /copy Work Completion Certificates for capital works during the year/ Store Vouchers. |
| MODULE 5 - REHABILITATION & RESETTLEMENT RELATED PARAMETERS | | | |
| 31 | Survey for identification of Project affected families, families to be displaced, compensation to be paid for houses and other properties, persons losing livelihood etc. | - | Copy of BLSES/SIA conducted through NGO/certified agency. |
| 32 | Status of Rehabilitation Site | - | Work completion certificate for public amenities. Handing over certificate to State Revenue Authority depicting all amenities (List of public amenities to be provided as per R & R Policy adopted OR Schedule III of RFCTLARR Act vis-a-vis created by mine operator) |
| | | Needs to evaluate only if resettlement involved in the project | Proof of contractor awarded for maintenance &/OR work. Certificate, etc. |
| 33 | Whether alternate arrangements for sustainable livelihood have been made | list of total affected PAFs/PAPs eligible for emp(direct/indirect/skill development). | List of persons whom direct employments provided, duly signed by HR dept. |
| | | list of total affected PAFs/PAPs eligible for emp(direct/indirect/skill development). | List of persons whom indirect (through contractor, etc) employment provided, duly signed by HR dept. |
| | | list of total affected PAFs/PAPs eligible for emp(direct/indirect/skill development). | List of persons whom Skill development Training, Vocational trainings imparted, duly signed by HR dept and Area Training Officer. |
| 34 | Whether a public grievance redressal mechanism is in place for dealing R&R and other connected issues | GRM Policy document, if any. | Copy of document of system / committee constituted & Minutes of Meeting proceedings of system against any grievance dealt. |
| 35 | Expenditure on CSR Activities | Target(= Rs 5/- per ton Or = 2% of retained profit)/ Any relevant document | List of works undertaken in CSR & its payment voucher or Work Completion certificates. |

| MODULE 6 - EMPLOYEE/WORKER RELATED COMPLIANCE PARAMETERS | | | |
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| 36 | Expenditure on Welfare Activities | Copy of welfare budget for the year. | Work completion certificate or bill payment voucher for list of workers. |
| 37 | PME conducted as per the requirement (including for those of once in 3 years for 50+ age) | Target - Total of i) No of eligible employess of age <50 yrs and ii) No. of eligible employees of age >50yrs (Annual Return Submitted to DGMS) | List of employees undergone PME, duly signed by Medical officer, safety officer & Agent.(Annual Return Submitted to DGMS) |
| 38 | Whether sanitation provision has been made according to Mines rules 1955 requirement of toilets etc | Provision to be made i) pit head bath ii) Toilet (ladies/gents) iii) Rest shelter iv) drinking water v) canteen, etc | Photographs alongwith certification by Agent & Labour Welfare Officer. |
| 39 | Whether 20% of workers were given vocational training in reporting year as per requirement of Mines Vocational Training Rules 1966 | List of 20% of total employees who are entitled for refresher training.(Annual Return Submitted to DGMS) | List of employess imparted training duly signed by Area Traning office & Agent.(Annual Return Submitted to DGMS) |
| MODULE 7 - SAFETY and SECURITY RELATED PARAMETERS | | | |
| 1 | Imposition of Sec-22 in the mine | - | if yes - copy of notice / order if No - Declaration by colliery Manager & Agent, duly countersigned by GM (Safety) of Company. |
| 2 | Safety audit | | Copy of safety audit with its recommdation (conducted during the year) |
| 3 | Pit safety committee meetings | Number of PSC meetings required to be done as per statute (Annual Return Submitted to DGMS OR PSC Register) | Declaration of dates of PSC meetings conducted during the year duly signed by Colliery Manager & Agent duly countersigned by GM (Safety) of Company. |
| 4 | No of disasters in recording year (Note: figures of the previous financial year to be considered and not the calender year) | Target - NIL | Declaration by Colliery Manager & Agent. |
| 5 | No of fatal accidents in recording year (Note: figures of the previous financial year to be considered and not the calender year) | Target - NIL | Declaration by Colliery Manager & Agent, if NILduly countersigned by GM (Safety) of Company |
| 6 | No of serious bodily injuries in recording year (Note: figures of the previous financial year to be considered and not the calender year) | Target - NIL | Declaration by Colliery Manager & Agent, if NIL duly countersigned by GM (Safety) of Company |

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| 7 | IT initiatives to check pilferage | 1. Biometric attendance, 2. Linking salary with Biometric attendance system, 3. Geofencing & PTZ camera with auto message trigger system, 4. Use of RFID / Boom barriers in coal stock yard & dispatch system, 5. Inventory Mgt through SAP / ERP | Proof documents may be asset register SIV, OR photographs etc. copy of generated report by such system, etc. |
| 8 | Utilization of safety budget | Copy of budget under Safety head for the year. | Cost sheet /Proof of budget utilisation during the year/ Store Vouchers, etc. |
| 9 | Strength of statutory personnel | Target as per statutory provision (with exemptions) : No..... (enclose approval of exemption) duly signed by GM (Safety) | List of statutory persons with designation duly signed by Agent & Manager (HR). |
| 10 | Risk assessment based safety management system | | Copy of SMP as prescribed in the Statute (CMR 2017) submitted to DGMS |
| 11 | Assessment in the annual safety week | Total Marks (Max) | Copy of marklist duly signed by GM (Safety) or in case of small organisation, GM of project. |

| STAR RATING OF AN UNDERGROUND COAL MINES - CRITERIA FOR AWARDDING RATING POINTS | | | | | | | | | |
|---|--|---|--|--|----------------|---------------|--------------------|--------------|----------------------|
| Sr No. | Evaluation Parameter | Required/target/statutorily specified Value | Actual value | Rating points (1-5) Criteria | Maximum points | Points Scored | Multiplying factor | Point scored | Rationale for points |
| MODULE 1 - MINE GEOMETRY | | | | | | | | | |
| 1 | Pillar Size | Size as per permission | | % number of pillars within permissible limit (1 for >50%, 2 for >60%, 3 for >70% , 4 for >80% and 5 for >90%) | 2 | 2 | 0.4 | 0.8 | |
| 2 | Height of galleries | As per permission | | % length within permissible limit (1 for >50%, 2 for >60%, 3 for >70% , 4 for >80% and 5 for >90%) | 2 | | 0.4 | 0 | |
| 3 | Width of galleries | As per permission | | % length within permissible limit (1 for >50%, 2 for >60%, 3 for >70% , 4 for >80% and 5 for >90%) | 2 | | 0.4 | 0 | |
| 4 | Panelization of UG workings | Yes | Yes/No | 3 Points - If Yes Other cases - 0 Point | 2 | | 1 | 0 | |
| 5 | In case of depillaring with Caving - Area of uncaved roof | Maximum permissible uncaved area | | % uncaved area within permissible limit (1 for >50%, 2 for >60%, 3 for >70% , 4 for >80% and 5 for >90%) | 2 | | 0.4 | 0 | |
| 6 | In case of depillaring with stowing - Status of stowing | Maximum permissible un-stowed residual void | | % stowed area within permissible limit (1 for >50%, 2 for >60%, 3 for >70% , 4 for >80% and 5 for >90%) | 2 | | 0.4 | 0 | |
| MODULE 2 - Mine ENVIRONMENT RELATED PARAMETERS | | | | | | | | | |
| 7 | Dust supression measures as per PR/EMP | Water sprinkling arrangement in UG workings as per statute | Number of faces covered | % achieved (1 for 60% , 2 for 70% , 3 for 80% , 4 for 90% and above and 5 for 100%) | 1 | | 0.2 | 0 | |
| | | Quanity of Stone dusting used as per annual production | Actual | % achieved (1 for 60% , 2 for 70% , 3 for 80% , 4 for 90% and above and 5 for 100%) | 1 | | 0.2 | 0 | |
| 8 | Mine water utilization | Total discharge | Total Utilized | % utilised (1 for 80% , 2 for 85% , 3 for 90% , 4 for 95% and more and 5 for 100%) | 2 | | 0.4 | 0 | |
| 9 | Whether Energy audit was undertaken within 5 years | There should be atleast 1 such audit in 5 years | Yes/No | Yes (1 point) No (0 point) | 1 | | 1 | 0 | |
| 10 | Implementation of recommendations of Energy Audit | Nos. of recommendations made | Nos. of recommendations implemented | % achievement (1 for 80% , 2 for 85% , 3 for 90% , 4 for 95% and more and 5 for 100%) | 1 | | 0.2 | 0 | |
| MODULE 3 - ADOPTION OF Technology: Best mining practices | | | | | | | | | |
| 11 | Use of State of art technology in communication e.g. telephone | Telemonitoring system, multi gas detector, under ground telephone, LED cap lamp | | 1 point for each technology | 4 | | 1 | 0 | |
| 12 | Use of mining technologies | Use of continuous miner, use of UDM, use of resin capsule for support, man riding | | 1 for each technology | 4 | | 1 | 0 | |
| MODULE 4 - ECONOMIC PERFORMANCE RELATED PARAMETERS | | | | | | | | | |
| 13 | Achievement of coal production target in reporting year | Target (MT) | Actual Production - % Achievment - | % achieved (1 for 80% , 2 for 85% , 3 for 90% , 4 for 95% and more and 5 for 100%) | 3 | | 0.6 | 0 | |
| 14 | Achievement of coal despatch target in reporting year | Target (MT) | Actual despatch - % Achievment - | % achieved (1 for 80% , 2 for 85% , 3 for 90% , 4 for 95% and more and 5 for 100%) | 3 | | 0.6 | 0 | |
| 15 | Capacity utilization | Mine capacity as assessed by CMPDI (M Cu.m) | Actual Capacity achieved - Capacity Utilization % - | % achieved (1 for 80% , 2 for 85% , 3 for 90% , 4 for 95% and more and 5 for 100%) | 3 | | 0.6 | 0 | |
| 16 | Impact of grade slippage (Realization Percentage) | Expected realization as per the declared grade (Rs./T) | Actual Realization - Realaization % - | % achieved (1 for 80% , 2 for 85% , 3 for 90% , 4 for 95% and more and 5 for 100%) | 3 | | 0.6 | 0 | |
| 17 | Growth in OMS | OMS of preveuios year - | OMS of present year | % achieved (1 for 80% , 2 for 85% , 3 for 90% , 4 for 95% and more and 5 for 100%) | 3 | | 0.6 | 0 | |
| 18 | Utilization of budget for capital expenditure | Capital Budget - | Capital Utilization - % Capital Utilization | % achieved (1 for 80% , 2 for 85% , 3 for 90% , 4 for 95% and more and 5 for 100%) | 3 | | 0.6 | 0 | |

| MODULE 5 - REHABILITATION & RESETTLEMENT RELATED PARAMETERS | | | | | | | | | |
|---|--|--|---|---|---|--|-----|---|--|
| 19 | Survey for identification of Project affected families, families to be displaced, compensation to be paid for houses and other properties, persons losing livelihood | Whether a formal survey has been done in line with existing R&R Policy? | Yes/No | Yes (1 point) No (0 point) | 1 | | 1 | 0 | |
| 20 | Status of Rehabilitation Site | Whether all stipulated facilities have been provided?targetted expenditure | expenditure done | % expenditure as per PR (1 for 90%, 2 for 92%, 3 for 94%, 4 for 96% and more and 5 | 1 | | 1 | 0 | |
| | | Whether periodic maintainance of RR site is being done ? | Yes/No | Yes (1 point) No (0 point) | 1 | | 1 | 0 | |
| 21 | Whether alternate arrangements for sustainable livelihood have been made for persons who lost their livelihood due to Project | Number of identified families/persons who have lost their livelihood | No. of such families/persons provided direct employment - | % achieved (1 for 60% , 2 for 70%, 3 for 80%, 4 for 90% and more and 5 for100%) | 1 | | 0.2 | 0 | |
| | | | No. of such families/persons provided indirect employment - | | 1 | | 0.2 | 0 | |
| | | | No. of such families/persons provided skill development and vocational training - | | 1 | | 0.2 | 0 | |
| MODULE 6 - EMPLOYEE/WORKER RELATED COMPLIANCE PARAMETERS | | | | | | | | | |
| 22 | Expenditure on Welfare Activities | Committed Expenditure | Actual | % expenditure (1 for 60% , 2 for 70%, 3 for 80%, 4 for 90% and more and 5 for 100%) | 3 | | 0.6 | 0 | |
| 23 | PME conducted as per the requirement of once in 5 years (once in 3 years for 50+ age) | Target | Actual | % achievement (1 for 60% , 2 for 70%, 3 for 80%, 4 for 90% and more and 5 for100%) | 3 | | 0.6 | 0 | |
| 24 | Sanitation provisions as per Mines Rules 1955 | List the provisions required to be made in the mine | Actual provided | % achievement (1 for 60% , 2 for 70%, 3 for 80%, 4 for 90% and more and 5 for 100%) | 3 | | 0.6 | 0 | |
| 25 | Whether 20% of workers were given vocational training in reporting year as per requirement of Mines Vocational Training | Target | Actual | % achievement (1 for 60% , 2 for 70%, 3 for 80%, 4 for 90% and more and 5 for 100%) | 2 | | 0.4 | 0 | |
| MODULE 7 - SAFETY and SECURITY RELATED PARAMETERS | | | | | | | | | |
| 26 | Imposition of Sec-22 in the mine | Nil | Actaul nos. of orders/notices issued under Section-22 | (-5) for each such order/notice | 0 | | 1 | 0 | |
| 27 | Safety audit of mine | Whether Safety audit was undertaken in reporting year | Yes/No | Yes (2 point) No (0 point) | 2 | | 1 | 0 | |
| 28 | Standard of Illumination | No. fo surveys required to be conducted | Actual | % achievement (1 for 60% , 2 for 70%, 3 for 80%, 4 for 90% and more and 5 for 100%) | 1 | | 0.2 | 0 | |
| | | No. of readings recorded during the year | No. of readings not conforming to prescribed standard | (-) 0.5 point for each unconformity | 0 | | 1 | 0 | |
| 29 | Standard of Ventilation | Required quantity of air in the last VC | Actual | % achievement (1 for 60% , 2 for 70%, 3 for 80%, 4 for 90% and more and 5 for 100%) | 2 | | 0.4 | 0 | |
| | | Required VEQ | Actual | % achievement (1 for 60% , 2 for 70%, 3 for 80%, 4 for 90% and more and 5 for 100%) | 1 | | 0.2 | 0 | |
| | | Required frequency of gas survey | Actual | % achievement (1 for 60% , 2 for 70%, 3 for 80%, 4 for 90% and more and 5 for 100%) | 2 | | 0.4 | 0 | |
| | | Existence of SSR | Yes/No | Yes (2 points) Else - 0 | 2 | | 0.4 | 0 | |
| | | Adherence to SSR at all places | number of faces adhered to SSR. | % achievement (1 for 60% , 2 for 70%, 3 for 80%, 4 for 90% and more and 5 for 100%) | 2 | | 0.4 | 0 | |
| | | Whether the stability of roof and pillars is being monitored regularly by a geo-technical cell constituted for the purpose | Yes/No | Yes (2 points) Else - 0 | 2 | | 0.4 | 0 | |
| 31 | Provision of man-riding system | Nos. required as per the existing manpower and distance of travel involved | Actual | % achievement (1 for 60% , 2 for 70%, 3 for 80%, 4 for 90% and more and 5 for 100%) | 3 | | 0.6 | 0 | |

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STAR RATING OF AN OPENCAST COAL MINES:CRITERIA FOR AWARDDING RATING POINTS

| Sr No. | Evaluation Parameter | Required/target/statutorily specified Value | Actual value | Rating points (1-5) Criteria | Maximum points | Points given | Multiplying factor | Points Scored | Details submitted by the mine | Rational e for points |
|--|--|--|---|--|----------------|--------------|--------------------|---------------|-------------------------------|-----------------------|
| MODULE 1 - MINE GEOMETRY AND OB DUMPS | | | | | | | | | | |
| 1 | Haul Road Gradient | as per permission | | % length within permissible limit (1 for >50%, 2 >60%, 3 for >70%, 4 for >80% and 5 for >90%) | 3 | 4 | 0.6 | 2.4 | | |
| 2 | Haul Road width (m) | 3 X dumper width + 5 m | | % haul road length where width within permissible limit (1 for 60%, 2 for 70%, 3 for 80%, 4 for 90% and above and 5 for 100%) | 3 | | 0.6 | 0 | | |
| 3 | Slope of final batter | Permitted Slope as per PR or geo-technical study | | % increase in angle over permission (1 for 8%,2 for 6%, 3 for 4%, 4 for 2% and less and 5 for 0% and less) | 3 | | 0.6 | 0 | | |
| 4 | Fencing around OC | As per DGMS provision | Yes/No | % length fenced as per permission (1 for 60% , 2 for 70%, 3 for 80%, 4 for 90% and above and 5 | 1 | | 0.2 | 0 | | |
| 5 | Garland drain around OC | Length as per mine plan | Yes/No | % length made as per permission (1 for 60% , 2 for 70%, 3 for 80%, 4 for 90% and above and 5 for 100%) | 1 | | 0.2 | 0 | | |
| 6 | OB Removal (M Cu.m) | Target | | % achievement (1 for 80%, 2 for 85%, 3 for 90%, 4 for 95% and above and 5 for 100%) | 3 | | 0.6 | 0 | | |
| 7 | OB Dump height | as per permission from DGMS | Yes/No | % increase in height (1 for 15%, 2 for 12%, 3 for 9%, 4 for 6% and less and 5 for 0% and less) | 3 | | 0.6 | 0 | | |
| MODULE 2 - ENVIRONMENT RELATED PARAMETERS | | | | | | | | | | |
| 8 | Dust supression measures as per PR/EMP | No. of water tankers required - | No. of water tankers provided- | % nos provided (1 for 60% , 2 for 70%, 3 for 80%, 4 for 90% and above and 5 for100%) | 1 | | 0.2 | 0 | | |
| | | No. of drills operating - | No. of drills provided with wet drilling arrangements - | % nos provided (1 for 60% , 2 for 70%, 3 for 80%, 4 for 90% and above and 5 for100%) | 1 | | 0.2 | 0 | | |
| 9 | Ambient Air Quality | Required frequency of monitoring | Actual monitoring frequency | % achieved (1 for 80%, 2 for 85%, 3 for 90%, 4 for 95% and above and 5 for 100%) | 1 | | 0.2 | 0 | | |
| | | Required quality standard to be met | Actual standard observed | % nos within limit (1 for 80%, 2 for 85%, 3 for 90%, 4 for 95% and above and 5 for 100%) | 1 | | 0.2 | 0 | | |

| | | | | | | | | | | |
|--|---|---|---|--|---|--|------|---|--|--|
| 10 | Monitoring of surface water quality | Required frequency of monitoring | Actual monitoring frequency | % achieved (1 for 80%, 2 for 85%, 3 for 90%, 4 for 95% and above and 5 for 100%) | 1 | | 0.2 | 0 | | |
| | | Required quality standard to be met | Actual standard observed | % nos within limit (1 for 80%, 2 for 85%, 3 for 90%, 4 for 95% and above and 5 for 100%) | 1 | | 0.2 | 0 | | |
| 11 | Water conservation | Actions required as per provisions | No. of prescribed actions being taken in actual | % achievement (1 for 60% , 2 for 70%, 3 for 80%, 4 for 90% and above and 5 for100%) | 1 | | 0.2 | 0 | | |
| 12 | Mine water utilization | Total discharge | Total Utilized | % utilised (1 for 80%, 2 for 85%, 3 for 90%, 4 for 95% and above and 5 for 100%) | 1 | | 0.2 | 0 | | |
| 13 | Submission of EMP compliance report | All compliance reports need to be submitted in time | Yes/No | Yes (1 points) No (0 points) | 1 | | 1 | 0 | | |
| 14 | Whether Energy audit was undertaken within 5 years | There should be atleast 1 such audit in 5 years | Yes/No | Yes (1 point) No (0 point) | 1 | | 1 | 0 | | |
| 15 | Implementation of recommendations of Energy Audit | Nos. of recommendations made | Nos. of recommendations implemented | % achievement (1 for 80%, 2 for 85%, 3 for 90%, 4 for 95% and above and 5 for 100%) | 2 | | 0.4 | 0 | | |
| 16 | Compliance of EC and FC related violations | | | % violations complied (5 for 80% , 4 for 85%, 3 for 90%, 2 for 95 and less and 0 for100%) | 0 | | -0.2 | 0 | | |
| 17 | Back-filling of OBR | Target as per plan (M Cu.m) | Actual | % achievement (1 for 60% , 2 for 70%, 3 for 80%, 4 for 90% and above and 5 for100%) | 4 | | 0.8 | 0 | | |
| 18 | Biological Reclamation of area affected by mining | Target Area (Ha) | Actual | % achievement (1 for 80%, 2 for 85%, 3 for 90%, 4 for 95% and above and 5 for 100%) | 2 | | 0.4 | 0 | | |
| | | Target Plantation (Nos.) | Actual | % achievement (1 for 80%, 2 for 85%, 3 for 90%, 4 for 95% and above and 5 for 100%) | 2 | | 0.4 | 0 | | |
| 19 | Use of renewable energy resources such as solar, wind etc | Targetted Plantation (KW) | Actually Installed (KW) | % achievement (1 for 80%, 2 for 85%, 3 for 90%, 4 for 95% and above and 5 for 100%) | 2 | | 0.4 | 0 | | |
| 19 | Top Soil Utilization | Planned stacking (M Cum) | Actual | % achievement (1 for 80%, 2 for 85%, 3 for 90%, 4 for 95% and above and 5 for 100%) | 2 | | 0.4 | 0 | | |
| | | Planned Utilization (M Cum) | Actual | % achievement (1 for 80%, 2 for 85%, 3 for 90%, 4 for 95% and above and 5 for 100%) | 2 | | 0.4 | 0 | | |
| MODULE 3 - ADOPTION OF Technology: Best mining practices | | | | | | | | | | |
| 20 | Has the Quality Management System Standard (ISO:9001) been implemented in the mine? Has it been certified? | Name of Certification body, Period of Validity (from...to.): | | Certification valid in the period of reporting year (1 points) There is no valid certificate and submission was also not done in reporting year (0 point) | 1 | | 1 | 0 | | |
| 21 | Has the Environment Management System Standard (ISO:14001) been implemented in the mine? Has it been certified? | Name of Certification body, Period of Validity (from...to.): | | Certification valid in the period of reporting year (1 points) There is no valid certificate and submission was also not done in reporting year (0 point) | 1 | | 1 | 0 | | |

| | | | | | | | | | | |
|----|--|---|--|--|---|--|-----|---|--|--|
| 22 | Use of State of art technology in communication e.g. walkie talkie | Walkie- talkie,OITDS, | | use of advance technology (2 points), absence of new technology (0 point) | 2 | | 1 | 0 | | |
| 23 | Use of blast free technologies e.g.surfaceminer etc. | % of production through surface miner /inpit crushing | | % achievement (1 for 60% , 2 for 70%, 3 for 80%, 4 for 90% and above and 5 for100%) | 2 | | 0.4 | 0 | | |
| 24 | use of latest technology & software in planning & surveying e.g. total stations, | Slope stability radar, total station | | 1 for each technology | 2 | | 1 | 0 | | |
| 25 | use of upgarded technology in conveying of material e.g. use of High angle conveyours,inpitcrusher & conveying sysytem | % of production using conveyors | | % achievement (1 for 30%, 2 for 40%, 3 for 50%, 4 for below 60% and 5 for 60% and above) | 2 | | 0.4 | 0 | | |

MODULE 4 - ECONOMIC PERFORMANCE RELATED PARAMETERS

| | | | | | | | | | | |
|----|---|--|--|---|---|--|-----|---|--|--|
| 26 | Achievement of coal production target in reporting year | Target (MT) | Actual Production - % Achievment - | % achieved (1 for 80%, 2 for 85%, 3 for 90%, 4 for 95% and above and 5 for 100%) | 3 | | 0.6 | 0 | | |
| 27 | Achievement of coal despatch target in reporting year | Target (MT) | Actual despatch - % Achievment - | % achieved (1 for 80%, 2 for 85%, 3 for 90%, 4 for 95% and above and 5 for 100%) | 3 | | 0.6 | 0 | | |
| 28 | Capacity utilization | Mine capacity as assessed by CMPDI (M Cu.m) | Actual Capacity achieved - Capacity Utilization % - | % achieved (1 for 80%, 2 for 85%, 3 for 90%, 4 for 95% and above and 5 for 100%) | 3 | | 0.6 | 0 | | |
| 29 | Impact of grade slippage (Realization Percentage) | Expected realization as per the declared grade (Rs./T) | Actual Realization - Realaization % - | % achieved (1 for 90%, 2 for 92%, 3 for 94%, 4 for 96% and above 5 for100%) | 3 | | 0.6 | 0 | | |
| 30 | Utilization of budget for capital expenditure | Capital Budget - | Capital Utilization - % Capital Utilization | % achieved (1 for 80%, 2 for 85%, 3 for 90%, 4 for 95% and above and 5 for 100%) | 3 | | 0.6 | 0 | | |

MODULE 5 - REHABILITATION & RESETTLEMENT RELATED PARAMETERS

| | | | | | | | | | | |
|----|---|---|--------|--|---|--|-----|---|--|--|
| 31 | Survey for identification of Project affected families, families to be displaced, compensation to be paid for houses and other properties, persons losing livelihood etc. | Whether a formal survey has been done in line with existing R&R Policy? | Yes/No | Yes (1 point) No (0 point) | 1 | | 1 | 0 | | |
| 32 | Status of Rehabilitation Site | Whether all stipulated facilities have been provided? | Yes/No | % expenditure as per PR (1 for 90%, 2 for 92%, 3 for 94%, 4 for 96% and above 5 for 100%) | 1 | | 0.2 | 0 | | |
| | | Whether periodic maintainance of RR site is being done ? | Yes/No | Yes (1 point) No (0 point) N.A. | 1 | | 1 | 0 | | |

| | | | | | | | | | | |
|---|--|---|---|--|---|--|-----|---|--|--|
| 33 | Whether alternate arrangements for sustainable livelihood have been made | Number of identified families/persons who lost livelihood | No. of such families/persons provided direct employment - | % achieved (1 for 60% , 2 for 70%, 3 for 80%, 4 for 90% and above and 5 for 100%) | 1 | | 0.2 | 0 | | |
| | | | No. of such families/persons provided indirect employment - | | 1 | | 0.2 | 0 | | |
| | | | No. of such families/persons provided skill development and vocational training - | | 1 | | 0.2 | 0 | | |
| 34 | Whether a public grievance redressal mechanism is in place for dealing R&R and other connected issues | To be provided | Yes/No | Yes (1 point) No (0 point) | 1 | | 1 | 0 | | |
| 35 | Expenditure on CSR Activities | Committed Expenditure | Actual | % expenditure (1 for 80%, 2 for 85%, 3 for 90%, 4 for 95% and above and 5 for 100%) | 1 | | 1 | 0 | | |
| MODULE 6 - EMPLOYEE/WORKER RELATED COMPLIANCE PARAMETERS | | | | | | | | | | |
| 36 | Expenditure on Welfare Activities | Committed Expenditure | Actual | % expenditure (1 for 60% , 2 for 70%, 3 for 80%, 4 for 90% and above and 5 for 100%) | 2 | | 0.4 | 0 | | |
| 37 | PME conducted as per the requirement of once in 5 years (once in 3 years for 50+ age) | Target | Actual | % achievement (1 for 60% , 2 for 70%, 3 for 80%, 4 for 90% and above and 5 for 100%) | 2 | | 0.4 | 0 | | |
| 38 | Whether sanitation provision has been made according to Mines rules 1955 requirement of toilets etc | List the provisions required to be made in the mine | Actual provided | % achievement (1 for 60% , 2 for 70%, 3 for 80%, 4 for 90% and above and 5 for 100%) | 2 | | 0.4 | 0 | | |
| 39 | Whether 20% of workers were given vocational training in reporting year as per requirement of Mines Vocational Training Rules 1966 | Target | Actual | % achievement (1 for 60% , 2 for 70%, 3 for 80%, 4 for 90% and above and 5 for 100%) | 2 | | 0.4 | 0 | | |
| MODULE 7 - SAFETY and SECURITY RELATED PARAMETERS | | | | | | | | | | |
| 40 | Imposition of Sec-22 in the mine | Nil | Actual nos. of orders notices issued under Section-22 | (-3) for each such order/notice | 0 | | 1 | 0 | | |
| 41 | Safety audit | Whether Safety audit was undertaken in reporting year | Yes/No | Yes (1 point) No (0 point) | 1 | | 1 | 0 | | |

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