



**Oyu Tolgoi LLC**

Social Performance

Cultural Heritage Management Plan

<b>Cultural Heritage Management Plan</b>		
Effective Date: 2013.09.01	Document Number: OT-10-PLN-0002-E	Version: 1.2

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## 1. INTRODUCTION

### 1.1 Purpose

The purpose of this Management Plan is to:

- define the scope of the Management Plan and set out applicable management interfaces;
- define roles and responsibilities;
- outline the applicable Project Standards relevant to this Management Plan;
- define Project commitments, operational procedures and guidance relevant to this Management Plan;
- define monitoring and reporting procedures, including Key Performance Indicators;
- defined training requirements; and
- set out references for supporting materials and information.

### 1.2 Application

The requirements set out in this Management Plan apply to all Oyu Tolgoi (OT) activities including contractors.

This Management Plan is based on the Rio Tinto Communities and Social Performance standard, issued 1 April 2015<sup>1</sup>, which is owned by the Rio Tinto global practice leader - Communities & Social Performance. Any subsequent changes to the Rio Tinto Communities and Social Performance standard may result in the changes to this OT Management Plan.

### 1.3 Commencement

This Management Plan applies from 1<sup>st</sup> September 2013.

### 1.4 Authority and Management

The OT Executive Committee will approved this updated Management Plan on September 1<sup>st</sup>, 2013.

The OT General Manager Social Performances is the custodian of this Management Plan. This Management Plan will be reviewed on a two year period to determine whether any changes or updates are required to the plan unless a more frequent update is required to reflect changing design or procedures. Any requests for changes to this Management Plan must be addressed to this person and will be subjected to the appropriate review and approval processes as outlined in the Management of Change (MOC) procedure.

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<sup>1</sup> See at [http://www.riotinto.com/documents/RT\\_Management\\_System\\_Standard\\_2015.pdf](http://www.riotinto.com/documents/RT_Management_System_Standard_2015.pdf)

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## 2. SCOPE

### 2.1 Scope of this Management Plan

This Management Plan covers all OT operations including contractor activities. The measures described in this Management Plan are implemented through the Cultural Heritage Management System Procedures. Cultural heritage assessments for further infrastructure will be determined by the use of OT's Land Disturbance Procedure (OT-10-E9-PRC-0003-E) and by the screening process undertaken as part of the environmental assessment process undertaken within the framework of the Law on Environmental Impact Assessment.

Implementation by contractors is addressed in the Contractor Management Framework (OT-07-PLN-0001-E).

#### Cultural Heritage – Definition

OT follows the Rio Tinto definition of cultural heritage which applies across all of Rio Tinto's global operations. Rio Tinto defines cultural heritage as:

*The collective social manifestations of a community, generally handed down by tradition or with some historical association. The manifestations can be tangible, such as buildings, industrial structures and technology, landscapes and artefacts; and intangible, such as language, visual art, music, performance and customary practice.*

Rio Tinto defines a cultural heritage feature/site as:

*A place or object to which is ascribed cultural, spiritual, aesthetic, historic, scientific, research or social significance for past, present or future generations. This can include places of 'sacred' significance to traditional custodians, such as burial sites, performance grounds, rock art, waterholes, and hills or other physical manifestations of mythological or historical events. It also can include structures, places or remains of archaeological, industrial, paleontological, historical, religious or cultural significance at a local, regional, national and international level; may also have a more specific, legislative definition.*

This management plan aligns with these definitions which are appropriate to the cultural heritage values of the South Gobi where both tangible and intangible cultural heritage values occur.

The South Gobi area contains a wide range of tangible and intangible cultural heritage values. There is a long history of research in the region, much of which was undertaken during socialist times. Since 2002 the Mongolian Academy of Sciences has conducted 79 (48 archaeological, 18 paleontological and 13 ethnographic) cultural heritage assessments for OT which have greatly furthered the understanding of the region.

The cultural heritage values of the South Gobi region within which OT operates have been described in detail in the Mongolian International Heritage Team (MIHT) authored Phase 1 report (*Protecting the Past, Preserving the Present: Report on Phase 1 Activities of the OT Cultural Heritage Programme for Ömnögovi Aimag*) are therefore only briefly summarised here. .

#### Types of Cultural Heritage Covered by this Plan

##### *Intangible Cultural Heritage*

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There are very important intangible cultural heritage values associated with traditional Mongolian life and nomadic herding including song, music, crafts, language, spiritual beliefs, oral history and traditional Mongolian script across the South Gobi. Intangible values may also be associated with tangible places and objects. These can be both natural aspects of the landscape such as mountains (e.g. Javkhant Mountain which also features many petroglyphs) and constructed features (e.g. ovoos). Many other sacred sites have been identified across the South Gobi associated with myths, rituals and stories. The Phase 1 report indicates that intangible cultural heritage values are of very high importance for the local community.

### *Tangible Cultural Heritage*

Tangible cultural heritage includes both archaeological and paleontological remains. Archaeological remains extending from the Palaeolithic (Stone Age) through the various metal ages and into the recent present with the destruction of Buddhist monasteries by the socialists in the 1930s occur widely across the region. These periods are reflected by a large range of archaeological remains including Palaeolithic stone artefact sites, slab graves, deer statues, rock art, urban settlements, graves, statues and the ruins of Buddhist monasteries.

The South Gobi region is also well known for its rich paleontological heritage of dinosaurs and petrified wood reflecting past environments and climates. Some dinosaur discoveries are of international significance and include the site of Shar Tsav which unusually consists of both dinosaur footprints and bones in the same location.

## **2.2 Overlaps with other Management Plans**

This Management Plan is part of the overall suite of Operations Management Plans developed for the OT Project and as described in the Environmental and Social Management Plan (ESMP) Framework (OT-10-PLN-0003-E).

This Management Plan has overlaps and cross-linkages to a number of other Management Plans, including:

- the Land Use Management Plan (OT-10-E14-PLN-0001-E), particularly in relation to implementation of the Land Disturbance Permit system;
- the Water Resources Management Plan (OT-10-E11-PLN-0001-E), particularly in relation to the Undai River and Bor Ovoo spring;
- the Stakeholder Engagement Plan (OT-10-PLN-0008-E), particularly in relation to community consultation requirements;
- the Contractor Management Framework (OT-07-PLN-0001-E), particularly in relation to contractor cultural heritage management plan requirements;
- the Influx Management Plan (OT-10-PLN-0007-E), particularly in relation to the protection and maintenance of intangible heritage, traditional livelihoods and practices;
- the Atmospheric Emissions Management Plan (OT-10-E12-PLN-0001-E), particularly in relation to the control of dust; and
- the Labour Management Plan (HR-10-PLN-0001-E), particularly in relation to the Camp Standard and Code of Behaviour (HR-ST-01).
- the Transport Management Plan

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### 3. ROLES AND RESPONSIBILITIES

#### 3.1 Key Roles and Responsibilities for Management Plan Implementation

Principal roles and responsibilities for the implementation of this plan are outlined below.

**Table 1: Key Roles and Responsibilities**

<b>Role</b>	<b>Responsibilities</b>
<b>General Manager Social Performance</b>	<ul style="list-style-type: none"> <li>Overall accountability for the Cultural Heritage Management Plan (CHMP).</li> <li></li> </ul>
<b>Manager Community assistance and partnership</b>	<ul style="list-style-type: none"> <li>Fully aware of the CHMP and ensuring appropriate resources to implement.</li> <li>Primary contact for OT Site personnel for MP implementation .</li> </ul>
<b>Manager Compliance and Governance</b>	<ul style="list-style-type: none"> <li>Monitoring the implementation of this MP and reporting on it;</li> <li>Ensuring this MP is revised on a periodical basis; and</li> <li>Coordination and preparation for auditing and inspecting</li> </ul>
<b>Superintendent Regional participation (Social)</b>	<ul style="list-style-type: none"> <li>Development and implementation of the CHMS and this CHMP.</li> <li>Conduct of Cultural Heritage (CH) assessment processes.</li> <li>Development of CH site protection plans.</li> <li>Consultation with and seeking CH approvals from relevant government bodies and community groups.</li> <li>Processing CH component of Land Disturbance Permits (LDP's).</li> <li>Ensuring that the CH Geographical Information System database is up to date and integrated into OT's business processes e.g. the LDP process.</li> <li>Ensuring activities do not disturb CH sites without appropriate approvals.</li> <li>Investigation, reporting and follow up of unauthorised site disturbances or procedural breaches.</li> <li>Ensuring that OT undertakes a monitoring programme of significant and CH sites at risk.</li> <li>Ensuring that site personnel involved in projects that may disturb CH receive appropriate training and inductions so that they understand their CH responsibilities.</li> <li>Management of statutory or policy changes.</li> </ul>
<b>OT leaders (particularly off site)</b>	<ul style="list-style-type: none"> <li>Understand and comply with OT CHMS – primarily through the Land Disturbance Permit Procedure which includes a checklist to enable project</li> </ul>

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<b>projects)</b>	managers to identify whether cultural heritage issues may be encountered and provides guidance and a framework for engaging the appropriate specialists within OT in the assessment and mitigation of potential impacts.
<b>Contractors</b>	<ul style="list-style-type: none"> <li>• Comply with OT cultural heritage management procedures.</li> <li>• Comply with OT cultural heritage management requirements set out in contractor contracts.</li> </ul>
<b>All Workers</b>	<ul style="list-style-type: none"> <li>• Be familiar with OT cultural heritage management procedures through induction training and other training provided.</li> </ul>

**Table 2: Key Stakeholders**

<b>Stakeholder</b>	<b>Area of interest/interaction</b>
<b>Ministry of Education, Culture and Science</b>	The GOM's central administrative body responsible for sector-wide law and policy formulation, planning, regulation and supervision and ensuring the implementation of culture heritage activities and standards.
<b>Mongolian Academy of Sciences</b>	Central scientific think tank with mission to develop science and technology, provide advice for the decision making governmental bodies in Mongolia.
<b>Umnugobi aimag and soum relevant organizations</b>	Regional and local organizations in charge of cultural heritage policy implementation, including management of financial and material resources.
<b>Civil society</b>	Professional associations, local NGOs and private non-for-profit sector organisation to bring in opportunities that are mutually supportive and lead to overall improvement of the cultural heritage
<b>Relationship Committee</b>	<p>The Relationship Committee oversees all interactions between OT, Umnugobi Aimag and the Partner Communities in the Cooperation Area. It is the forum where local government and community representatives and senior OT operations managers meet regularly to discuss and review the future, current and past impact of the OT Project on Umnugobi Aimag and Partner Communities. Its two primary purposes are:</p> <p>(a) to ensure comprehensive and transparent consultation on all Obligations and Commitments involving community interaction; and</p> <p>(b) to review submissions regarding DSF Proposals and provide recommendations to the DSF Board on the suitability of DSF Proposals and their priority having regard to the DSF Funding Criteria, including government policy and planning, the long-term development trajectory of the OT Project and the Parties' joint vision for long-term sustainable development.</p>



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<b>Stakeholder</b>	<b>Area of interest/interaction</b>
	For further details refer to Cooperation Agreement Schedule 2
<b>Gobi Oyu Development Support Fund (DSF)</b>	The DSF was established in September 2015 as an independent legal entity. It is responsible for an implementation mechanism for Cooperation Agreement. Key objective is to improve the wellbeing and capacity of Umnugobi Aimag communities by supporting Projects and Programs that target social infrastructure and the expansion of broad-based economic participation in the Partner soums. For further details refer to Cooperation Agreement Schedule 3

### 3.2 Key Interfaces

Key interfaces in the implementation of this Management Plan (i.e. roles with responsibility for delivering elements of this Management Plan) include:

- Environment and Biodiversity team, particularly in relation to LDPs;
- Training team, particularly in relation to cultural awareness inductions/training;
- Government Relations team, particularly in relation to government engagement and establishment of the Gobi Region Cultural Heritage & Development Studies Centre;
- Camp and Site Services, Human Resources and Contractor engagement teams, particularly in relation to implementation of the OT Camp Standard and Code of Behaviour (HR-ST-01); and
- Transportation Manager, particularly in relation to Transport controls.

### 3.3 Cooperation Agreement (CA)

The Cooperation Agreement commenced with the signing of a Memorandum of Understanding between the Omnogovi aimag (UA), Khanbogd (KB) soum and Oyu Tolgoi LLC in April 2011, setting out the broad objectives of the CA. A Process Agreement, which set out the principles of negotiation and key procedures, was signed in September 2012. Subsequently, the Cooperation Agreement has been signed by Umnugobi aimag, and the Khanbogd, Manlai, Bayan-Ovoo and Dalanzadgad soums and Oyu Tolgoi LLC on 22 April 2015.

The agreement sets out how the parties will work together towards sustainable development of South Gobi aimag and KB/Partner soums. Under the agreement, the following important topics of mutual interest were identified:

- Water Management – Schedule 4
- Environmental monitoring and protection – Schedule 5
- Traditional Animal Husbandry and Pasture Land Management – Schedule 6
- National History, Culture and Tourism – Schedule 7
- Basic Social Services (Health, Culture, Education, Vocational Training and Employability) – Schedule 8
- Local Enterprise Development, Goods, Services Procurement – Schedule 9
- Public Infrastructure and Capital Project – Schedule 10

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### 3.3.1 CA Thematic Schedule 7: National History, Culture and Tourism

This schedule of cultural heritage identifies obligations and commitments between OT and local government agencies related to cultural heritage topics.

#### 1. Part one – Commitments

OT has the following Commitments in relation to national history, culture and tourism and the Partner Communities:

- a. OT will comply with Mongolian Cultural Heritage Law and other applicable legal and statutory requirements in relation to the protection of the cultural heritage of Partner Communities.
- b. OT will maintain a Cultural Heritage Management Plan (a CHMP) and a Cultural Heritage Management System (a CHMS) designed, amongst other things, to protect Umnugobi Aimag cultural heritage during the development and continued operation of the OT Project.

#### 2. Part two – Obligations

The Parties (Umnugobi Aimag, Khanbogd Soum and OT) have agreed the following Obligations:

- a. The Parties agree to work together and with other relevant parties to identify ways to preserve and promote Umnugobi Aimag cultural heritage and history.
- b. The Parties agree to work together and collaborate with relevant Mongolian Governmental Authorities and other relevant parties to implement OT's CHMP to protect the Partner Communities' tangible and intangible cultural heritage.
- c. Umnugobi Aimag will direct and lead efforts to protect Umnugobi Aimag's natural heritage and tangible and intangible cultural heritage.
- d. Umnugobi Aimag will take an active part in the establishment and ongoing operations (including by ensuring and organising the cooperation of the relevant stakeholders) of the proposed 'Gobi cultural heritage study and development centre' which will be aimed at protecting and promoting studies of Umnugobi Aimag history and cultural heritage.
- e. The Parties agree to work together in the identification of projects and programs which have the potential to qualify for support from the DSF and, through the Relationship Committee, support suitable proposals that aim to foster the continuity and development of the 'living culture' of Partner Communities.
- f. OT will inform the Relationship Committee, Partner Communities, the Institute of History and Archaeology and the Institute of Palaeontology in advance of any planned excavation or mining in new areas.
- g. OT's land disturbance procedures will require that archaeological, paleontological and ethnographic preservation investigations be undertaken in advance to ascertain whether land disturbance can be avoided through design and placement.
- h. OT will select construction designs and placements that, to the greatest extent practicable, minimise or avoid impact on identified places of historical and cultural importance.
- i. OT will involve the Institute of History and Archaeology in any OT-commissioned historical and ethnographic surveys.
- j. OT will maintain and share with the Relationship Committee and Partner Communities, for informational purposes, a list of traditional sacred places located in the Cooperation Area, inclusive of landscape, natural features such as mountains and springs that have spiritual or sacred value to local residents, as well as cairns, ovoos and burial places. Myths, taboos and rituals associated with these places may also be recorded.
- k. OT will adhere to a 'chance finds procedure' during land clearance and related construction activities and organise rescue excavations if identified by the Institute of History and Archaeology or the Institute of Palaeontology and Geology as necessary.
- l. OT will include training in the 'chance finds procedure' in OT's employee and contractor induction program and include 'chance finds procedure' requirements in all contractor and sub-contractor

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- contractual requirements. OT will provide all personnel and contractors involved in land clearance work with training in the 'chance finds procedure'.
- m. When requested through the Relationship Committee, OT will implement a ground-breaking ceremony involving the local community in the blessing of any new OT construction site.
  - n. OT will provide induction to OT employees and contractors on cultural heritage awareness, including cultural sensitivities associated with sites of living and tangible cultural heritage and elements of the natural landscape that are ascribed spiritual significance by the Partner Communities.
  - o. By agreement through the Relationship Committee, the Parties will prepare and distribute awareness-raising materials about the importance of cultural and historical heritage.
  - p. The Parties agree to work together collaboratively to support the development of tourism in Partner Communities with the aim of creating additional sources of income and eventually minimizing the Partner Communities' economic dependence on mining.

OT's Cultural Heritage programs will, in many cases, be implemented under the CA framework in accordance with the CA commitments and obligations while ensuring commitments through this plan are achieved. This approach of working through the CA has been appropriate to promote sustainable development through empowering local institutes and community members.

In 2015, Social Performance department has shifted a strategic focus from project delivery to community empowerment and changed implementation mechanism for management controls. Following key principles to apply:

- Any identified, direct and adverse impact mitigation management controls will be implemented by OT and it will be a sole responsibility of OT.
- Any projects and programs that are preventing from any future impacts will be managed through CA and DSF (auditable by IESC audit).
- The mitigation of any direct adverse impacts identified in future for which no management controls are yet in place and which are not adequately addressed under any of the programs managed through the CA and DSF in place, will be the responsibility of OT.

### 3.4 Summary of Applicable Project Standards

OT will comply with the more stringent of national standards, applicable lender standards and applicable Rio Tinto and OT standards, with the more stringent standards representing the Project Standards.

Applicable Project Standards are summarised below.

**Table 3: Applicable Project Standards**

Project Standard	Requirements
Protection of CH Law of Mongolia	<ul style="list-style-type: none"> <li>• Requires that an authorised organisation undertake archaeological exploration and survey prior to mineral exploration or mining development.</li> <li>• Activities cannot proceed without a permit from the authorised archaeological organisation.</li> <li>• If items of CH value are discovered, and may be at risk, immediate notification to the <i>soum</i> Governor and protection of the site.</li> </ul>

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Project Standard	Requirements
	<ul style="list-style-type: none"> <li>The excavation, relocation or destruction of immovable items of cultural or heritage value is prohibited without the explicit authorisation of Ministry for Education, Culture and Sciences.</li> </ul>
Minerals Law of Mongolia	Licence holders shall fully-compensate owners and users of historic and CH for damages caused to by exploration or mining operations.
Detailed Environmental Impact Assessment (DEIA) Requirements	Implement protective fencing, Chance Finds Procedure (CFP), contractor awareness training on CH and CFP.
World Heritage Convention	<p>The Government of Mongolia is a signatory of the World Heritage Convention. While it is not directly applicable to OT, the principles of the Convention are implemented in Mongolia through CH law and policy.</p> <p>As a signatory, the Mongolian government has pledged to conserve World Heritage sites in its territory and its national heritage. It is encouraged to integrate the protection of cultural and natural heritage into regional planning programmes, set up staff and services at their sites, undertake scientific and technical conservation research and adopt measures which give this heritage a function in the day-to-day life of the community.</p>
Safeguarding of Intangible Cultural Heritage Convention	<p>The Government of Mongolia is a signatory of the <i>Convention on Safeguarding Intangible Cultural Heritage</i>. While it is not directly applicable to OT, the principles of the Convention are implemented in Mongolia through CH law and policy.</p> <p>As a signatory the Mongolian government has agreed to safeguard intangible CH present in its territory through i) identifying the various elements of intangible CH present in its territory and designating a competent body responsible for its safeguard, and ii) adopting appropriate legal, financial and other measures to manage, document and grant access to intangible CH.</p>
IFC Performance Standard 8: Cultural Heritage	<ul style="list-style-type: none"> <li>Project siting and design will avoid significant damage to CH.</li> <li>Project (teams) will consult with affected communities and relevant government agencies to identify CH items of importance and incorporate their views into decision making process.</li> <li>Project to design and implement a <i>Chance Finds Procedure</i>.</li> <li>'<i>Critical cultural heritage</i>' shall not be significantly altered, damaged or removed.</li> <li>Requirements for community consultation, negotiation, consent and benefits <b>if</b> Project is to commercialise or exploit intangible CH maintained by local communities.</li> </ul>
EBRD Performance Requirement 8: Cultural	<p>The objectives of PR 8 are:</p> <ul style="list-style-type: none"> <li>To support the conservation of CH in the context of EBRD-financed</li> </ul>

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<b>Project Standard</b>	<b>Requirements</b>
Heritage	<p>projects.</p> <ul style="list-style-type: none"> <li>• To protect CH from adverse impacts of Project activities.</li> <li>• To promote the equitable sharing of benefits from the use of CH.</li> <li>• To promote the awareness of, and appreciation of, CH where possible.</li> </ul>
Rio Tinto Communities and Social Performance standard (Clause 1.6)	<p>CH must be managed in consultation with relevant communities. Tangible CH features and an understanding of intangible cultural values must be documented. To manage documented heritage values businesses must:</p> <ol style="list-style-type: none"> <li>a) develop and implement a fit for purpose CHMS;</li> <li>b) design and locate activities to avoid damage to non-replicable CH wherever practicable;</li> <li>c) if disturbance is unavoidable, seek approval as appropriate from those for whom the CH feature has significance;</li> <li>d) address any industrial and historical heritage features and values of the business, particularly during closure; and</li> <li>e) address changes that are occurring in local intangible values, where the changes are a result of interaction with the business.</li> </ol>

**Cultural Heritage Management System**

OT has established a CHMS which is a set of procedures and processes to ensure the management and protection of cultural heritage and enable OT to meet its cultural heritage management obligations and commitments.

The main CHMS processes and procedures include:

- Community consultation
- Land Disturbance Permits
- Cultural heritage assessments
- Cultural heritage site protection plans
- Cultural heritage management and mitigation measures
- Training and inductions
- Information and data management (including the CH GIS)
- Monitoring and incident management process (including *Chance Finds Procedure*).

*Triggers for a Cultural Heritage Assessment*

The key triggers that initiate a Cultural Heritage Assessment are:

- Land Disturbance Permit: Cultural heritage assessment will be required if the area covered by the LDP has not previously been assessed.

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- Project Planning – Concept Level Cultural Heritage Assessment: The Rio Tinto Study Definition Guidance Note and Community and Social Performance Projects Roadmap clearly set out the level of cultural heritage assessment required for each stage of Project planning and execution.

### ***Cultural Heritage Programme***

The OT Cultural Heritage Programme report (CHP – also previously referred as CHP Phase II) provides a long term strategy for the protection of cultural heritage in the south Gobi. This includes the cultural heritage framework and programmes to protect the intangible heritage of the OT Direct Impact Zones (DIZ) and Indirect Impact Zones (IIZ). CHP implementation, as set out in the CHP report, is based upon the establishment of a new Gobi Cultural Heritage Studies Centre (GCHSC), as part of the Mongolian Academy of Sciences (MAS). The Centre will collaborate with the *aimag* and *soums*, OT and other stakeholders to develop and implement the framework and programmes that will ensure long term cultural heritage protection.

Implementation of the CHP as part of this OMP is focused upon:

- 1) working with MAS, south Gobi *aimag* and *soum* governments and organisations, and other stakeholders to establish the GCHSC (as listed in *Table 4*); and
- 2) partnering with relevant stakeholders to undertake specific cultural heritage protection programmes in line with the priorities identified in the CHP during the transition period until the GCHSC is established.

## **4. MANAGEMENT CONTROLS**

A range of management controls have been developed to manage risks and impacts identified in the Project ESIA and Rio Tinto Communities and Social Performance standard. The key implementation tool for the Control Descriptions set out below is the Cultural Heritage Management System Procedures guide.

The key management controls are set out below together with references to documentation where further information on implementation is set out.

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**Table 4: Key Management Controls**

ID	Topic/ Aspect	Applicability/ Activity	Control Description	Responsible Parties	Means of verification
CH01.1	Loss of CH sites / objects	Mine, Infrastructure + other OT Licence Areas  OT activities on 3 <sup>rd</sup> party lands	Implement OT CHMS procedures, including CH component of Land Disturbance Permits. - ongoing	Social Pperformance (SP), HSE , Construction Geology	CHMS audit + inspection programme  CHMS monitoring programme reports  Land Disturbance Permit audits
CH01.2	Loss of CH sites / objects	Construction and operations activities	Provision of cultural heritage and chance finds procedure induction to OT personnel and contractors. - ongoing	Training SP	Training materials Training records
CH01.3	Loss of CH sites / objects	Mine Licence Area	Implement OT Hill Cultural Heritage Site Protection Plans (CHSPP), including creation of replica model for public display at suitable local location. - pending completion of new museum building	SP <i>Local government + organisations</i>	Audit + inspection programme
CH02.1	Indirect disturbance to CH sites/objects	Operations / Project related activities	Implement OT CHMS procedures (include physical protection and monitoring of identified cultural heritage sites at risk (demarcation, fencing, signage)) – ongoing	SP	Audit + inspection programme  CHMS monitoring programme reports
CH02.2	Indirect disturbance to CH sites/objects  Impacts on intangible heritage	Operations / Project related activities	Pre 2015, Implemented CHP in partnership with National and local government, local organisations, and other stakeholders, in particular the Public Programmes-  Post 2015, this will be implemented through CA	SP through Cooperation Agreement Relationship Committee (CA Thematic Schedule	Audit programme - correspondence, programme reports

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ID	Topic/ Aspect	Applicability/ Activity	Control Description	Responsible Parties	Means of verification
			schedule 7 National History, Culture and Tourism.	7 National History, Culture and Tourism)  <i>National + local government, local organisations + other stakeholders</i>	
<b>CH03.1</b>	Deliberate disturbance / desecration of CH sites / objects	Operations / Project related activities	Provision of cultural awareness training to OT employees and contractors – ongoing	Human Resources SP	Training materials Training records
<b>CH03.2</b>	Deliberate disturbance / desecration of CH sites / objects	Operations / Project related activities	Identification and protection of traditional sacred places and associated cultural traditions / norms of behaviour as part of OT CHP	SP through Cooperation Agreement Relationship Committee (CA Thematic Schedule 7 National History, Culture and Tourism)  <i>National + local government, local organisations + other stakeholders</i>	Audit programme - reports + outputs



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ID	Topic/ Aspect	Applicability/ Activity	Control Description	Responsible Parties	Means of verification
CH03.3	Deliberate disturbance / desecration of CH sites / objects	Operations / Project related activities	Stakeholder Engagement Plan to include procedure to consult with herders, local community and stakeholders on LDPs, site documentation and monitoring and incidents. - ongoing	SP	Audit and inspection programme
CH04.1	Impacts on intangible heritage		Support for Nadaam Festival (to continue annually) and other <i>soum</i> cultural events in DIZ and IIZ .- ongoing  Post 2015, this will be implemented through CA schedule 7 National History, Culture and Tourism.	SP through Cooperation Agreement Relationship Committee (CA Thematic Schedule 7 National History, Culture and Tourism)	Audit programme - Records of funding requests and payments
CH04.2	Impacts on intangible heritage		Construction of, or financial support for, heritage museum extension in Khanbogd  Post 2015, this will be implemented through CA schedule 7 National History, Culture and Tourism.	SP through Cooperation Agreement Relationship Committee  Development Support Fund (CA Thematic Schedule 7 National History, Culture and Tourism)  Towns	Audit programme - engagement records, plans, funding records  Extension built

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ID	Topic/ Aspect	Applicability/ Activity	Control Description	Responsible Parties	Means of verification
				<i>National + local government, local organisations</i>	

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## 5. IMPLEMENTATION SCHEDULE

### 5.1 Review and Revision of this Management Plan

This Management Plan will be reviewed on every 2 years and any necessary revisions made to reflect the changing circumstances or operational needs of OT. Review and revision of this Management Plan will be the responsibility of OT General Manager Social Performance who is custodian of this Plan.

If material changes to operating procedures are required (as identified through the Management of Change procedure contained within the OT Health, Safety, Environment, Security and Communities (HSESC) Management System, this Management Plan may be updated on an “as required” basis.

### 5.2 Any revisions to this Management Plan will be uploaded to the OT Portal to ensure that all OT staff have access to the latest version of this Management Plan Key Implementation Milestones

Key implementation Milestones related to this Management Plan are set out below.

**Table 5: Key Implementation Milestones (2015 and beyond)**

<b>Activity</b>	<b>Target Date</b>
OT CHMS Procedures Guide finalised	Complete
OT CHMS Procedures Guide rolled out + implemented	Complete
OT Hill CHSPP fully implemented	End 2016
CHP implementation – establishment of government centre. It will be considered within DSF/CA framework <ul style="list-style-type: none"> <li>• Advisory Board recommence</li> <li>• Stakeholder Workshop</li> <li>• Gobi CH Studies Centre Feasibility Study</li> <li>• Establishment of Gobi CH Studies Centre by Mongolian Academy of Sciences</li> </ul>	Completed Feb 2013 Nov 2016  Jun 2016 (tbc)
CHP implementation – ongoing, It will be implemented through DSF <ul style="list-style-type: none"> <li>• CHMP developed for critical CH sites in DIZ</li> <li>• Capacity development training for soum cultural centre + museum + other employees</li> <li>• Soum cultural projects - various</li> <li>• MAS CH documentation, publication, management projects - various</li> </ul>	Completed May 2013 Completed Dec 2014  Ongoing Ongoing
<ul style="list-style-type: none"> <li>• Khanbogd museum extension - It will be implemented through DSF</li> </ul>	Aug 2016 (tbc)

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## 6. MONITORING

### 6.1 Overview of Monitoring Requirements

The Monitoring measures to be implemented during the operations phase to assess compliance with Project Standards (see *Section 4: Project Standards*) are described in this section.

In the event that monitoring identifies non-conformance with Project Standards, these will be investigated and appropriate corrective actions identified (see OT CHMS section 4, and Element 14 Non-conformance incident and action management of the OT HSESC MS).

### 6.2 Key Performance Indicators

**Table 6: Key Performance Indicators**

ID	KPI	Target	Monitoring Measure
CH-KPI 01	Reported non-compliances against the key management controls identified in this Environmental Management Plan	<ul style="list-style-type: none"> <li>Minimise number of reported non-compliances and target zero.</li> </ul>	<ul style="list-style-type: none"> <li>Review of records of Land Disturbance Permit Procedure</li> <li>Review of records of CHMS audit and monitoring reports</li> <li>Review incident reports</li> </ul>
CH-KPI 02	Reported completion of key management controls identified in the OT Hill CHSPP	<ul style="list-style-type: none"> <li>CHMP implemented, public display being accessed.</li> </ul>	<ul style="list-style-type: none"> <li>Review of records and CHMP audits</li> </ul>
CH-KPI 03	Reported non-compliances against the key management controls identified in CHSPPs	<ul style="list-style-type: none"> <li>Cultural heritage site protection plans developed and implemented. Minimise number of reported non-compliances and target zero.</li> </ul>	<ul style="list-style-type: none"> <li>Review of records and CHSPP audits</li> </ul>
CH-KPI 04	Number of staff completing Cultural Induction and Training	<ul style="list-style-type: none"> <li>Cultural Heritage induction in place and undertaken by all earthwork project personnel and contractors within six months of commencing work.</li> <li>Zero violation in relation to traditional sacred sites and features of living tangible heritage.</li> </ul>	<ul style="list-style-type: none"> <li>Review of training records</li> <li>Review of cultural heritage records and grievance records</li> </ul>
CH-KPI 05	Intangible CH documentation implemented	<ul style="list-style-type: none"> <li>Implementation of intangible Cultural Heritage documentation actions under the CHP.</li> </ul>	<ul style="list-style-type: none"> <li>Review of progress of CHP</li> </ul>

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<b>ID</b>	<b>KPI</b>	<b>Target</b>	<b>Monitoring Measure</b>
CH-KPI 06	Intangible CH protection implemented	<ul style="list-style-type: none"> <li>• Training of OT personnel and contractors to include intangible cultural heritage.</li> <li>• Implementation of actions under the CHP to preserve intangible cultural heritage.</li> <li>• Annual support for Nadaam Festival.</li> <li>• Khanbogd museum extension supported / built.</li> </ul>	<ul style="list-style-type: none"> <li>• Review of progress of CHP</li> <li>• Annual report of Cooperation Agreement outcomes</li> </ul>
CH-KPI 07	Number of cultural heritage related complaints from local communities	<ul style="list-style-type: none"> <li>• Investigate any complaints in relation to cultural heritage (desecration, disturbance, removal, trafficking of artefacts) and take appropriate action.</li> <li>• Provide rapid response to any complaints from local communities in relation to inappropriate cultural behaviour by personnel. Investigate and take appropriate action within timeframe specified in OT grievance procedure.</li> </ul>	<ul style="list-style-type: none"> <li>• Review of complaints database</li> </ul>

### 6.3 Key Monitoring Activities

Key monitoring activities will focus on the topics and methods set out in *Table 7* below.

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**Table 7: Key Monitoring Activities**

ID	Topic/Aspects	Methods	Periodicity	Location
CHm01	Implementation of CH requirements in Land Disturbance Permit Procedure	<ul style="list-style-type: none"> <li>All necessary Land Disturbance Permits being completed and signed off, including CH sign-off.</li> <li>Physical copy of Permit maintained on file by the OT Environment Department.</li> <li>Each LDP area being inspected post construction completion for compliance with LDP CH conditions within six months of completion.</li> <li>Chance Finds Procedure implemented for each LDP / each Project.</li> <li>Physical copy of reports on Chance Finds maintained on file by RDSP.</li> </ul>	Six-monthly during construction, annual thereafter	All construction and operations areas where Land Disturbance Permits are required
CHm02	CH training	<ul style="list-style-type: none"> <li>Number of Project personnel and contractor workers trained in Chance Finds Procedure</li> </ul>	Six-monthly during construction, annual thereafter	OT site
CHm03	CH incidents	<ul style="list-style-type: none"> <li>Number of incidents reported in each monitoring period.</li> <li>All incidents investigated and mitigation measures implemented where required, and signed off.</li> <li>Physical copy of incident reports maintained on file by RDSP.</li> </ul>	Six-monthly during construction, annual thereafter	Across the Project Area
CHm04	Indirect disturbance to CH sites/objects	<ul style="list-style-type: none"> <li>CH Site Protection Plans (CHSPP) developed and implemented for all relevant sites in proximity to Project activities.</li> <li>Physical copy of CHSPP maintained on file by SP.</li> <li>At threat and significant cultural heritage sites are formally monitored under the OT CHMS Cultural heritage management monitoring</li> </ul>	Six-monthly during construction, annual thereafter	All CH sites

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ID	Topic/Aspects	Methods	Periodicity	Location
		<p>programme and related procedure.</p> <ul style="list-style-type: none"> <li>Physical copy of monitoring reports maintained on file by SP.</li> </ul>		
CHm05	Deliberate disturbance / desecration of CH sites/objects	<ul style="list-style-type: none"> <li>Number of Project personnel and contractor workers covered by cultural induction and training.</li> <li>Number of complaints received.</li> <li>Complaints logged, responded to and closed out.</li> </ul>	Six-monthly during construction, annual thereafter	All CH sites
CHm06	Impacts on intangible heritage	<ul style="list-style-type: none"> <li>Implementation of public educational programmes on cultural heritage under CA Thematic Schedule 7 National History, Culture and Tourism.</li> </ul>	Annual	Across the Project Area

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## 7. TRAINING

### 7.1 Overview

All necessary training is provided as part of induction training (to provide general awareness) and job-specific training as necessary.

### 7.2 Induction Training

Cultural heritage awareness training is included in:

- visitors' induction training;
- general site induction for all OT personnel and contractors; and
- "new starter orientation pack" for all OT personnel and contractors.

Cultural awareness training is provided to OT site personnel and Category 1 contractors.

### 7.3 Job-Specific Training

Job-specific training needs are defined on an individual basis based on the function, roles and responsibilities of each job. Personal training profiles are prepared and updated on an annual basis and these define job-specific training needs.

Job-specific training includes:

- CHMS training is provided to and required for specific roles that have accountabilities under the CHMS;
- activity-specific detailed cultural heritage inductions are provide and required for activities related to Land Disturbance Permits and Cultural Heritage Site Protection Plans;
- training in the Chance Finds Procedure is provided to appropriate OT personnel and contractors (such as those operating earth-moving equipment); and
- cultural heritage content is included in the OT portal in terms of training in incident reporting and investigation.

## 8. AUDIT AND REPORTING

### 8.1 Internal Auditing

Periodic inspections will be carried out by operational and HSEC personnel covering a range of operational and HSECS aspects as appropriate to activities outside the Mine Licence Area.

Any incidents identified during these inspections will be reported to the incident management system (Element 14).



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Conformance will be monitored via annual internal audit program in accordance with Element 16 Performance Assessment and auditing. This will be undertaken to assess broad compliance with requirements of HSE management system (including ESIA and management plans).

All incidents and non-conformances identified during these inspections are reported as per the requirements of the OT HSEC Management System as described in the Environmental ESMP Framework Document.

### 8.2 External Auditing

Conformance with this plan will be subject to periodic assessment as part of the Rio Tinto HSEC Business Conformance Audit programme and by Project Financing Independent Environment and Social Consulting monitoring visits.

### 8.3 Record Keeping

Records of audits, inspections and incidents will be managed in accordance with Element 8 Documentation and Document Control and Element 15 Data and Records Management.

Rio Tinto Business Solution shall be used to record Internal and External Audit findings and related actions and Incidents and related investigation and actions.

## 9. DOCUMENT CONTROL

File Name	OT-10-PLN-0002-E-Cultural Heritage Management Plan
Description	Cultural Heritage Management Plan
Original Author(s)	Land and Cultural Resource team
Creation Date	2013.09.01
Approved By	Baigalmaa Shurka, GM SP
Approval Date	2013.09.01
Change Record Number	##

Risk Ranking	Assessment Date	Risk Assessor	Review Schedule	Next Review Date
Moderate	2013.09.01	Baigalmaa Shurka, GM SP	2 Yearly	2017.10.15

Version	Revision Date	Author(s)	Approved By	Revision Notes
1.0	2013.09.01	Baigalmaa Shurka, GM RDSP	OT Executive Committee	Approved version
1.1	2013.11.23	Munkhtsatsral.L	OT Executive Committee	Corrected the number of reference documents and completed the document control section.
1.2	2015.10.15	Sugar Gonchigjantsan Mahoney D'Alterio	Baigalmaa Shurka	OT NOC 2016-01 Periodic review Incorporate Cooperation Agreement.