



IMEB DISCIPLINARY PROCEDURE

Purpose

The purpose of this Disciplinary Procedure is to regulate the receipt, assessment, investigation and resolution of complaints or allegations relating to the professional conduct of IMEB Members.

Its objective is to protect the integrity, credibility and reputation of the "IMEB Member" designation and to ensure compliance with:

- The IMEB Code of Ethics.
- The IMEB Professional Competence Requirements.
- The principles established by CRIRSCO-aligned public reporting codes, including the PERC Standard.
- The requirements applicable to Professional Organisations (POs) recognised by PERC.

Scope of Application

This procedure shall apply to any individual holding the status of IMEB Member, irrespective of the country in which they undertake their professional activities.

Disciplinary action may relate to:

- Breaches of ethical standards.
- Negligent conduct or manifest professional incompetence.
- Breaches associated with the preparation, review or approval of public reports concerning Mineral Resources, Mineral Reserves or Exploration Results.
- Misleading or fraudulent statements made in the capacity of a Competent Person.
- Failure to comply with the requirements for maintaining IMEB Member status, including:
 - Continuing Professional Development (CPD).
 - Payment of membership fees.
 - Updating required professional information.
- Loss of membership of the relevant professional organisation of origin (the *Consejo Superior de Colegios de Ingenieros de Minas de España* or the *Ordem dos Engenheiros de Portugal*).

IMEB Ethics and Discipline Committee

The IMEB Ethics and Discipline Committee shall consist of three members appointed by the IMEB Board of Directors:

- One representative nominated by the *Consejo Superior de Colegios de Ingenieros de Minas de España*.
- One representative nominated by the *Ordem dos Engenheiros de Portugal*.
- One independent member appointed by IMEB Technical Committee.



No member of the Committee shall participate in the consideration of a case where a conflict of interest exists. In such circumstances, the IMEB Board of Directors shall appoint a replacement member.

Submission of Complaints

Any natural or legal person may submit a complaint.

At a minimum, the complaint shall include:

- Identification of the complainant.
- Identification of the IMEB Member concerned.
- Description of the alleged facts or conduct.
- Supporting evidence or documentation available.

Complaints shall be submitted to the President of the Technical Committee and the IMEB Secretary via the following email address: comunicacionimeb@ingenierosdeminas.org.

To facilitate the submission of complaints by individuals and organisations regardless of their country of residence or professional practice, IMEB provides a full description of the disciplinary procedure in Spanish, Portuguese and English on its website. Interested parties may consult the applicable information and requirements in any of these three languages:

- Spanish: <https://www.imeb.site/es/procedimiento-disciplinario/>
- Portuguese: <https://www.imeb.site/pt/procedimento-disciplinar/>
- English: <https://www.imeb.site/en/disciplinary-procedure/>

Preliminary Assessment

Upon receipt of a complaint, the Secretary shall forward it to the members of the Ethics and Discipline Committee.

The Committee shall undertake a preliminary assessment to determine:

- Whether the matters raised fall within the jurisdiction of IMEB.
- Whether there are reasonable grounds to proceed with an investigation.

Within a maximum period of thirty (30) calendar days from receipt of the complaint, one of the following decisions shall be communicated:

- Dismissal of the complaint.
- Commencement of disciplinary proceedings.

Right to be Heard

Where the decision is to initiate disciplinary proceedings, the respondent shall have the right to:

- Be notified of the complaint.
- Receive a complete copy of the complaint.
- Review the evidence submitted.



- Submit written representations.
- Present additional evidence.
- Appear personally or through a representative.

The respondent shall be granted a maximum period of fifteen (15) calendar days from being notified of the complaint to submit representations and supporting evidence.

Investigation and Hearing

The Committee may:

- Request additional documentation.
- Seek clarification from the parties involved.
- Consult independent experts.
- Convene a formal hearing.

Where the facts under consideration may also fall within the disciplinary jurisdiction of the *Consejo Superior de Colegios de Ingenieros de Minas de España* or the *Ordem dos Engenheiros de Portugal*, IMEB may forward a copy of the case file to the relevant organisation.

Decisions and Sanctions

After reviewing all available information, the Committee may adopt one of the following measures:

a) Dismissal

Where no breach has been established.

b) Written Warning

For minor breaches of professional or ethical standards.

c) Formal Reprimand

Where a breach has been substantiated but does not justify a more severe sanction.

d) Temporary Suspension

Suspension of the right to use the designation "IMEB Member" for a period ranging from six (6) months to five (5) years.

During the suspension period, the individual shall be removed from the IMEB Register of Members and shall not be entitled to present themselves or act as:

- An "IMEB Member".
- Prohibition from using the designation "IMEB Member", irrespective of the country in which they undertake their professional activities.



Where considered appropriate, the Disciplinary Committee may require the individual, as a condition for reinstatement, to undertake specific professional training, continuing professional development activities, or the review of guidance documents relevant to the matters giving rise to the disciplinary action. The individual may be required to provide satisfactory evidence of completion before reinstatement is considered.

e) Expulsion

Permanent withdrawal of “IMEB Member” status.

Expulsion shall entail:

- Removal from the IMEB Register of Members.
- Prohibition from using the designation “IMEB Member”, irrespective of the country in which they undertake their professional activities

Notification of the decision to the *Consejo Superior de Colegios de Ingenieros de Minas de España*, the *Ordem dos Engenheiros de Portugal*, the Pan-European Reserves and Resources Reporting Committee (PERC), and, where appropriate, other relevant professional organisations.

The Committee's decision and any proposed disciplinary sanctions shall be issued no later than ninety (90) calendar days from the date on which the disciplinary proceedings are initiated.

Particularly Serious Cases

In addition to expulsion, IMEB may refer the matter to:

- The *Consejo Superior de Colegios de Ingenieros de Minas de España*.
- The *Ordem dos Engenheiros de Portugal*.
- The competent judicial authorities in Spain and/or Portugal.
- The Pan-European Reserves and Resources Reporting Committee (PERC).
- Any other relevant regulatory authority.

Automatic Loss of IMEB Member Status

IMEB Member status shall be automatically suspended where:

- The individual ceases to be a member of the relevant professional organisation of origin.
- The individual is suspended or expelled by that professional organisation.
- The individual no longer satisfies the basic admission requirements established by IMEB.

The IMEB Board of Directors may decide upon the permanent withdrawal of the accreditation once such circumstances have been verified.

Appeals Procedure

Any disciplinary decision may be appealed to the IMEB Board of Directors.

The appeal must be submitted within thirty (30) calendar days of notification of the decision.



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The Board of Directors may:

- Confirm the sanction.
- Reduce the sanction.
- Revoke the sanction.
- Order a new review of the case.

The decision of the Board of Directors shall be final.

Language of Proceedings

Complaints, submissions, evidence, correspondence and all other documents relating to disciplinary proceedings may be submitted in Spanish, Portuguese or English. IMEB may conduct the disciplinary process in any of these languages, taking into account the circumstances of the case and the languages reasonably understood by the parties involved.

Where documents are submitted in a language different from that used for the proceedings, the Disciplinary Committee may require a translation where this is necessary for the proper assessment of the matter.

In exceptional cases involving serious misconduct, where IMEB is required or considers it appropriate to refer the matter to the competent judicial, regulatory, or other public authorities in Spain and/or Portugal, IMEB may require the provision of an official or certified translation into the language required by the relevant authority. Any such translation shall form part of the official record for the purposes of that referral.

Juan-León Coullaut Sáenz de Sicilia

IMEB Technical Committee President

(IMEB Member nº 001E)



