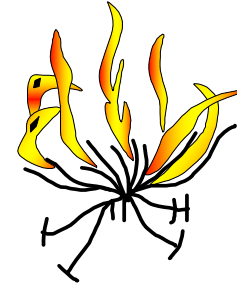




**Geological Society of Zimbabwe**



# **Code of Ethics Registration Reporting Competence**

**Andrew du Toit - Kariba Symposium 2015**

# Debate

There has been repeated debate in the GSZ on five separate but overlapping issues

- Competent Person's Reporting
- Code of Conduct/Ethics
- Registration
- Competence
- Continual Professional Development (CPD)

This presentation aims to summarise and clarify these issues

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# Reporting

- Reporting Codes - Competent Persons are required to sign off public reports of mineral resources and ore reserves
- JORC Code
  - A 'Competent Person' (CP) is a minerals industry professional who is a member 'Recognised Professional Organisation' (RPO), as listed by the stock exchange.
  - These organisations have enforceable disciplinary processes including the powers to suspend or expel a member.
  - A Competent Person must have a minimum of five years relevant experience in the style of mineralisation or type of deposit under consideration and in the activity which that person is undertaking.
- Other CRISCO Codes very similar
- **This is a Stock Exchange Requirement**

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# Professional Organisations

- *JORC specifies membership of AusIMM or AIG*
- *SAMREC specifies membership of SAIMM or GSSA or registration with SACNASP, ECSA or PLATO*
- *eg GSSA is the Voluntary Association for the earth sciences within SACNASP*
- *Codes also allow reciprocal membership through or a 'Recognised Overseas or Professional Organisation' ('ROPO')*



# ROPOs

- *SAMREC Specifies*

The criteria for a Recognised Overseas Professional Organisation (ROPO) are that the organisation must:

1. Be a self-regulatory organisation covering professionals in the mining and/or exploration industry;
2. Admit members primarily on the basis of their academic qualifications and experience;
3. Require compliance with the professional standards of competence and ethics established by the organisation; and
4. Have disciplinary powers, including the power to suspend or expel a member.

- *The various stock exchanges publish lists of ROPOs*

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# CP approval getting more stringent

- *Note requirements are becoming more stringent eg the Canadians no longer accept AusIMM*
- *SAIMM is proposing that CPs wanting to sign off under their SAIMM membership need to be approved by SAIMM - does this imply that SAIMM is taking responsibility for their CPs' actions?*
- *If GSZ was approve CPs = To what extent would GSZ be taking responsibility for its members actions?*



# GSZ Options - Reporting

- GSZ could work towards registering as a ROPO with JSE, ASX.
- It would need to demonstrate that it has an enforceable code of conduct
- Include experience as part of the requirement for full membership
- GSZ could apply to ZSE to be recognised as a professional organisation

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# Code of Ethics

- GSZ does not have formal code of Ethics at present
- GSZ could adopt a code of Ethics/Conduct in order to:-
  - Comply with ROPO requirements as outlined above
  - Clarify what conduct is expected of its members and hopefully reduce the number of cases of misconduct

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# Controversies Conduct

- Examples of ethical issues brought to our attention
  - Listing GSZ Membership on CV when not in good standing
  - Not working notice or signing an employment contract and then going elsewhere
  - Working as a consultant for A on a project owned by B. Then trying to sell data owned by A to B
  - People with no training claiming to be geologists and bringing the profession into disrepute

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# GSZ Constitution

- **GSZ constitution already specifies qualification:-**

- 4.2 **Membership** Members shall normally have a degree in an appropriate earth science discipline from a recognised university or technical college.

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# GSZ Constitution

- **GSZ constitution already allows for disciplinary action :-**

- **4.11 Suspension or Expulsion**

Should ten or more Members address to the Committee, in writing, a protest against the continued membership of the Society of any Member, the Committee shall institute an inquiry, and should seventy-five per cent of the whole Committee resolve that the protest is justified, it shall be entitled to:-

- i) suspend such Member for such a period as it may deem fit, or
- ii) call upon such Member to resign, or
- iii) strike his/her name from the Membership Register.

A Member whose suspension or expulsion is being considered shall be notified by the Secretary of the date of the Meeting of the Committee at which his/her case will be considered, and such notice shall not be less than thirty days and he/she shall be advised of the complaints or charges against him/her. If he/she so desires, he/she may submit a defence in person or in writing or by a representative, and such defence shall be considered by the Committee as part of the suspension or expulsion procedure

- **4.12 Contravention of Constitution and By-Laws**

Any Member who, in the opinion of seventy-five per cent or more of the whole Committee, has wilfully contravened the Constitution and By-Laws of the Society, or who has rendered himself/herself unfit to be a Member, may be expelled from the Society and struck off the Membership Register. Such Member shall be notified of the date of the meeting of the Committee at which his/her case will be considered, and shall be entitled to defend himself/herself in accordance with the procedure laid down in clause 4.11 of the Constitution

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# GSZ Code of Conduct

**Along the lines of other profession bodies, the Code would be expected to include:-**

- **Community** welfare, **health** and **safety** top priority
- Uphold and enhance the **honour, integrity** and **dignity** of the profession.
- Perform work only in their areas of **competence**.
- Build their professional reputation on **merit**.
- Not compete **unfairly**.
- Apply **skill** and knowledge in the **interests of their employer** or client
- Give evidence, express opinions or make statements in an **objective** and **truthful** manner and on the basis of adequate knowledge.
- Continue their **professional development** throughout their careers
- Comply with all **laws** and government regulations and with the **rules**, regulations of relevant stock exchanges

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# GSZ Options - Conduct

- **GSZ could**
  - Draft a Code of Ethics
  - Check that the Code and Disciplinary Procedures are sufficient to qualify for inclusion on lists of ROPOs published by CRISCO associated bodies
  - Formally adopt a Code of Ethics
  - Commit to enforcing reported breaches etc according to the constitution

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# Registration

- Some countries require that professionals working in natural sciences register with a government agency or regulatory body empowered by an Act of Parliament = SACNASP in South Africa
- In Canada professionals need to pass the Professional Practice and Ethics Exam
- In Zimbabwe, engineers are required by an Act of Parliament to be registered with the Engineering Council
- There is growing pressure for this type of registration to be extended to geologists with the aims of
  - Regulating who can call themselves a geologist
  - Upholding professional standards within the profession
  - Protecting the public from unqualified, unregistered practitioners
- **Registration is primarily a Government Requirement**

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# SACNASP

An example of a registration system is SACNASP

- It is mandatory for all practising natural scientists in South Africa to be registered in terms of the Natural Scientific Professions Act,
- Registration provides recognition by a professional body. Registration is indicative of peer recognition by all scientists in a particular field of expertise. Registration also ensures standard practices and conduct amongst scientists as it is regulated by a Code of Conduct.
- Require
  - an approved Honours Degree as a minimum
  - Experience
  - Support of Referees
  - Pay an annual fee
  - Takes 3-6months at a minimum to get registered
- Applies to a wide range of scientists in addition to Geological and Earth Science including:-
  - Agricultural Science, Animal Science, Biological Science, Ecological Science, Food Science, Mathematical Science, Water Resources Science

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# Registration Controversies

- Not all countries register scientists in this way
- In SA academics argue that this only applies to consultants not to teachers in universities etc, even though the Act is clear that they do need to register
- Geology in its broader sense covers the study of the full history of the Earth. The industrial sector (oil, minerals, engineering etc) where the public interest may need to be protected is only a portion of the industry, therefore is it appropriate for all academics, palaeontologists etc to be registered?
- Key areas where the public do need to be protected are already covered - Rock Engineers, Mine Managers Certificate etc.
- Zimbabwe relies on foreign investment to fund its minerals industry, with this comes foreign skills and expertise, a registration system impedes the free flow of skilled personnel and is seen by some as a protectionist measure

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# GSZ Options - Registration

- GSZ need to research the process required to go this route
- This will give a guide to the costs and systems required for implementation
- The GSZ needs to debate and develop clear objectives if it is embark on this course
- Government may force registration on the geologists
- GSZ needs to develop a clear position so that we can lobby for a win-win outcome

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# Competence

- Concerns regarding competence of new geologists due to:
  - Declining quality of degrees across the region
  - Challenges facing the Department of Geology at University of Zimbabwe in particular
  - Pure geology degrees offer little in the way of practical training that is relevant to the mining industry.
- One solution - introduce a Geological Certificate of Competency to standardize, recognize and enhance that basic level of training that geologists entering the mining industry receive
- May also open up the career path for holders of geological technician diplomas. On many mines these technicians are effectively working as geologists and this might provide an avenue for them to be recognized as geologists.

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# Competence - Process

- GSZ would develop a syllabus which might include:-
  - an appreciation of Zimbabwean geology and the implications for mining and exploration
  - practical mapping and logging
  - sampling and analytical methods, including drilling etc.
  - remote sensing and geophysics
  - an overview of mining and processing methods
  - basic rock engineering
  - an understanding of the reserve and reporting codes and their application
- GSZ would ask the Chief Government Mining Engineer to administer the certificate in a similar way to the Mine Manager's Certificate
- GSZ would be involved in providing examiners
- The involvement of the Chamber of Mines may also be sought
- GSZ currently not aware of a similar program in other countries although companies do offer graduate learnerships etc

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# Continual Professional Development (CPD)

- In order to maintain and enhance competence throughout one's career, many professional societies are working towards introducing a formal system of CPD points (although few in the geology realm have introduced this yet)
- SACNASP and GSSA are currently in the process of introducing a CPD system
- GSZ needs to consider how it might respond to this trend.
- CPD would require the society to commit to providing sufficient activities to make this practical
- It may be possible for GSZ to partner with GSSA and use their system

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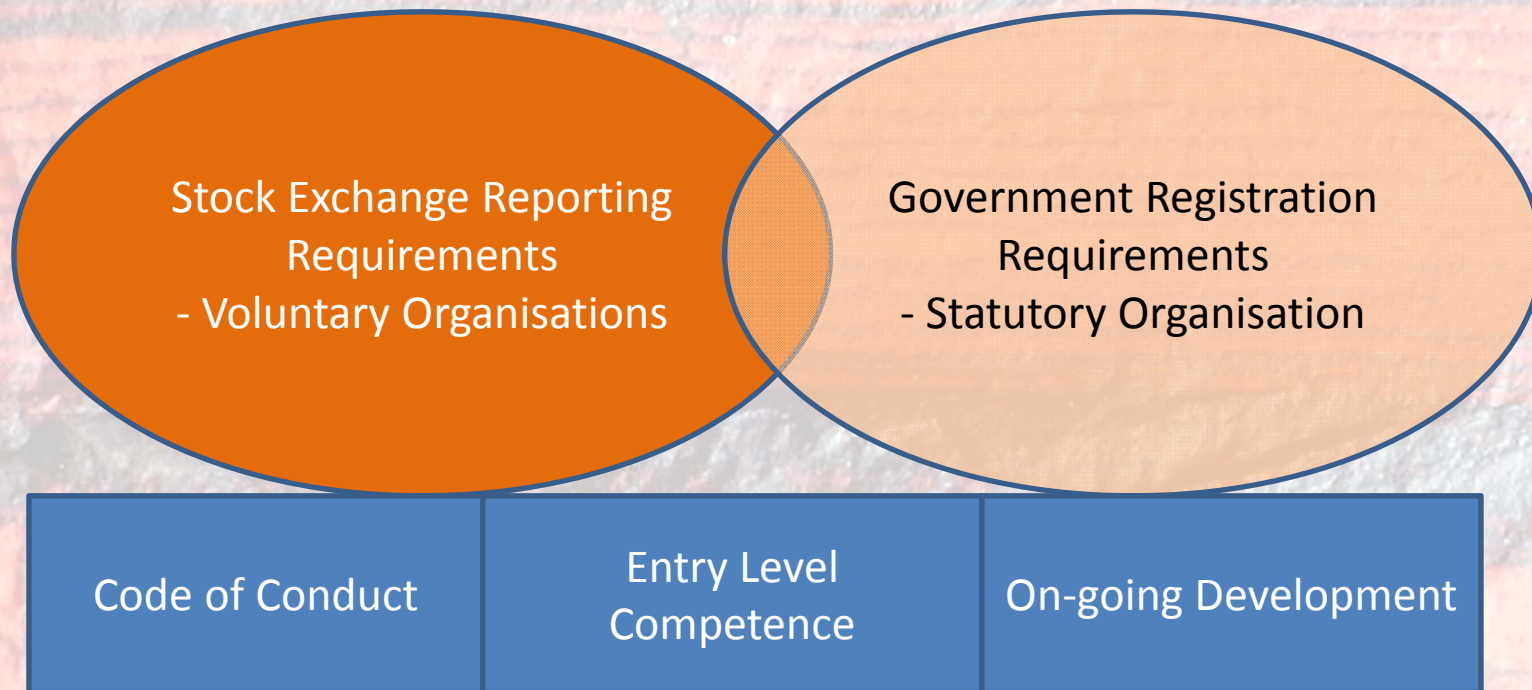
# Continual Professional Development (CPD) - GSSA System

Activity	Annual PDH Objective	Weighting	CPD Points	Maximum points per year
<b>Formal Learning</b>	5 days (40 PDH)	1 (1.5- Tested)	40	80
<b>Knowledge Contribution</b>	Not set	3		No maximum
<b>Self directed study and informal learning</b>	12 PDH	0.25	12	20
<b>Professional Practice</b>	8 days (8 PDH)	0.125	8	10
Total	60 PDH or 7.5 PDH days equivalent		60	110

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# Summary



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# Conclusions

What does GSZ want to do?

- Do we want to become the watch dog?
- What if we don't?
- Do we have the capacity?
- Cost - we are small organisation so would share the costs amongst a small number - it could be expensive
- Should we partner with other organisations

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# Conclusions

Which ever route we take, lets try to:

- Keep Zimbabwe as an open destination for skills and ideas
- Explore options for partnering and reciprocal arrangements with foreign organisations to increase recognition and control costs

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