

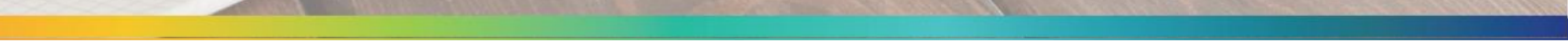
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Chance Find Procedure (CFP) – Construction Phase

ISE-PLN-018-01-UZ-S-KHE01-EN

Chorzem Solar 100MW | Uzbekistan



Record of Issue

Company	Client Contact	Version	Date Issued	Method of Delivery

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APPENDICES

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Acronyms and Abbreviations

CFP	Chance Find Procedure
EBRD	European Bank for Reconstruction and Development
EHS	Environmental, Health and Safety
EPC	Engineering, Procurement and Construction
ESIA	Environmental and Social Impact Assessment
ESMS	Environmental and Social Management System
GIIP	Good International Industry Practice
ID	Identification code
IFC	International Finance Corporation
KPI	Key Performance Indicator
LC	Least Concern
LSA	Local Study Area
MP	Management Plan
MW	Megawatt
NEGU	National Electric Grid of Uzbekistan
Obs.	Observed
OTL	Overhead Transmission Line
PPA	Power Purchase Agreement
PPE	Protective Personal Equipment
PPP	Public-Private Partnership
PR	EBRD Performance Requirements
Project	Khorezm Solar Project
PS	IFC Performance Standards
PV	Photovoltaic
Ruz	Republic of Uzbekistan
SPPP	Solar Photovoltaic Power Plant
TMP	Traffic Management Plan
WBG	World Bank Group

This document is the Chance Find Procedure (CFP) for the Khorezm Solar PV Project (the Project) that includes the procedures for managing any potential chance find of unexpected, previously unknown or undetected tangible cultural heritage remains that might be encountered during the construction phase.

The CFP sets the principles according to which any chance finds will be carried out for the Project and presents the procedure to be carried out throughout the Project's construction phase. This Procedure has been developed in accordance with the applicable Uzbek regulatory framework, International Finance Corporation (IFC) Performance Standards (PSs), EBRD Performance Requirements (PRs), the Good International Industry Practices (GIIP) and the World Bank Group's (WBG) General Environmental, Health and Safety (EHS) Guidelines.

1.1 Purpose and Scope

The main objective of this Procedure is to ensure that appropriate measures are put in place in the case that an unknown cultural heritage or archaeological element is found during the construction activities.

This document also provides guidelines for the Engineering Procurement and Construction (EPC) Contractor and its Contractor/Subcontractors on how to deal with any chance finds according to the relevant international and national standards.

The Scope of this Procedure includes:

- The definition of Project standards related to traffic aspects during the construction phase;
- The definition of responsibilities, commitments, operating procedures and instructions for the implementation of this Procedure;
- The identification of adequate mitigation measures applicable to the Project in relation to traffic aspects. A mitigation hierarchy will be adopted to anticipate and avoid, or where avoidance is not possible, minimize and restore impacts on the environment;
- The establishment of a monitoring program to assess the effects of residual impacts on the environment;
- The identification of actions to measure the performance of monitoring activities;
- The establishment of a guideline to report the results of monitoring and periodic audits and provide for corrective actions as necessary, in order to achieve the planned objectives.

This Procedure applies to the normal operating conditions during the construction activities and applies to all activities carried out by the Project personnel, including Contractors/Subcontractors whose activities have the potential to uncover potential cultural heritage item/site.

1.2 Project Overview

The Khorezm Solar PV Project (the Project) consists in the development of:

- A 100 MW solar photovoltaic power plant (SPPP) and a step-up 35/220 kV substation. Approximately 200.000 pieces of solar panels will be installed, with an average power of 675 watts per panel.
- An associated 3.2 km overhead 220kV transmission line that will connect the SPPP to the existing Sarimay substation location north-west of the project; and
- the construction of two additional extension bays for the existing Sarimay substation to allow for the additional incoming capacity to be generated by the SPPP.

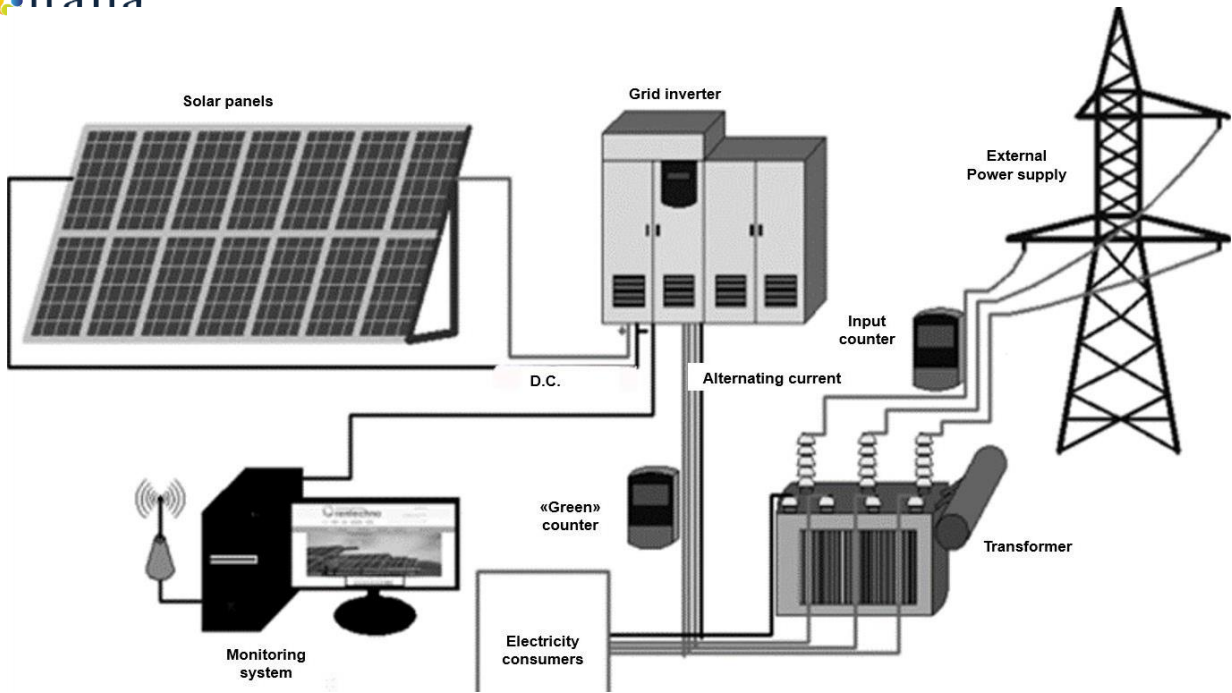


Figure 1: Schematic diagram of a solar photovoltaic power plant operation

The Project will be carried out in the Tuprokkala district in the Khorezm region of Uzbekistan, located 120 km south-east of Urgench city, close to the border with Turkmenistan and near the Amu-Darya River. The limits of the Khorezm region and the approximate location of the Project are observed in Figure 2.

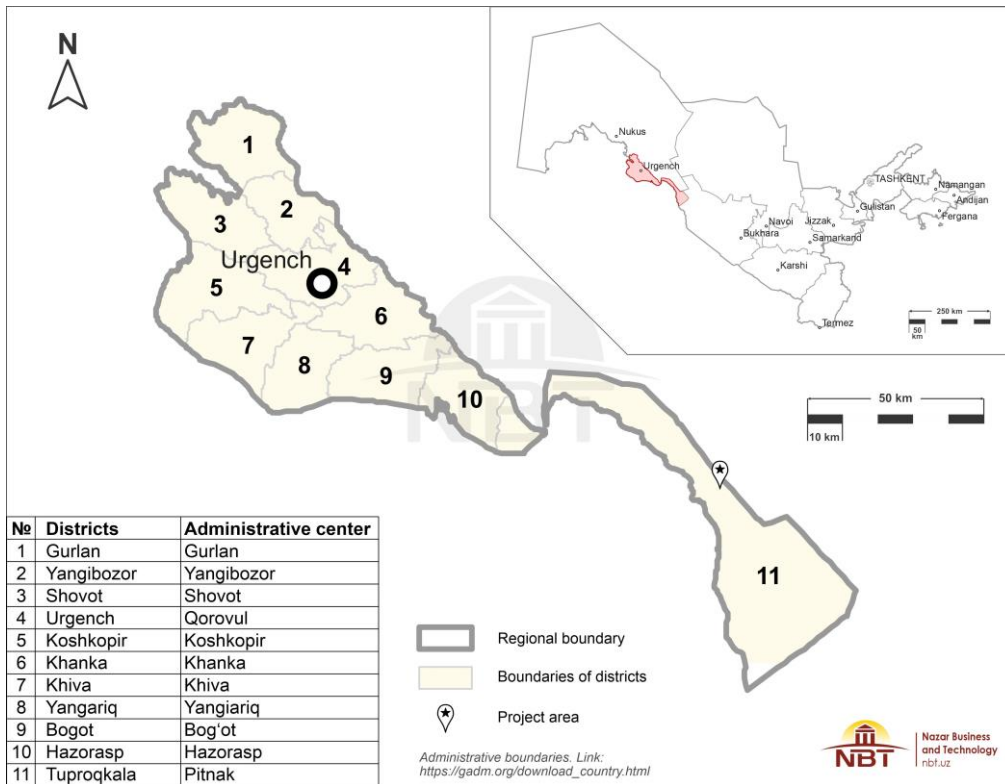


Figure 2: Project Region. Source: NBT, 2023.

The Project is being implemented as part of a Public-Private Partnership (PPP) between the Government of the Republic of Uzbekistan represented by the Ministry of Energy (the Project Proponent), and FE LLC

Sarimay Solar, an entity created in Uzbekistan by Voltalia S.A. (the Project Developer) for the purpose of this Project. The selection process for the EPC Contractor is currently ongoing (as per the release date of this document).

The Project covers approximately 177 hectares which will be utilized entirely for the construction and installation the solar photovoltaic power plant. The Sarimay Switching Station (SS) can be found at 3 km north-east of the Project site, which will receive the Project’s produced energy. The two nearest settlements are the two villages of Sarimay and Nukus. The Project layout and some characteristics of its surroundings, such as communities and infrastructure are shown in Figure 3 below.

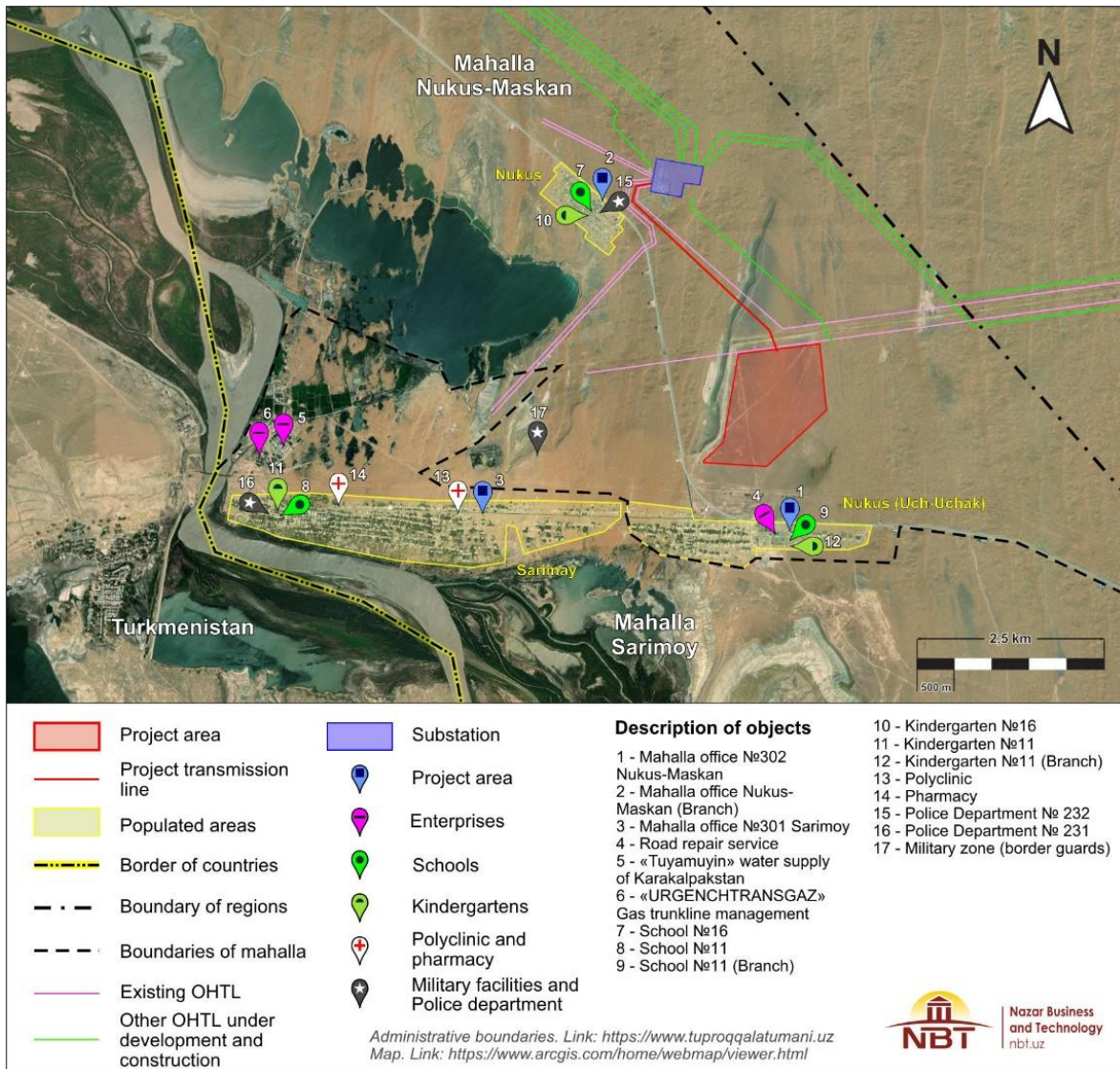


Figure 3: Project area and surroundings. Source: NBT, 2023.

The estimated construction time of the Project will be 1 year and the estimated total workforce required during the peak construction period is estimated to be between 200-250 workers, including technician and low-skilled personnel.

Initial activities, including site preparation, will entail several activities, which can occur simultaneously in different areas. Aome examples include:

- Site works preparation and accommodation;
- Unloading/loading equipment;

- Mobilization of vehicles, workers and equipment, materials transportation;
- Vegetation clearing and land stripping;
- Earthworks (excavations, landfill, surface levelling/grading);
- Adaptation of existing roads and implementation of temporary construction roads;
- Installation of lifting cranes and warehouses for storage of delivered power equipment and building materials;
- Excavation of trenches for the laying of cables;
- Concrete pouring under the foundation of buildings and structures;
- Performance tests;
- Building of sewage septic tank and firefighting water tank;
- Site clean-up and demobilization activities;

The operation lifecycle is considered to be approximately 25 years. The workforce during operation is expected to be around 20 and will include skilled technician, security guards, and support staff.

During the operation these modules will need to be cleaned periodically depending on soiling and sand/silt accumulation. A preventative maintenance program will be established for maintenance of the inverters, mounting structures, surge arresters, cables and PV junction boxes, meteorological station, security, fencing and gates, ditches and drainage culverts as well as all sub-station components including services and septic tank. Scheduled regular maintenance will be carried out by the National Electric Grid of Uzbekistan (NEGU).

On the other hand, the OTL will be designed for continued operability (24 hours per day, 7 days per week) depending on the regime and parameters of the national and regional power transmission grid. From the beginning of the operations, the transmission line will work without the continuous presence of personnel.

1.2.1 Project Cultural Heritage Needs and Effects

Based on the “Social Components Impact assessment” (ESIA Section 08C), no tangible or intangible cultural heritage elements have been identified within the Project site and in its surroundings, hence no impacts are expected on the cultural heritage component during the construction phase, as well as the subsequent phases.

As stated in the letter issued by Uzbekistan’s Cultural Heritage Agency established under the Ministry of Culture and Tourism, there are no cultural heritage sites located in the Project area. The closest cultural heritage sites are the group of burial mounds of "Uch uchok" dating back to the X-IV centuries BC (located approx. 4 km south of the Project area) and the Tosh-kala caravanserai ruins located approx. 8 km south. The location of the sites is provided in the figure below. All other cultural heritage sites are located further away.

1.3 Relationship with other Management Plans

The CFP is to be read in conjunction with the following management plans:

- Health, Safety, Environmental and Social Management Plan (HSES MP);
- Occupational Health and Safety (OHS) Management Plan;



- Community Health, Safety and Security Management Plan (CHSS MP); and,
- Noise and Vibration Management Plan (NVMP).

1.4 Applicability

This Procedure applies to all Votalia activities related to the Project and also provides requirements and guidance for Contractors and Subcontractors involved in the construction activities of the Project, including all secondary and associated facilities, whether temporary or permanent, including the workers camp, if applicable.

No construction activities shall commence until approval of this Procedure.

2.0 REFERENCE & LEGAL REQUIREMENTS

This section includes the policies, standards, and requirements of reference for this Procedure that are applicable for the construction phase of the Project.

Project standards are described in detail the Project ESIA Section 02 – Regulatory Framework and are listed below:

- Relevant national legislative requirements;
- IFC Performance Standards;
- EBRD Performance Requirements;
- World Bank Group EHS Guidelines;
- Other good international industry practices (GIIP);
- International conventions and protocols Uzbekistan is a party to; and,
- Votalia's policies, related practices, and procedures.

The Project is expected to achieve whichever is more stringent amongst these. The relevant international standards shall be also directly applicable in the absence of applicable Uzbek standards.

2.1 National Requirements

Uzbekistan has enacted the following legislation related to cultural heritage protection and preservation, which are listed as follows:

- The Law of the Republic of Uzbekistan “On the Protection and Use of Cultural Heritage Objects”, enacted on August 30, 2001;
- Law No. 269-II of 2001 on protection and use of the objects of cultural heritage.
- The Law of the Republic of Uzbekistan “On the Protection and Use of Archaeological Heritage Objects”, enacted on October 13, 2009;
- The Law of the Republic of Uzbekistan “On Museums” of September 12, 2008;
- The Law of the Republic of Uzbekistan “On the archival case” dated June 15, 2010;
- The Law of the Republic of Uzbekistan “On the Import and Export of Cultural values” of August 29, 1998;
- The Law “On Cultural Activities and Cultural Organizations” of 2021.

2.2 International Standards

The Project is required to meet requirements of international lending financing institutions, specifically:

- i) The International Finance Corporation (IFC) Performance Standards (PS) 2012 and relevant Guidance Notes, in particular:
 - a. IFC Performance Standards and specifically IFC PS1 – Assessment and Management of Environmental and Social Risks and Impacts
 - b. **Performance Standard 8** recognizes the importance of cultural heritage for current and future generations. Consistent with the Convention Concerning the Protection of the World Cultural and Natural Heritage, this Performance Standard aims to protect irreplaceable cultural heritage and to guide clients on protecting cultural heritage in the course of their business operations.
- ii) EBRD Performance Requirements (PR) (2019), in particular:
 - a. EBRD PR 1 – Assessment and Management of Environmental and Social Risks and Impacts;
 - b. EBRD PR 8 – Cultural Heritage.
- iii) World Bank Group Environment, Health and Safety (EHS) Guidelines (General and Industry Sector):
 - a. **ESS8: Cultural Heritage** recognizes that cultural heritage provides continuity in tangible and intangible forms between the past, present and future. ESS8 sets out measures designed to protect cultural heritage throughout the project life-cycle.
- iv) Relevant international conventions and agreements including:
 - a. World Heritage Convention;
 - b. UNESCO 1970 Convention;
 - c. Convention on the Protection of the World Cultural and Natural Heritage (1972); and,
 - d. Convention on the Protection and Promotion of the Diversity of Cultural Expressions (2005).
- v) Good International Industry Practice (GIIP).

2.3 Necessary Permits and Approvals

In Uzbekistan the Cultural Heritage Agency established under the Ministry of Culture and Tourism is responsible for the protection of objects of material cultural heritage, the development of the activities of museums, the preservation of the uniqueness of specially protected historical and cultural territories, the support of archaeological research, the identification of cultural values abroad that are related to the history and culture of Uzbekistan, and the creation of an appropriate database of cultural heritage elements.

The Cultural Agency has provincial and district branches who are authorized to give written notice to proceed and instructions for the protection of cultural heritage. In the case of the development of a project, these branches need to be consulted for the identification of existing and known cultural objects in the planned area. Works may be initiated only following the written notice to proceed and instructions from the branches to be followed in case of chance find construction.

For the identification of cultural heritage in the Aol, on the 24th of May 2023, the Khorezm province Khokimiat, by the request of Votalia, sent an official request to the Ministry of Culture and Tourism to inquire on the location of cultural heritage objects in the Project area. On 4 July 2023, an official response was received from the Cultural Heritage Agency with the letter registration number 04-21/2245 (**Figure 4**).

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O‘ZBEKISTON RESPUBLIKASI MADANIY MEROS AGENTLIGI
AGENCY OF CULTURAL HERITAGE OF THE REPUBLIC OF UZBEKISTAN
Pochta manzili: 100029, Toshkent shahar, Taras Shevchenko ko‘chasi, 1-uy.
e-mail: info@madaniymeros.uz, tmma@cxat.uz

2023-yil 04-iyul

04-21/2245-sonli

Xorazm viloyati hokimligi

Sizning 2023-yil 24-maydagi 04-10/2273-sonli murojaatingiz Madaniy meros agentligi mutaxassislari tomonidan o‘rganib chiqilib quyidagilar ma’lum qilinadi.

Xorazm viloyati, Tuproqqal’a tumanida qurilishi rejalashtirilayotgan quyosh fotoelektrostansiya loyihasi hududida madaniy merosning ko‘chmas mulk obyektlari mavjud emasligi hamda eng yaqin obyekt 2 km uzoqlikda joylashganligi ma’lum qilinadi.

Ilova: __varaqda.

Direktor o‘rinbosari



Sh. Maxmudov

Figure 4: Letter from the Cultural Heritage Agency

As stated in the letter, there are no cultural heritage sites located in the Project area. The closest cultural heritage sites are the group of burial mounds of "Uch uchok" dating back to the X-IV centuries BC (located approx. 4 km south of the Project area) and the Tosh-kala caravanserai ruins located approx. 8 km south. The location of the sites is provided in the figure below. All other cultural heritage sites are located further away.



Figure 5: Location of the cultural heritage sites. Source: NBT, 2023.

3.0 ROLES AND RESPONSIBILITIES

Votalia is responsible for ensuring that the measures set out in this Procedure are implemented in full and this will be achieved by verifying the compliance of the EPC contractor and subcontractors.

General roles and responsibilities for the implementation of this Procedure are provided in Table 1. The roles and responsibilities for the implementation of this Procedure will be revised according to the any changes in Votalia’s organisational structure.

The EPC Contractor is not yet defined. Their specific responsibilities described in the table will be properly distributed once their organisational structure is known.

Table 1: Roles and Responsibilities.

Role	Responsibilities
Votalia SPV	
Project Director	<ul style="list-style-type: none"> ■ Ensure the Votalia’s HSES Policy and HSES Management System Requirements are in line with EBRD performance requirements, and IFC Performance standards, and ESAP requirements and are communicated and implemented effectively and consistently to the Project’s relevant stakeholders; ■ Allow sufficient time and adequate resources for the implementation of this Procedure’s requirements; ■ Foster HSES leadership culture within the Project: and, ■ Assign an ESAP owner conversant with EBRD Performance Requirements and Uzbek legislation;
Health & Safety Site Supervisor	<ul style="list-style-type: none"> ■ Supervise workers within their area of supervision, take corrective action when HSES issues, including any chance finds are noted and report these issues to the Site Management Team; ■ Participate in internal audits and investigation of incidents to determine root cause and corrective actions; ■ Supervise close out H&S incident reports and record, monitor and follow up close out of action items in the Action Tracking System. ■ Liaise with Site Managers on relevant H&S issues and organize H&S meetings; ■ Perform regular site and work front visits and inspections and monitor High Risk Activities; ■ Develop, review, and approve risk assessments, RAMS and PTW’s. Ensure liaison with other relevant HSES Site Management Team members in this process to collect their feedback concerning their respective fields of actuation; ■ Liaise with the Lenders on Project E&S performance, to seek alignment between their expectations; ■ Review and approve site access HSE documentation; ■ Overseeing, managing, and allocating adequate resources for the implementation of the HSES Management System.
E&S advisor	<ul style="list-style-type: none"> ■ Oversee this Procedure; ■ Ensure that all the environmental and cultural heritage authorizations and permits have been obtained in a timely manner;

Role	Responsibilities
	<ul style="list-style-type: none"> ■ Monitor close out of environmental action items in the Action Tracking System; ■ Review the Environmental management documents; ■ Ensure all corrective/preventive actions related to environmental risks and incidents are implemented; ■ Perform regular site and work front visits and inspections and monitor high environmental risk activities and the commencement of activities in new areas or areas with significant environmental sensitivities; ■ Report to the Lenders on (i) Implementation status of the ESAP and of the Register of commitments, with success/fail indicators (see ESAP action 1.4) and (ii) the Environmental and social performance of the project activities, and (iii) the management of non-compliances and corrective actions; and Final approval of this Procedure and subcontractors plans/procedures prior to their implementation.
Voltaia - Site Manager	<ul style="list-style-type: none"> ■ Day to day supervision of the site; ■ Supervision of Project execution timeline and its disclosure to the Site Management Team; ■ Ensure compliance of requirements by Contractor at the different phases of the Project (pre-qualification reports, kick off meetings, periodic performance evaluations...); ■ Supervise dissemination of the updated version of this Procedure to all Site workers, including the EPC Contractor and Subcontractors; ■ Supervision of this Procedure's requirements implementation through regular site monitoring visits and EPC Contractor and Subcontractors documentation/reports review; ■ Supervision of adoption and implementation of disciplinary actions upon failure to comply with requirements; ■ Supervision that all workers have proper training to implement the requirements of this Procedure; ■ Participation and supervision in the worksite Risk Management process (risk assessment, RAMS, PTW, interface management, definition of control measures, and change management); and ■ Ensure contractors and service providers compliance with EBRD 2019 PRs and IFC 2012 PSs by including them in the list of applicable E&S requirements to be complied with. Require them, in a legally binding manner, to cascade the requirement down their subcontractors chain.
HSE Coordinator	<ul style="list-style-type: none"> ■ Implementation of the HSE Policies, Sustainability principles, procedures and best practices, transversely to Voltaia region; ■ Keeping up-to-date with any changes in safety regulations and standards; ■ Monitor and ensure that the Projects' E&S objectives are achieved; ■ Ensure the Projects' E&S requirements (specific to cultural heritage) and this Procedure are communicated to, and implemented by the Projects' personnel, including the Site Management Team and Contractors; ■ Prepare a register of all E&S commitments from the permitted EIA, ESIA and ESAP actions;
EPC Contractor - Site Management Team	

Role	Responsibilities
Project Manager	<ul style="list-style-type: none"> ■ Overall delivery of the Project and HSES performance, and assurance of compliance with budget, schedule, project policies, plans and procedures; ■ Ensure that the necessary resources, authority, information, are provided to enable the execution of Project's HSES management activities and HSES procedures; ■ Ensure that HSES management issues are included in periodic reports to be sent to Site Management Team, and also in reports prepared by Site Management Team to be sent to the Project Owner; ■ Submit periodic reports to the Project Owner. ■ Cooperate with Project Owner to obtain necessary permits and/or legal documents for the Project, if necessary. Hold a dedicated register of these permits and authorizations, indicating their scope and validity date if any.; ■ Supervision of the proper implementation of this Procedure by the Site Management Team and subcontractors plans/procedures prior to their implementation through regular meetings and review of reports; ■ Designating specific personnel on site or at the administrative level for the implementation of the E&S Management System; ■ Present monitoring data to Votalia's Corporate Level and to the Lender; ■ Liaise with the Project Owner, corporate level HSES team, for implementation of this Procedure; and ■ Follow-up on any grievances and non-Conformities, non-compliance or deviation from the requirements of this Procedure.
Site Manager	<ul style="list-style-type: none"> ■ Ensure that all the activities of the Project are carried out in accordance with this Procedure and implement control measures and procedures that have been issued by Site HSES Management Team and the Project Owner as per the HSES Management Plan ■ Ensure that the international E&S requirements applicable to the Project are included - as conditions - in contracts with Subcontractors and suppliers; ■ Instruct and/or train workers on the requirements of this Procedure; ■ Deliver all the documents required for contractors' validation as per the requirements of this Procedure and the Votalia HSES Management Plan; ■ Provide to Votalia's Health and Safety Site Supervisor, before the start of any hazardous work, the Environmental Risk Assessment and Method Statement – RAMS; ■ Identify the need for specialized Subcontractors to carry out specific tasks on site in compliance with this Procedure provisions; ■ Coordinate with Votalia's HSE Manager, organize and participate in the auditing activities organization, maintain a program of audits and inspections at the Construction Site; ■ Ensure that the raised non-conformities based of this Procedure are addressed and resolved as quickly as possible; ■ Ensure the planning, preparation and provision of the trainings in order to enable the full implementation of the Procedure; ■ Check the E&S performance of all Subcontractors in relation to this Procedure's implementation; ■ Verify the compliance with the contractual arrangements and with the Project standards and requirements;

Role	Responsibilities
	<ul style="list-style-type: none"> ■ Provide the monitoring reports to Voltage's Site Management Team through the monthly report; ■ Liaise with Voltage's HSE Manager for proposing and discussing – where necessary – potential changes and integrations of the monitoring activities of this Procedure; ■ Report and resolve the non-conformities raised; ■
HSES Manager	<ul style="list-style-type: none"> ■ Organizing and delivering the implementation of all the Health, Safety and Environment obligations, also for subcontractors, as per the EPC contract, the ESAP, the Environmental Permit and the Uzbek Environmental, Social, Health and Safety legislation; ■ Be conversant with EBRD PRs, IFC PSs and the Uzbek E&S legislation; ■ Oversee performance and ensure compliance of the Project with requirements of this Procedure through regular meetings with the E&S Site Management Team and review of E&S reports; ■ Ensure that sufficient and qualified resources are allocated on an ongoing basis to achieve effective implementation of actions, measures and monitoring activities; ■ Ensure ESMS is in-line with the Project ESMS; ■ Collecting, organizing and reviewing monitoring data and performance monitoring reports provided by the HSE specialist(s) and providing summary results of such reports to the Project Manager; ■ Bringing Non-Conformities immediately to the attention of the Project Manager and ensuring that action/measures and monitoring activities are carried out timely and adequately according to this Procedure's requirements; ■ Programming inspections and audit activities to monitor the correct implementation of this Procedure and of HSE specialist(s) tasks; ■ Monitor the compliance of the activities by Site Team, and subcontractors, with the time schedule and conducting regular inspections and audits of the traffic management activities to identify any non-conformances; ■ Addressing Non-Conformities through the definition of Preventive/Corrective actions proposing to the Project Manager, if necessary, amendments and/or updates to this Procedure and issuing Procedure revisions; ■ Search for continuous improvement through audits and monitoring of the HSE KPIs and internal processes; ■ Advise and support the Project Manager and Site Manager on matters related to HSES; ■ Develop HSES training and induction schedules and content and deliver the training and induction material such as site induction and toolbox talks; and ■ Review and approve H&S Management documents delivered by the Health & Safety Site Supervisor.
Health & Safety Site Supervisor	<ul style="list-style-type: none"> ■ Communicate and instruct workers in proper work practices and update instructions as needed, make records of this instruction; ■ Supervise workers within their area, take corrective action when HSES issues are noted and report these issues to the Site Management Team; ■ Participate in internal audits and investigation of incidents to determine root cause and corrective actions; ■ Develop and update the Project specific H&S management documents;

Role	Responsibilities
	<ul style="list-style-type: none"> ■ Communicate the Health and Safety (H&S) requirements to Project personnel including Site Manager; ■ Develop, review, investigate and close out H&S incident reports and record, monitor and follow up close out of action items in the Action Tracking System. ■ Contact point for reporting H&S Near Misses, hazardous conditions, and incidents onsite and takes care of reporting to the Project Manager and the HSE Manager; ■ Liaise with Site Managers on relevant H&S issues and organize H&S meetings; ■ Deliver the H&S component of training and induction such as site induction and toolbox talks; ■ Perform regular site and work front visits and inspections and monitor High Risk Activities; ■ Report any chance find flagged by the workers to the Project Manager and be prepared to stop work if required. ■ Develop, review, and approve risk assessments, RAMS and PTW's. Ensure liaison with other relevant HSES Site Management Team members in this process to collect their feedback concerning their respective fields of actuation; and ■ Review and approve site access HSE documentation.
E&S specialist	<ul style="list-style-type: none"> ■ Obtain all E&S authorizations and permits in a timely manner; ■ Record and follow up close out of E&S action items in the Action Tracking System; ■ Develop and update E&S management documents; ■ Report and investigate all E&S risks and incidents to the HSES Manager and Site Manager, and ensure all corrective/preventive actions related to environmental management are implemented; ■ Liaise with Site Managers on relevant Environmental issues and plan environmental performance monitoring meetings; ■ Develop Environmental incident reports; ■ Communicate the E&S requirements to Project personnel and perform necessary training; ■ Provide regular feedback in the form of progress report(s) (as needed) to the local authorities, specifically as it relates to local employment and economic development investment;
	<ul style="list-style-type: none"> ■
All workers	
All construction site workers	<ul style="list-style-type: none"> ■ Comply with all HSE requirements; ■ Understand their responsibilities and implement the requirements of this Procedure; ■ Participate in site induction training and other relevant HSES related training if required; ■ Report on any activities which demonstrate deviations from – or non-compliance with – this Procedure's requirements; and ■ Report any incidents, unsafe situation, or issues to their supervisors and stop work on the grounds of danger to life or the environment and report this immediately to the Site Manager

Role	Responsibilities
	<ul style="list-style-type: none"> ■ Report any chance find to the direct supervisor, Health & Safety Site Supervisor and be prepared to stop work if required.

For the complete list of HSES roles and responsibilities at a general project level, refer to the Voltage HSES Plan.

4.0 MITIGATION MEASURES/ACTIONS AND MONITORING ACTIVITIES

The following table (Table 2) details the environmental management and mitigation measures/actions identified for chance find-activities during construction phase. For each measure/action identified, the table shows:

- **Item:** identification code of the mitigation measure/actions (ID);
- **Measure/Actions:** description of the mitigation measure/actions;
- **Timeline and frequency:** frequency/timing of the measure/action;
- **KPI (Key Performance Indicator):** quantitative compliance indicator or qualitative acceptance criteria to be used to confirm the actual effectiveness of the mitigation measure/actions. KPIs are established to measure the effectiveness of the traffic management taking into consideration the local conditions and objectives. KPIs provide valuable feedback on implemented measures, helps to motivate managers and workers to undertake appropriate actions and are valuable for external communication purposes.
- **Target:** final qualitative or quantitative objective to comply with;
- **Verification Method:** internal audit or specific monitoring activity to verify the measure application; and
- **Responsibility:** responsible party in the organization for implementing both the mitigation measures/actions and monitoring activities;

Mitigation measures are defined and are presented in the table according to the “mitigation hierarchy” requiring that priority and preference are given to avoidance measures, while minimization and rehabilitation/restoration measures should be used only if avoidance is not possible, and offsets for impacts, only as the last resort. Moreover, the mitigations included in the table have been designed to be adaptive in response to the results of monitoring actions described in the last part of the table.

The aim of monitoring is to verify whether the residual impacts are under control and mitigation measures/actions are effective.

In case monitoring will demonstrate non-conformities or unexpected residual impacts, the HSES manager will evaluate the situation and, if needed, propose changes and integrations to the mitigation and monitoring activities included in the present CFP. The proposed changes will be evaluated and approved by the Voltage’s Project Manager who will also ensure that action/measures and monitoring activities are carried out timely and adequately.

Table 2: Mitigation measures/actions for construction phase.

Mitigation measure						Monitoring activities		
Item	Mitigation Measures/Actions	Timeline and frequency	KPI	Target	Responsibility	Verification method	Frequency	Responsibility
CH-1	<u>Minimization:</u> <u>Cultural Heritage</u> <ul style="list-style-type: none"> ■ Implement CFP during construction phase 	Pre-construction and during all period of construction phase	Adopt/Implementation CFP during Construction Phase	100% dissemination of the CFP to all Project entities	Owner HSES Manager Health & Safety Site Supervisor	<u>Monitoring activities:</u> <ul style="list-style-type: none"> ■ Conduct periodical internal audits, to ensure that the Procedure is known at all levels of the organization and implemented; ■ Keep the records of the internal audits of trainings conducted including test pass rates. 	Quarterly during the entire construction phase and upon the hiring of any worker that will participate in CFP training.	EPC Contractor E&S Specialist
			All workers attended training on CFP prior to starting work.	Training/Briefing on CFP provided to all workers				
			All workers sat in tests and passed	All workers passed chance finds tests				

5.0 CHANCE FIND PROCEDURE

This Section includes the Chance Find Procedure, which shall be followed encountering of any potential chance finds. It provides the training requirements and guidance for Contractors and Sub-Contractors to ensure that their training activities are carried out according to international best practices, local regulations and requirements, including international standards.

If any EPC Contractor/Subcontractor worker discovers a physical cultural resource, such as (but not limited to) archaeological sites, historical sites, remains and objects, or a cemetery and/or individual graves during excavation or construction, the following steps shall be taken:

- 1) Stop all work in the vicinity of the finds/remains and create a protection buffer around the area to avoid damaging the site/finds/remains with potential archaeological and heritage importance and ensure that no workers enter the area or continue construction activities;
- 2) Immediately notify the EPC Contractor HSE Coordinator about the potential chance find;
- 3) Workers, including the EPC Contractor HSE Coordinator are not allowed to alter in any way the find; the only actions that may be performed are those necessary to guarantee safety of workers;
- 4) The HSES Manager shall inform the competent institution (Cultural Heritage Agency) within 24 hours from the time of discovery;
- 5) The HSES Manager shall provide the Cultural Heritage Agency with full access to the find and organizes construction activities, in collaboration with contractors and subcontractors, and shall provide the Cultural Heritage Agency with all the necessary assistance (if required). The HSES Manager also guarantee full safety to Cultural Heritage Agency's personnel on Site (by providing all the necessary trainings, inductions prior to commencing the investigation/excavation);
- 6) Based on outcomes of the investigations performed, the Cultural Heritage Agency, in consultation with the HSES Manager and any other archaeological experts involved will decide how to handle the finding. This could include changes in the layout (such as when finding an irremovable remain of cultural or archaeological importance) conservation, preservation, restoration and salvage;
- 7) If required by the Decision of the Cultural Heritage Agency, the HSES Manager, in collaboration with the contractors and subcontractors, shall implement all necessary actions included in the decision;
- 8) Construction works can resume only after written permission is granted by the Cultural Heritage Agency; and,
- 9) Once authorisation to resume work activities is obtained by the Cultural Heritage Agency, the E&S Supervisor shall document the permit/authorisation and inform the HSE Coordinator that work activities can resume. The Health and Safety Supervisor shall carry out any required corrective action following a chance find event and report to the HSES Manager, who will prepare a report for each chance find, as indicated in section 0 below.

6.0 AUDIT AND REVIEW

The correct implementation of this Procedure is verified through internal inspections and audits. The schedule, the frequency, the scope and objectives of the audit as well as the responsible internal \

auditors shall be selected on the basis of Section 10.2. of the Voltaia HSES Monitoring Plan (Monitoring and Measurement of HSE Performance).

Internal auditing shall address:

- the correct implementation of all applicable standards (Uzbek regulatory framework, IFC PSs, EBRD PRs and WBG General EHS Guidelines);
- the correct implementation of this Procedure;
- the correct implementation of Contractors/Subcontractors' CFP to reflect the requirements of this Procedure;
- the development and timely implementation of an auditing and review system by Contractors/Subcontractors; and,
- the implementation of the points indicated in the table in section 0 (mitigation measures/actions and monitoring activities) of this Procedure;

Evidence and results of the inspection and audit activities shall be included in the audit reports and in the "Non-Conformity and Preventive/Corrective actions" records, and in the HSE performance report for Management review, as expressed in Section 4.1. of the Voltaia HSES Monitoring Plan (Monitoring and Measurement of HSE Performance).

Voltaia's HSES Manager will review results of inspections and audits and the progress of the implementation of any Preventive/Corrective actions; if necessary, additional appropriate actions will be taken according to the indications included in Preventive Instructions List – Appendix P of the HSES Management Plan.

Additional details related to the construction phase of the Project are expected in due course; it is therefore recommended that this Procedure is subject to a systematic review process during the construction phase in order to encompass and consider any information relevant to chance find matters. This Procedure will be reviewed based upon need on the basis of the occurrence of chance finds or significant changes to the Project. Revision of this Procedure will be the responsibility of the Project Manager, in collaboration with the HSE Manager, who is in charge of this Procedure's implementation.

7.0 TRAINING REQUIREMENTS

This Section provides the training requirements and guidance for Contractors and Sub-Contractors to ensure that their training activities are carried out in compliance with this Procedure.

7.1 CFP Induction Training

The EPC Contractor, through the HSE Manager and the EPC Contractor Management, will be responsible for providing to all workers involved in the construction activities, including staff and workforce of Sub-Contractors, with a CFP induction training (presentation or video) before the commencement of any activity at the working site, as well as a copy of the CFP. Attendance at CFP Induction Training shall be mandatory and include all staff and workforce. Any new employee and contractor shall receive the same induction information. The individual should be taken through the induction by an experienced person. The CFP induction training will be aimed at providing workers with basic information about project-related chance finds and impacts and the prevention, mitigation measures in place in order to ensure any potential undiscovered tangible cultural heritage items/sites are protected during potential chance finds.

8.0 REPORTING

This section provides instructions and requirements for the reporting on the implementation of mitigation measures/actions, monitoring activities and internal auditing.

8.1 Reporting of the monitoring activities

Evidence and results of the monitoring activities (detailed in Table 2) must be described in detail in appropriate monitoring reports to be prepared as frequent as indicated in the table. These monitoring reports must include the following minimum information/data (where relevant):

- Scope and Purpose of the monitoring activity;
- Reference to the approved CFP.
- Description of the monitoring effort and applied methodology, including start and end dates of the monitoring period covered by the report, location of monitoring activities (geographical coordinates in WGS84 system and elevation) and map of surveyed areas;
- Timing of data collection (start date and end date);
- Applicable KPI according to Table 2.
- Conclusions on compliance vs. KPI, and eventual observations including the reasons for the deviations, if applicable;
- Name and personal data of staff responsible for implementing the specific monitoring activities (including reference to this Procedure and reference to the appointment of third parties eventually contracted to perform part of the activity, e.g., external laboratories and consultants);
- Implications, modifications, adjustments and/or recommendations that could be adopted in response to observed results from the monitoring activities and any other recommendations for improvements to the CFP;
- Suggestions for future projects based on lessons learned;
- Quality control procedures applied to ensure consistency and reliability of the analyses or results;

- Analytical certificates from the laboratory/ies (where applicable).
- Summary of any traffic-related incidents or accidents, Analysis of the root causes and lessons learned and documentation of any corrective actions taken.

8.2 Reporting of the auditing activities

The implementation of this Procedure must be audited according to the requirements included in Votalia's E&S Management System and section 0 "Audit and review" of this Procedure.

Evidence of the implementation of the mitigation measures/actions, of the timely deployment of monitoring activities (detailed in section 0) and of related results are described in the audit reports. These audit reports must include the following minimum information/data:

- List of the items audited (detailed in section 0)
- Information whether the items have been implemented within the indicated timeline and frequency;
- Achievement (or not) of the KPIs;
- Description of non-compliances eventually identified; and,
- Description of correction measures to be applied.

8.3 Reporting of Chance Find during the Works

One of the main requirements of the Procedure is record keeping. All finds must be registered. Photolog, copies of communication with decision making authorities, conclusions and recommendations/guidance, implementation reports – kept.

Once authorisation to resume activities is obtained by the Ministry, the HSES Manager (with the support of the Health and Safety Supervisor) will have to prepare a report for the chance find. The report will have to include at minimum the following information:

- Location of the find;
- Photographs;
- Description of the find;
- Timeline and description of actions implemented;
- Decisions and agreements taken with the Authority;
- Possible future actions to be implemented;
- Date of closure of the process.

Any additional report or document relative to the find must be filed together with the report. Reports will be shared with the Site Manager/Project Manager, including the relevant EPC Contractor/Subcontractor(s) Representatives, if needed.

Reports and all other documents will be properly filed and stored by the HSES Manager.

Signature Page

Table 3: Details of the Undersigned

Name (position)	Entity	Date	Signature