

SME Code of Conduct

Core Principle

As one of the mining, mineral, and underground construction industries brightest and most dedicated professionals, we strive to build a better world through mining, metallurgy and underground construction. We accept professional responsibility for our individual decisions and actions. We are also advocates for the profession by engaging in activities that enhance its credibility and value.

SME is dedicated to providing a safe, welcoming and professional environment for all. We expect all who engage with SME (staff, members, exhibitors, sponsors, volunteers, speakers, attendees, vendors, and other guests) to abide by this Code of Conduct. The intent of the Code of Conduct is to:

- Build respect, credibility and strategic importance for the mining, mineral, and underground construction profession within our organization and the communities where we work.
- Assist the members we serve in achieving their professional objectives and goals.
- Create a global community where all individuals feel valued, respected, and a sense of belonging.
- Inform and educate current and future practitioners, the members we serve, and the public about principles and practices that advance the profession.
- Enhance the public perception of mining, metallurgy, exploration and underground construction as a preferred career choice.
- Encourage social responsibility.

As such, SME expects that all involved with the Association shall:

- Act in the best interests of SME and avoid any actions that could harm or undermine its goals, reputation, operations, or relationships with stakeholders.
- Uphold high ethical standards and avoid conflicts of interest that may compromise their objectivity or impartiality within the Association. A conflict of interest occurs when an individual's private interest (or the interest of a member of his or her family) interferes, or even appears to interfere, with the interests of the Association as a whole, e.g., when the individual (or a member of his or her family) receives improper personal benefits as a result of his or her role with SME. Real or perceived conflicts of interest should be immediately reported to Karin Harrington, Director of Human Resources at Harrington@smenet.org or 303-948-4241.
- Treat each other with respect, courtesy, and professionalism at all times.
- Actively contribute to a collaborative and cooperative atmosphere, working together to achieve the Association's goals.
- Foster an environment of teamwork and shared success.

- Promote a culture of constructive criticism, focusing on ideas and solutions rather than attacking individuals or their character.
- Treat each other with respect and dignity, regardless of race, color, national origin or ancestry, ethnicity, sex, gender identity or gender expression, sexual orientation, religion, creed, age, disability, marital status, or any other status or characteristic protected by federal, state, or local law.

We encourage an environment of healthy discourse where diverse perspectives and new ideas can be shared. To promote respectful communication, individuals shall at all times:

- Maintain a civil and professional tone while communicating, avoiding personal attacks or derogatory remarks.
- Refrain from yelling, using profanity, or engaging in any form of aggressive or disrespectful language during Association activities, meetings, or discussions.

SME has Zero Tolerance for, but not limited to:

Intimidation or Physical Harm

- Threats, threatening language or any other acts of aggression or violence will not be tolerated. A threat includes any verbal or physical harassment or abuse, any attempt at intimidating or instilling fear in others, menacing gestures, flashing of weapons, stalking or any other hostile, aggressive, injurious or destructive action undertaken for the purpose of domination or intimidation. To the extent permitted by law or any venue, Staff, Members, event attendees, exhibitors, vendors, and visitors are prohibited from carrying weapons at SME events, even if the individual holds a concealed weapon permit.
- Intentionally or recklessly causing physical harm; endangering the health or safety of any person; physically restraining or detaining another person; or forcibly removing a person from a place where they have a right to remain is unacceptable.

Harassment, Including Sexual Harassment:

- Harassment is strictly prohibited. Harassment includes offensive verbal or physical conduct or any written, pictorial, or visual communication directed at an individual or group of individuals because of that individual's or group's membership or perceived membership in a protected class.
- Any form of sexual harassment, including but not limited to unwelcome advances, comments, gestures, or any other physical or verbal conduct of a sexual nature that creates an uncomfortable or hostile environment will not be tolerated.
- Individuals will respect personal boundaries and consent, ensuring that all interactions are free from any form of sexual harassment.

Discrimination:

- Individuals shall not engage in discriminatory practices or actions that marginalize or exclude individuals based on their personal attributes or backgrounds.
- Individuals shall refrain from making disparaging or derogatory comments about others, whether in person, in writing, or through any form of communication.

Alcohol Consumption

- Individuals are ultimately responsible for their choices and behavior regarding the consumption of alcohol when it is available and or provided.
- All alcoholic beverages must be consumed within the area/function in which it is served. No containers, either open or closed, may leave the event area.
- Intoxicated individuals will be informed that they are no longer able to be served alcoholic beverages, by a venue employee, staff member, or colleague.
- It is always the sole responsibility of the individual to ensure that they do not operate a vehicle if their blood alcohol level exceeds the legal limit in the jurisdiction in which the event or meeting is being held.

Financial Integrity & Responsibility

Anyone who is responsible for spending money on behalf of SME, including staff and volunteers, should act with honesty, integrity, and professionalism in all financial matters. An individual's personal financial interest and other conflicts of interest, real or perceived, should be avoided and disclosed, so as not to compromise judgment or decisions. Financial decisions must comply with all applicable laws, regulations, and internal policies related to financial practices.

SME's Executive Director & CEO, Chief Operations Officer, Chief Financial Officer, or Board of Directors must approve any contracts that would financially obligate the Society to any expense more than \$100,000.

Financial Reporting and Accuracy:

Those with financial responsibilities are required to maintain accurate and transparent financial records. They must:

- Ensure that financial reporting is timely, complete, and adheres to generally accepted accounting principles (GAAP) or applicable standards.
- Avoid any misrepresentation or manipulation of financial information.

Fraud Prevention:

It is important to be vigilant and proactive in identifying, preventing, and reporting fraud, including internal and external fraud attempts. Individuals are required to:

- Report any suspected fraudulent activities.

- Cooperate fully in investigations related to fraud

Confidentiality and Privacy:

SME Staff, Board of Directors, Divisions, Committees, Sections, Vendors, Contractors, and individuals with access to confidential information are required to:

- Take measures to maintain the confidentiality and privacy of financial information, member/attendee data, and other sensitive information.
- Access and use financial data and customer information only for legitimate business purposes.
- Comply with applicable data protection laws and regulations.

Protection of Assets:

All persons must protect the Association's assets and ensure their efficient use. Theft, carelessness and waste have a direct impact on the Association and are prohibited. All SME assets should be used only for legitimate Association purposes. Any suspected incident of fraud or theft should be reported for investigation immediately.

Compliance with Law:

Obeying the law, both in letter and in spirit, is the foundation on which SME's ethical standards are built. All persons associated with SME must respect, obey and comply with all applicable governmental laws, rules and regulations pertaining to SME. If in doubt, seek advice from David Kanagy, Executive Director & CEO at Kanagy@smenet.org or other appropriate persons.

Prohibition on direct lobbying:

SME is committed to maintaining its tax-exempt status under Section 501(c)(3) of the Internal Revenue Code (the "Code"). As a 501(c)(3) organization, the Association is prohibited from engaging in substantial lobbying activities that could jeopardize its tax-exempt status. Please review the specific lobbying restrictions policy. It is the responsibility of every individual associated with the Association to understand and comply with this policy.

In the event of inadvertent lobbying activity or the receipt of lobbying requests, the Association shall take immediate action to cease such activities and maintain documentation of corrective measures taken.

Non-Compliance Consequences:

Any individual found to have willfully violated these lobbying guidelines may be subject to disciplinary action, up to and including termination of employment or removal from the board or volunteer position.

Reporting Violations

It is the responsibility of all individuals to immediately report any behavior inconsistent with this Code of Conduct. Report a concern to Karin Harrington, Director of Human Resources at Harrington@smenet.org or 303-948-4241; David Kanagy, Executive Director & CEO at Kanagy@smenet.org, or the SME Board President at smepresident@smenet.org. SME will look into and review every allegation of inappropriate conduct and respond appropriately. SME strictly prohibits any retaliation against an individual for making good faith reports of violations of the Code of Conduct or for assisting in an investigation. Any suspected incidents of retaliation should be reported using the procedure identified above.

Investigation Process:

- Any reported violations of the Code of Conduct will be thoroughly investigated by a committee or appointed representative of the Society.
- The investigation generally will involve collecting evidence and interviewing relevant parties, and ensuring a fair and unbiased assessment of the situation. Upon completion of the investigation, the Association will determine whether a violation has occurred based upon its reasonable evaluation of the information gathered during the investigation. The Association will take appropriate action to ensure that any improper conduct does not reoccur.

Repercussions for Violating the Code of Conduct:

Depending on the severity and nature of the violation, disciplinary actions may include but are not limited to:

- Verbal or written warning
- Temporary suspension from Association activities or events
- Removal from a board or volunteer position
- Permanent expulsion from the Association

The Association reserves the right to take appropriate legal action or to report information to law enforcement or other governmental authorities in its sole discretion.

Confidentiality and Protection:

- All investigations and disciplinary actions will be conducted confidentially to the extent practicable, consistent with the Association's need to conduct an adequate investigation.
- Whistleblowers and individuals reporting violations in good faith will be protected against any form of retaliation.

This Code of Conduct aims to create a safe, inclusive, and respectful environment for all. It is the responsibility of every person to uphold these standards and report any violations they witness or experience.