

Ecert user manual for the auditors of the ASMO Certification Bodies recognized by the Alliance for Responsible Mining

Fairmined Information system Version 1.0 January 2016



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0. Introduction

Traceability and assurance are the most important pillars of the Fairmined Certification System, guaranteeing all actors in the Fairmined supply chain that their products are what they are claimed to be. That is why the Fairmined Initiative is backed by a robust 3rd party independent certification and audit system which can trace Fairmined metals from the end products to its source.

The objective of the Alliance for Responsible Mining (ARM) is to make the Fairmined Certification System more robust and at the same time more flexible, adapting to the evolving needs of our stakeholders. With Ecert designed by Intact Consult GmbH, ARM has invested in a professional IT solution for the Fairmined Information System, to streamline and facilitate the assurance process and to enable more flexible audit arrangements.

The software provides a platform for documental traceability control along the Fairmined supply chain, offering all the Fairmined actors: artisanal and small-scale mining organizations, Fairmined Operators and Licensees a user friendly tool to report and analyze their flow of goods, and manage their audits and certification process online. Ecert gives the Fairmined supply chain actors a way to keep track of their Fairmined transactions, while allowing ARM and the auditors authorized by ARM to control the integrity of the chain of custody more efficiently and cost-effectively.

As an auditor of the Certification Body, you have one of the most important roles in the Certification scheme because you will report all the information of the audits and the certification results. Additionally, you will find all the information of your clients in just one place; you will also help to centralize the information of the audit and certification, where the clients and ARM can consult it. As well as, you can use the sales reports to support the documentary analysis of the Fairmined transactions.

We hope that this manual will be useful in guiding you through the steps of the reporting the information of the audit and certification process in Ecert and will help you to make the most of this innovative tool.

If you have any questions please do not hesitate to contact us at:

ecert@responsiblemines.org

1. Fairmined Information System



ECERT
Version: 10.8.0.23



ALLIANCE FOR
RESPONSIBLE MINING



FAIRMINED

Ecert is the software to support the process of flow of goods reporting (purchases and sales), the auditing process the certification information.

Only artisanal and small-scale mining organizations, Authorized Operators, Licensees, Certification Bodies and ARM's team have access to their specific information in Ecert. Every user has a particular account with specific rights and responsibilities in the system. The information recorded by auditing bodies in Ecert will only be accessible to the specific user and to the ARM's Standards and Certification team. ARM requires access to all the information in the database to have an oversight of the reporting and auditing process, generating red flags when traceability inconsistencies are detected.

No files or information uploaded to Ecert will be made publicly available under any circumstances.

All the supply chain actors have different responsibilities in Ecert. Generally, buyers report their purchases and sellers confirm sales. Additionally, the Certification bodies report the auditing and certification results.

Every actor in Fairmined Certification System will have access to its audit, authorization or certification's information registered by the auditors or ARM's team; this will strengthen the efficiency of the process and the access to the information.

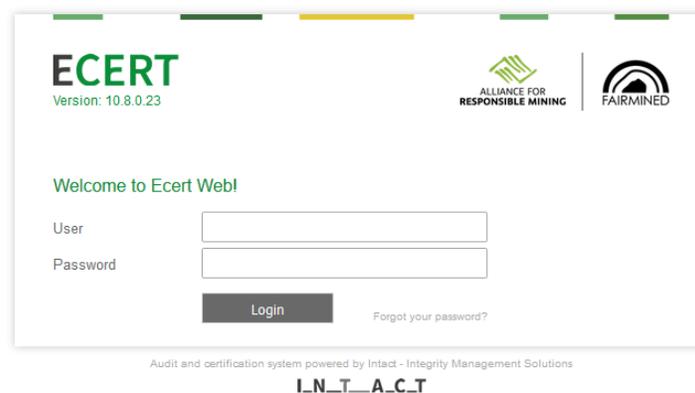


2. Log-in to Ecert

You (the auditor) will receive an e-mail with a link to access Ecert. The email will be sent to the email address registered with Alliance for Responsible Mining,

You need to CREATE your username and password.

ARM will not send you the account name neither the password; you will create them according to your preferences clicking on the link you will receive.



The screenshot shows the Ecert login interface. At the top left, the 'ECERT' logo is displayed with the version number 'Version: 10.8.0.23'. To the right are the logos for 'ALLIANCE FOR RESPONSIBLE MINING' and 'FAIRMINED'. Below the logos, the text 'Welcome to Ecert Web!' is shown. There are two input fields: 'User' and 'Password'. Below the 'Password' field is a 'Login' button and a link for 'Forgot your password?'. At the bottom of the page, it states 'Audit and certification system powered by Intact - Integrity Management Solutions' and the 'I.N.T.A.C.T' logo.

You can access the system at any time through any of these web browsers: Mozilla Firefox v.40, 41, Google Chrome v. 45, 46 (always the current version and version -1), Internet Explorer 9/10/11, Windows Edge, Windows Phone 7.5, Windows Phone 8: IEMobile 9, 10 and 11 by visiting <http://arm.e-cert.net/>

You should not share your password with anyone. Please change your password on a regular basis for security reasons.

Note: The main access to Ecert will be given to the principal auditor. The Certification body can request the registration of other auditors or persons involved in the Certification process.

If an additional account is required, please contact: ecert@responsiblemines.org and a new account will be created.

If you have problems accessing your account, please contact: ecert@responsiblemines.org

3. Main window-Certificate holder search

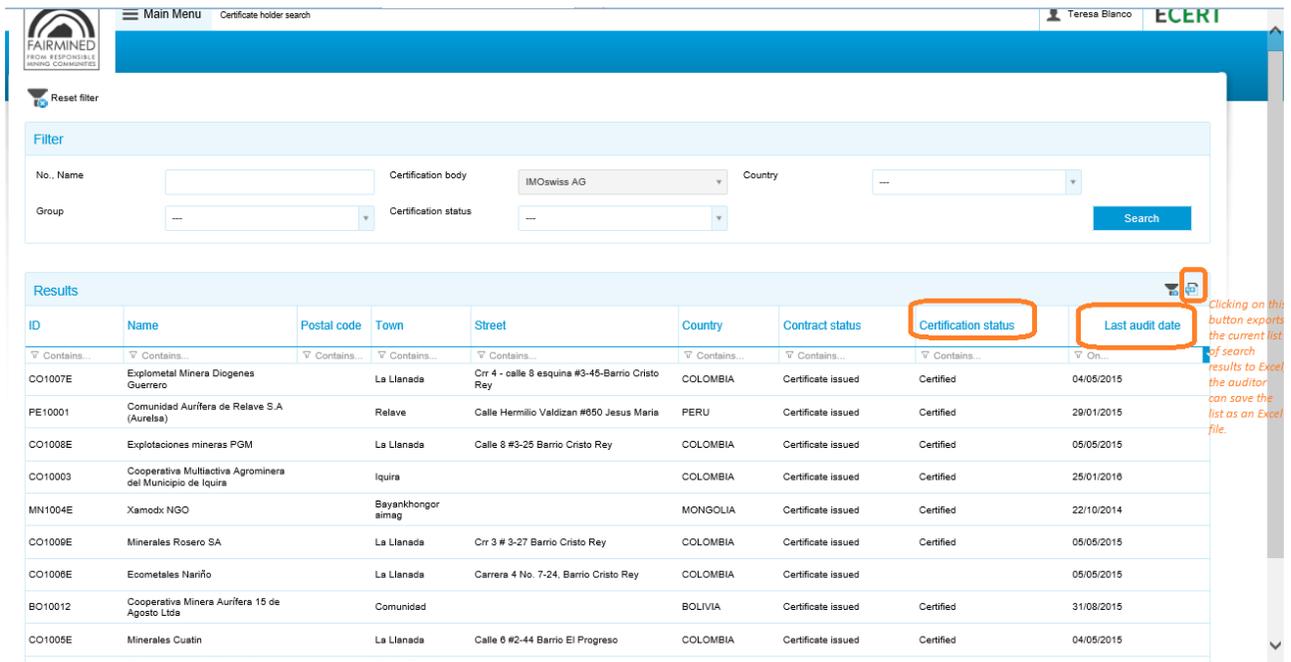
After you (the auditor) have created your username and password and you enter Ecert, the user is forwarded to the Certificate Holder Search page.

 Main Menu Certificate holder search

This gives you the possibility to look-up certificate holders (artisanal and small-scale mining organizations, ASMOs), and open the data set by clicking on the specific line item.

Note: You can define the parameters of the search: Name, Country and Certification Status. Then click on the button “Search”.

The results will be a list with the ID of the ASMO, the name of the ASMO, Town, Street, Country, Contract Status, Certification Status and Last audit date.



ID	Name	Postal code	Town	Street	Country	Contract status	Certification status	Last audit date
CO1007E	Explometal Minera Diogenes Guerrero		La Llanada	Crr 4 - calle 8 esquina #43-45-Barrio Cristo Rey	COLOMBIA	Certificate issued	Certified	04/05/2015
PE10001	Comunidad Aurifera de Relave S.A (Aureisa)		Relave	Calle Hermilio Valdezian #650 Jesus Maria	PERU	Certificate issued	Certified	29/01/2015
CO1008E	Explotaciones mineras PGM		La Llanada	Calle 8 #3-25 Barrio Cristo Rey	COLOMBIA	Certificate issued	Certified	05/05/2015
CO10003	Cooperativa Multiactiva Agrominera del Municipio de Iquira		Iquira		COLOMBIA	Certificate issued	Certified	25/01/2018
MN1004E	Xamodx NGO		Bayankhongor aimag		MONGOLIA	Certificate issued	Certified	22/10/2014
CO1009E	Minerales Rosero SA		La Llanada	Crr 3 # 3-27 Barrio Cristo Rey	COLOMBIA	Certificate issued	Certified	05/05/2015
CO1008E	Ecometales Naniño		La Llanada	Carrera 4 No. 7-24, Barrio Cristo Rey	COLOMBIA	Certificate issued	Certified	05/05/2015
BO10012	Cooperativa Minera Aurifera 15 de Agosto Ltda		Comunidad		BOLIVIA	Certificate issued	Certified	31/08/2015
CO1005E	Minerales Cuatin		La Llanada	Calle 6 #2-44 Barrio El Progreso	COLOMBIA	Certificate issued	Certified	04/05/2015

You can export the list of the certificate holders to Microsoft Excel according to the parameters defined in the filter.

4. Fairmined Audit and Certification management menu

Here you will find all the information of the ASMOs, and it is expected that you complete some parts of this section during the audit and certification process.

In this section, you will find out details of the ASMO like the contact information, the contract status, the application and the documents, the previous audit reports, the certification results and the certificates.

It is expected that some parts of the Ecert sections are completed by the auditors during or after the audit and certification process. These sections are contract status, audit, certification and certificates.

This is the main menu for all the users in Ecert:

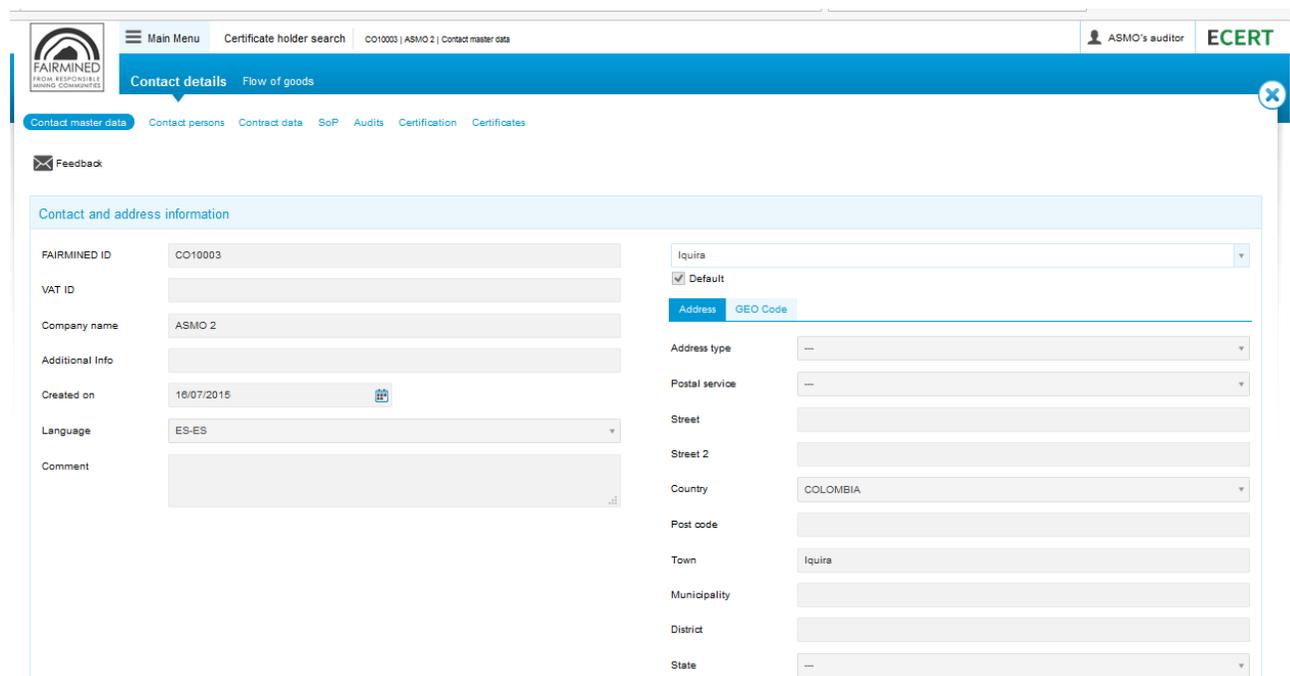


4.1. Contact information details of the ASMOs

By clicking on an ASMO's line, you can see the ASMO contact information in the menu option "Contact details" sub menu "Contact master data". In the first part, you will find the Fairmined ID, company name and address details. In the second part, you will find the email address and the telephone/mobile number registered by the ASMO in the application form.

The presentation of the information will be seen as it is in the next screenshot. All the fields are in the color gray because you can see the information but you cannot edit it.

First part: Contact and address information



Second part: Contact info

Contact info			
Contact type *	Contact data	Comment	Default
Mobile	3184413468		<input checked="" type="checkbox"/>

1 - 1 of 1 records

In case you need to update any field in this form, please click on the button “**Feedback**” in the upper left corner of the window to inform ARM by email to ecert@responsiblemines.org

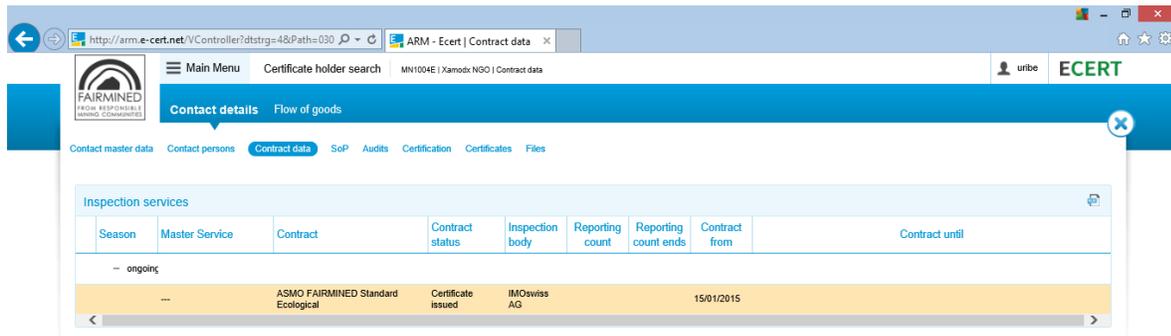
Additionally, in the menu option “**Contact details**” and in the submenu “**Contact person**”, you can see the contacts that are linked with the ASMO. For instance, the main contact of the ASMO, the ARM account manager and the auditor.

Contact master data **Contact persons** Contract data SoP Audits Certification Certificates

Contact persons		
<p>ARM Account Manager</p> <p> Kenneth Porter M: kennethporter@responsiblemi...</p>	<p>CB contact</p> <p> ASMO's auditor P: (+591) 4 4458880/81 M: auditor@gmail.com</p> <p>BO</p>	<p>Employee</p> <p> ASMO 3 employee M: asmo3@hotmail.com</p> <p>BO</p>

4.2. The status during the process to be a Fairmined certified ASMO

In the “Contract data” section, you (the auditor) will find the last current status condition of the ASMO in terms of the process to reach Fairmined Certification, with some details about the inspection body, the reporting count starts/ends date and the contract from/until date.



Season	Master Service	Contract	Contract status	Inspection body	Reporting count	Reporting count ends	Contract from	Contract until
---	---	ASMO FAIRMINED Standard Ecological	Certificate issued	IMOwiss AG			15/01/2015	

- **Contract:** is assigned according to the specific type of Certification the ASMO requested in the application form. There are just two possibilities: ASMO Fairmined Standard Ecological and ASMO Fairmined Standard Regular.

- **Contract status:** are the different moments in the certification process. The possibilities are: Application, Application approved, Application rejected, Audit in process, Audit report issued, Certificate issued.
- **Inspection body:** there are two possibilities Alliance for Responsible Mining and the Certification Body's name.
- **Reporting count starts:** it is date when occur some changes in particular steps of the process: application approved, application rejected, audit report issued, certificate issued.
- **Reporting count ends:** leave in blank.
- **Contract from:** the date when the application was received by ARM and when the ASMO signed the contract with the Certification Body.
- **Contract until:** leave in blank. It has a date just in case the ASMO does not have any contract.

The responsibilities are divided in this section between ARM's Standards and Certification team and the auditors.

Changes in the contract status by ARM

ARM's Standards and Certification team has the responsibility to change the following Contract statuses: Application, Application Approved and Application rejected.

When ARM's team receives the application, they will register the contract status "Application" and in "Contract from" the date when the application was received.

The Application Committee approves or rejects the application. In case it is approved, the auditor will be informed by email about the new ASMO that requests Fairmined Certification.

This committee will then change the contract status in Ecert to: "Application approved".

Reporting count starts: is the day when ARM approves the application and assigns a Certification Body as the inspection body.

Changes in the contract status by the auditor

To change the contract status, go to the menu "**Contact details**" and click on the sub menu "**Contract data**". You will see three sections: Inspection Services, Details and History Contracts.

1. **Inspection service:** you do not need to change anything in this part.
2. **Details:** please change the contract status and dates according to the following table:

Contract status	Inspection body	Reporting count starts	Reporting count ends	Contract from	Contract until
Audit in process	Name of the certification body	Do not change it	Do not change it	Date when the contract/offer (whichever first) is signed by the ASMO with the certification body.	Leave in blank.
Audit report issued		Date when the audit report was issued.	Do not change it	Do not change it	
Certificate issued		Date when the certificate was issued.	Do not change it	Do not change it	

3. **History contracts:** you will find the records of the previous contract statuses.

4.3 Application and annexes

You (the auditor) will have access to the application form and all the annexes which are the required documents of the application.

The screenshot shows the 'Contact details' page with a 'Files' section highlighted. An orange arrow points to the 'Files' section with the text: "This section will not have any use".

To access the application, you need to click on the menu **“Contact Details”**, submenu **“SoP”** and in the lower part of the page, you will find the **“Files”** section where all the attachments are.

You can click on the icon  in the line of the document to download it. The ARM Standards and Certification team will inform you when the application was approved and the auditor can download all the documents.

Select	Download	Edit	Filename	Access mode	File type	Date	Subject	File size (KB)	Comment
<input type="checkbox"/>			Xamodx annexes.rar		Support documents	12/08/2014		2,378.27	
<input type="checkbox"/>			07.11.14 Fairmined DRAFT report XAMODX.PDF		Self assessment	12/08/2014		338.96	
<input type="checkbox"/>			Attachment 1_Scratch Map.pdf		ASMO map	12/08/2014		30.01	
<input type="checkbox"/>			Attachment 3_List of SOP members.pdf		Miners register	12/08/2014		281.16	
<input type="checkbox"/>			MN_01001...final_Tsagaian Tsakhirt.docx		Application	12/08/2014		175.23	

In particular cases, when the auditor requests more information from the ASMO, it should be added in this section. Please click on the option  and a new window will appear. Add the details and the document and finish by clicking on the button in the left corner **“Save and close”**.

Add files

Save and Close

File type: Application Date: 22/02/2016

Subject:

Comment:

File upload

Drag files/images here or click here.

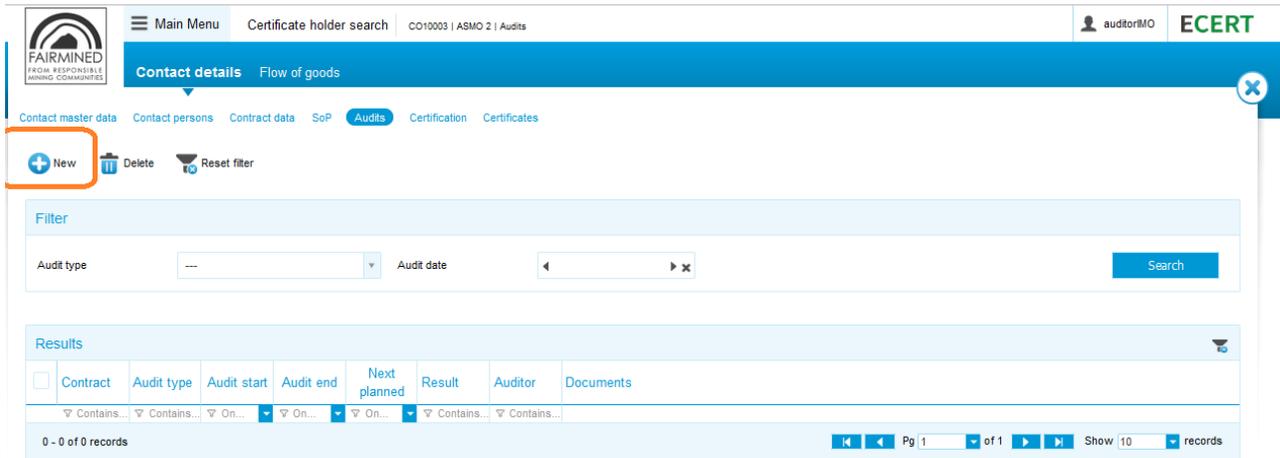
Maximum file size allowed: 1000000 KB

4.4 Audit information

In the menu “**Contact details**”, sub menu “**Audits**”, the auditors have a key participation in this section. They will complete some details of the audit results and upload the documents, additionally; the auditors can see the previous audit information.

Creating a new audit record

Please, click on the button  New



The screenshot shows the ECERT system interface. At the top, there is a navigation bar with 'Main Menu', 'Certificate holder search', and 'CO10003 | ASMO 2 | Audits'. Below this, the 'Contact details' sub-menu is active, with 'Audits' highlighted. A 'New' button is circled in orange. Below the navigation, there is a 'Filter' section with 'Audit type' and 'Audit date' dropdowns, and a 'Search' button. The 'Results' section shows a table with columns: Contract, Audit type, Audit start, Audit end, Next planned, Result, Auditor, and Documents. The table currently shows 0 records.

A new window appears with two sections to be completed in this submenu.

1. Details of the audit: important information related to the audit. All fields are mandatory.

The screenshot shows the ECERT web application interface. At the top, there is a navigation bar with 'Main Menu', 'Certificate holder search', and 'MN1004E | Xamodx NGO | Audit Detail'. Below this is a blue header with 'Contact details' and 'Flow of goods'. The main content area is titled 'Audit' and contains several form fields: 'Contract *', 'Audit start *', 'Audit end *', 'Next Planned *', 'Result *', 'Audit type *', 'Auditor *', and 'Comment'. The 'Contract *' field is highlighted in yellow. Below the form is a 'Files' table with columns for 'Select', 'Download', 'Edit', 'Filename', 'Access mode', 'File type', 'Date', 'Subject', 'File size (KB)', and 'Comment'. The table is currently empty, showing '0 - 0 of 0 records'.

- **Contract:** please choose one of the two available options: ASMO Fairmined Standard Ecological or ASMO Fairmined Standard Regular.
- **Audit start:** select the date when the audit started or took place.
- **Audit end:** select the date when the audit finished.
- **Next Planned:** the system automatically selects a date one year after the audit end date but you can select the option "Custom Date" to select the right date when the next audit is planned.

- **Result:** please select one of the three available options

A dropdown menu for the 'Result' field. The menu is open, showing three options: 'Audit completed', 'Audit not completed', and 'Audit suspended'. The 'Audit completed' option is highlighted in yellow.

- ✓ **Audit completed:** the auditor could finish the audit without any problems.
 - ✓ **Audit not completed:** the audit could not be completed because of critical problems.
 - ✓ **Audit suspended:** the audit has to be suspended because of a problem during the inspection .
- **Audit type:** please choose one of the options of the list field entries.

<div style="border: 1px solid #ccc; padding: 5px;"> <p>Documentary</p> <p>Exceptional audit</p> <p>FAB Physical audit</p> <p>Mock audit</p> <p>Physical audit year 0</p> <p>Physical audit year 1</p> <p>Physical audit year 2</p> <p>Physical audit year 3</p> <p>Physical audit year 4+</p> </div>	<p>Documentary:</p> <p>Exceptional audit: in particular cases, the Certification Body conducts additional unannounced audits or additional investigations at any time.</p> <p>FAB Physical audit: this does not apply for the ASMO. Only the First Authorized Buyer (FAB) audit.</p> <p>Mock Audit: this is the previous exercise before a real audit to assess the compliance with the Fairmined Standard.</p> <p>Physical audit year 0: This is the first audit to obtain the Fairmined Certification</p> <p>Physical audit year 1: This is the follow up audit after the first year the ASMO was certified.</p> <p>Physical audit year 2: This is the follow up audit the second year after the ASMO was certified.</p> <p>Physical audit year 3: This is the follow up audit for the third year after the ASMO was certified.</p> <p>Physical audit year 4+: it is the follow up audit for the fourth and additional years after the ASMO was certified.</p>
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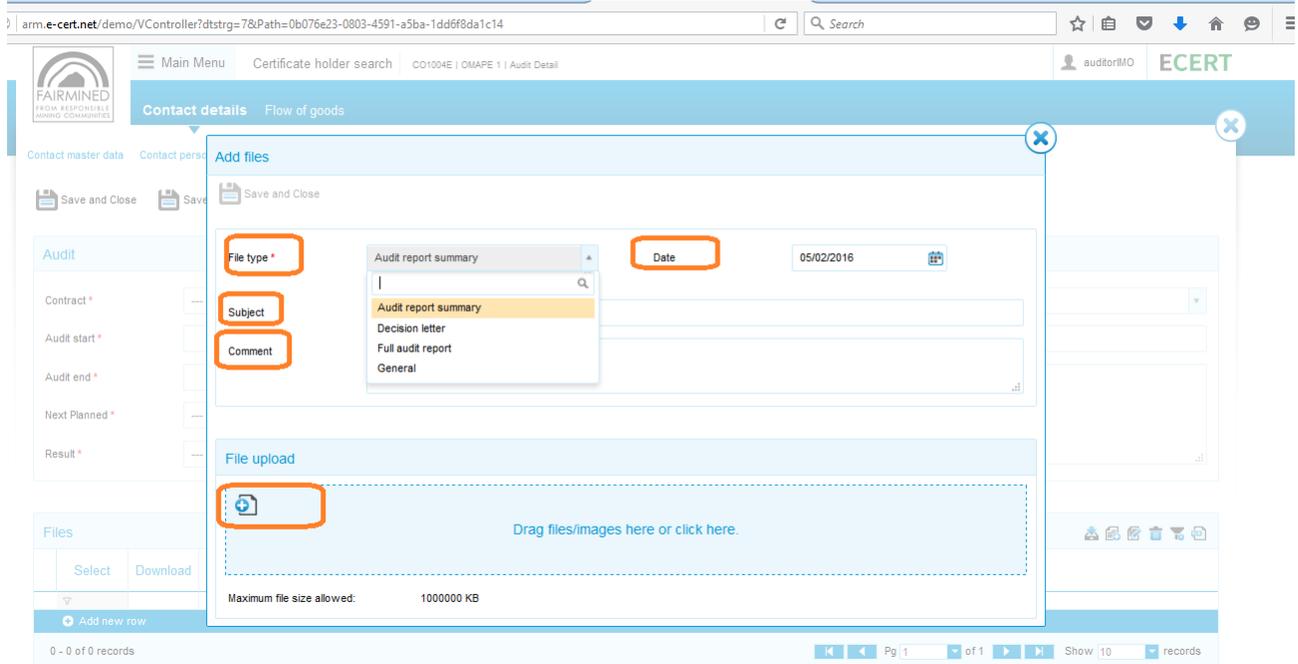
- **Auditor:** manual entry with the auditor's name.
- **Comment:** the auditor can write any additional information about the audit.

2. Files of the audit

Here, you will find all the documents related with an audit and you can add new documents.

Select	Download	Edit	Filename	Access mode	File type	Date	Subject	File size (KB)	Comment
Add new row									
0 - 0 of 0 records									

To add a new document, please click on the button “New”, and the following window will appear:



First and all, you need to choose the file type. The others fields are optional: the date, the subject and comments. Click on this icon  to add the files or images.

- **File type:** you have six types of files. You can choose any option of the list:

Audit invoice	Audit invoice: the offer or/and the audit invoice.
Decision letter	Decision letter: the notification letter sent to the ASMO when the audit concluded.
Full audit report	Full audit report: this is the control points list with the assessment of the ASMO and the auditor's findings for every Fairmined Standard requirement.
General	Summary audit report: this is the summary of the audit findings
Summary audit report	Support documents: any additional document.
Support documents	

- **Subject:** the name of the file or the topic of the file.
- **Comment:** you can add any relevant comment or note.
- **Date:** choose the date when the document was finished or issued.

Checking previous audit information

In the below section “**Results**”, a list with all entered audits information will be available. The auditor can search for specific audit results, see the audit details and download its respective attachments as well as export the list of audits.

The screenshot shows the 'Audits' sub-menu in the ECERT system. The table below represents the data shown in the interface:

Contr...	Audit type	Audit start	Audit end	Next planned	Result	Auditor	Documents
ASMO FAIRMINED Standard Ecological	Physical audit year 0	19/10/2014	22/10/2014	19/10/2015	Audit completed	Teresa Blanco	

Note: although the “Delete” option is available to you, please do not delete any recorded data from the system.

4.5. Certification

The certification officer/auditor will enter the certification decision in this sub menu after the approval of the evaluation results with regards to an ASMO’s compliance with the certification requirements.

Please, go to the menu **Contact details** -> sub menu **Certification**, please add the details of the certification decision: certification result, certified on, valid until and any comment (just it is necessary).

The screenshot shows the 'Certification' sub-menu in the ECERT system. The table below represents the data shown in the interface:

Contracts	Metals	Certification	Certification result	Certified on	Valid until	Comment (Certification)
ASMO FAIRMINED Standard Ecological		<input checked="" type="checkbox"/>	Certified	20/07/2015	30/10/2016	

- Certification result:** as it is defined with the ASMO’s Certification Body, there are these possible certification statuses

<div style="border: 1px solid #ccc; padding: 5px;"> <p>Certified</p> <p>Certified</p> <p>Certified with conditions</p> <p>De-Certified</p> <p>Not certified</p> <p>Suspended</p> <p>Temporarily suspended</p> </div>	<p>Certified: the certification is granted to the ASMO if the results of the audit were found to be in compliance with the Fairmined Standard.</p>
	<p>Certified with conditions: the certification is granted to the ASMO but with the commitment to comply with minor shortcomings.</p>
	<p>De-Certified: the ASMO did not request the follow up audit, it lost the Fairmined Certification status</p>
	<p>Not certified: the ASMO has been certified before, and requires continuation of certification, but the minimum requirements are no longer fulfilled, the ASMO is informed of non-conformity to take appropriate corrective measures.</p>
	<p>Suspended: the certification of the ASMO is suspended for a certain period. During this time, the ASMO is not allowed to make any reference to Fairmined Certification.</p>
	<p>Temporarily suspended: the certification of the ASMO is suspended for a short period of time, without any effect on the marketing activities meanwhile the ASMO can submit proof or corrected non-compliances.</p>

Note: See the details of every case in the chapter 5. In the document “IMO I 2.1.27 Certification in the Standard Procedures Control and Certification Fairmined”

- **Certified on:** the date when the certification body took the certification decision or issued the certificate.
- **Valid until:** the validity defined in the certificate.
- **Comments:** the certification officer/auditor can enter a comment.

Each change in the certification creates a new history data set, which gives the Certification Body and ARM the possibility to track every change in the certification and view the old history data sets.

Note: The Audit and Certification information will be seen for the ASMO’s employee and the ARM’s Standards and Certification team.

4.6. Certificates

This sub menu is just specialized in the Certificates.

New Certificate

You can upload the certificate clicking on the button “**New**”

The screenshot shows the ECERT web application interface. At the top, there are logos for Alliance for Responsible Mining, Fairmined, and Integrity Management Solutions, along with the ECERT logo. The main navigation bar includes 'Main Menu', 'Certificate holder search', and 'CO1004E | OMAPE 1 | Certificates'. A user profile 'auditorMO' is visible. The 'Certificates' sub-menu is active, and a 'New' button is highlighted with an orange box. Below the button is a table with columns: Finished, Preview, Edit, Certificate No., Issued by, Expiry date, Date issued, and Comment. The table currently shows 0 records. A pagination bar at the bottom indicates 'Pg 1 of 1' and 'Show 10 records'.

Clicking on the button “New”, you are forwarded to a window where the certificate information can be entered.

The screenshot shows the 'Certificate details' form. At the top, there are buttons for 'Save and Close', 'Save', 'Delete', 'Finish', and 'Cancel'. The form includes the following fields: 'Certificate no.' (text input), 'Issue date' (date picker showing 05/02/2016), 'Expiry date' (date picker), 'Issued by' (text input), and 'Comment' (text area). Below the form is a 'Certificate' field with a gray box and a refresh icon. At the bottom, there is a 'Files' section with a table for uploading files. The table has columns: Select, Download, Filename, Access mode, File type, Date, Subject, File size (KB), and Comment. The table currently shows 0 files.

Please add the details of the certificate:

- **Certificate No.:** write the number of the certificate.
- **Expiry date:** choose the end date of the certificate’s validity.
- **Issued by:** the name of the Certification body.
- **Issue date:** choose the date when the certificate was issued by the Certification Body.
- **Comments:** add additional comments in this box (optional)

Finally, upload the certificate clicking on the gray box

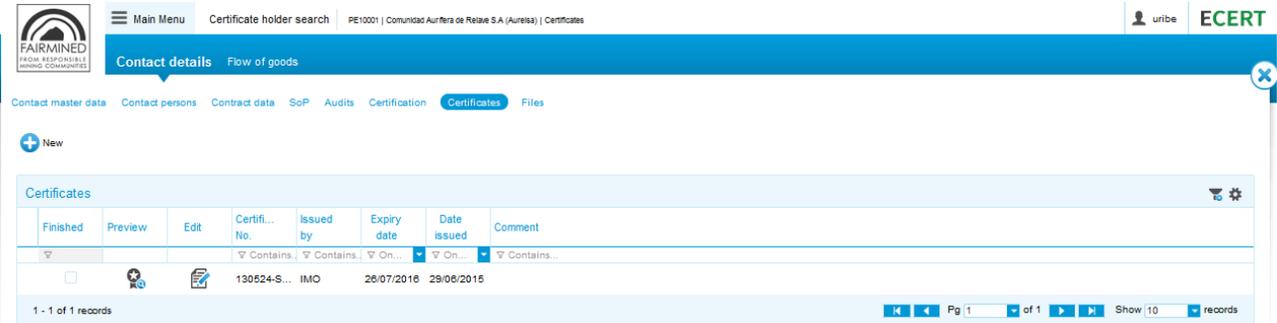
The screenshot shows a close-up of the 'Certificate' field. It features a gray box for uploading the certificate file, which is highlighted with an orange box. There is a refresh icon to the right of the box.

Finally, click on the button “Save and close” or “Save”.

See the list of certificates

In the below part of the Certificate sub menu, you will find a box with the title: **Files**.

You can download the certificates, if it is necessary. The ASMO and ARM's staff will also have access to this information in their Ecert accounts.



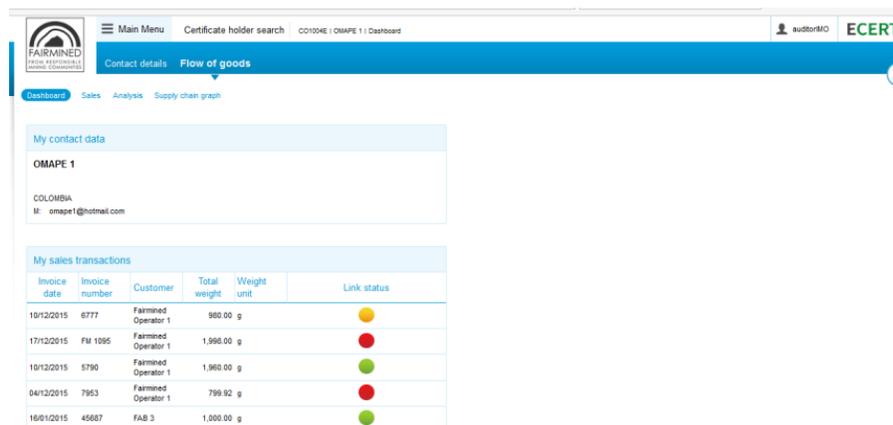
5. Flow of goods reports

This second menu “**Flow of goods**” is the portal where you (the auditor) can see all the confirmed sales transactions and the certificate pools registered by the ASMOs.



5.1. The submenu “Dashboard”

This gives an overview of the last transactions confirmed/registered in the system by the ASMO.



My contact data

OMAPE 1

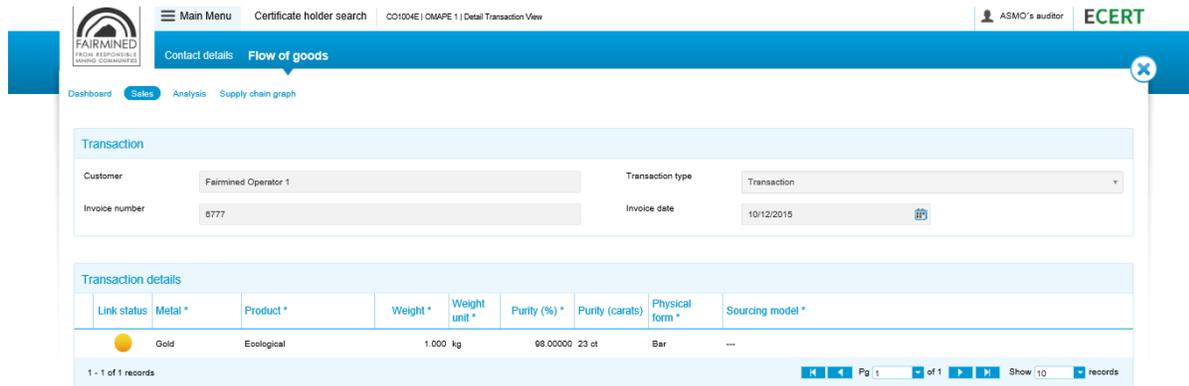
COLOMBIA
M: omape1@hotmail.com

My sales transactions

Invoice date	Invoice number	Customer	Total weight	Weight unit	Link status
10/12/2015	6777	Fairmined Operator 1	960.00 g		●
17/12/2015	FM 1095	Fairmined Operator 1	1,990.00 g		●
10/12/2015	5790	Fairmined Operator 1	1,960.00 g		●
04/12/2015	7953	Fairmined Operator 1	799.92 g		●
16/01/2015	45687	FAB 3	1,000.00 g		●

5.2. The submenu “Sales”

The auditor has the possibility to open the details of every transaction which the ASMO already compared with their physical/electronic invoices, and confirm or edit them.



The screenshot shows the ECERT system interface. At the top, there is a navigation bar with 'Main Menu', 'Certificate holder search', and 'CO1004E | CMAPE 1 | Detail Transaction View'. The user is identified as 'ASMO's auditor' and the system is 'ECERT'. The main content area is titled 'Contact details Flow of goods'. Below this, there are tabs for 'Dashboard', 'Sales', 'Analysis', and 'Supply chain graph'. The 'Transaction' section shows details for a transaction with Customer 'Fairmined Operator 1', Invoice number '6777', Transaction type 'Transaction', and Invoice date '10/12/2015'. Below this is a table for 'Transaction details' with columns: Link status, Metal, Product, Weight, Weight unit, Purity (%), Purity (carats), Physical form, and Sourcing model. The first row shows a yellow link status for Gold, Ecological product, 1,000 kg weight, 99.00000 23 ct purity, Bar physical form, and --- sourcing model. At the bottom, it indicates '1 - 1 of 1 records' and 'Pg 1 of 1'.

Transactions traffic lights

The traffic lights represent the “link status” of each transaction, showing if the ASMO verified the transaction submitted by its buyer (First Authorized Buyers), and whether this verification was positive or negative.

You can see the link status traffic lights when you are in the menu “**Flow of goods**”-> submenu “**Dashboard**” or submenu “**Sales**”:

- ✓ The link status of a transaction is **green**  (**Full match**): everything is correct. The ASMO confirmed all the transaction details registered by the buyer.
- ✓ The link status is **red**  (**No match**): the transaction was identified by both sides of the transaction (the invoice number and date entered by the buyer and the ASMO are the same) but different values were entered (for example: different weights, product types or metals). Or the ASMO tried to confirm the transaction but found different values and changed the weights, product type or metal.
- ✓ The link status is **yellow**  (**Not confirmed**): transactions are not matched yet because the ASMO has entered a different invoice number and/or invoice date that it was registered by the buyer.

Note: Ecert is an important tool for the auditors because it helps them with the documentary traceability of the transactions. In the audit, the auditors can compare all the Fairmined invoices with the information recorded in Ecert and, if necessary, ask for clarifications.

5.3. The submenu “Analysis”

You have two available tabs: **Link status** and **Flow of goods status**.

5.3.1. The link status tab

Filter

Invoice date: <22/08/2015 - 22/02/2016> X Submission date: < > X Link status: ...

Supplier/Customer: ... Metal: ... Search

List of all the Sales transactions

My company		Customer
6,238 g	1,960 g	Fairmined Operator 1
6,238 g	1,960 g	Gold
3 g		WD FAB
3 g		Gold

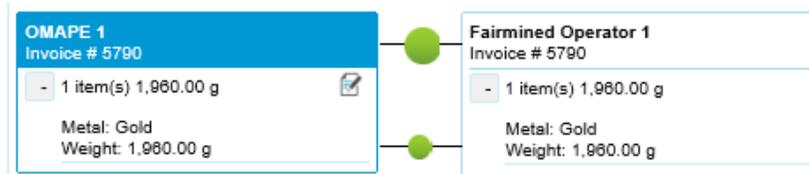
By default all the sales transactions appear with three columns. The first, “**My company**”, are the respective weights confirmed by the ASMO. The second column indicates the weight registered by the buyer. Finally, the third one called “**Customer**” shows the list of the names of the buyers (Fairmined Authorized operators).

You can click on a specific transaction to see its details: the link status, the ASMO (the supplier), the buyer’s name and the invoice number.

The options

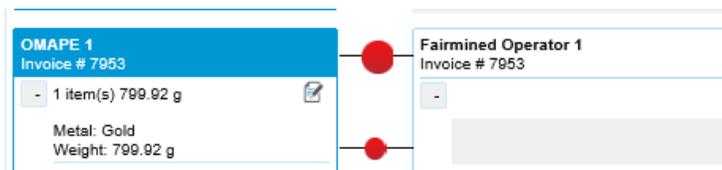
• **Full match transaction**

When the purchase has been confirmed by both sides, you will see the same information submitted by the ASMO and the buyer.



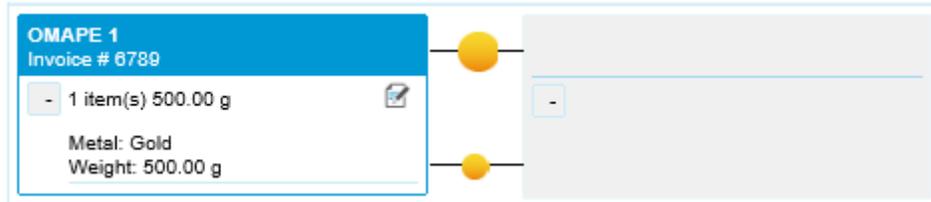
• **Not match transaction**

On the left side, you will only see the name of the ASMO with the transaction information the buyer submitted. On the right side, you can see the buyer’s name and the invoice number.



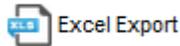
• **Not confirmed transaction**

In case the ASMO has checked and changed the invoice number or date, you will see the weight and metal on in the left and, on the right, just a grey box without any data.



Additional options:

- ✓ To export all the transactions report to Microsoft Excel you click on the following icon

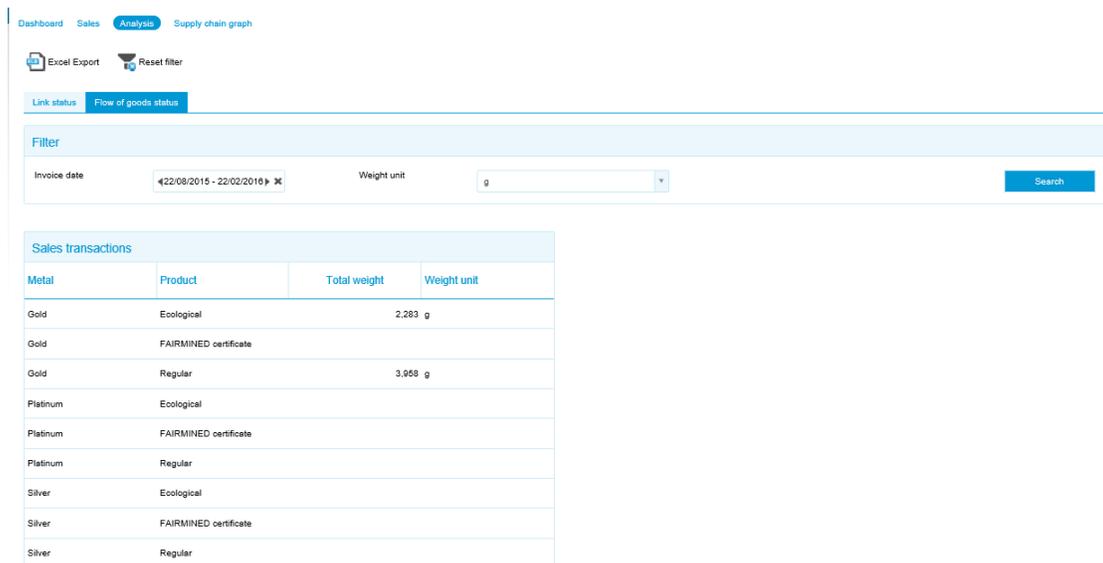


in the upper left corner. An automatic download of an Excel file will then start. You can save the document or open it directly.

5.3.2. Flow of goods status

This report is useful when you need the total of all the sales confirmed/edited by the ASMO.

Define a period to generate a report by choosing a range of dates in the box “Invoice date” and click on the button **Search**. You can also choose the weight unit for your report.



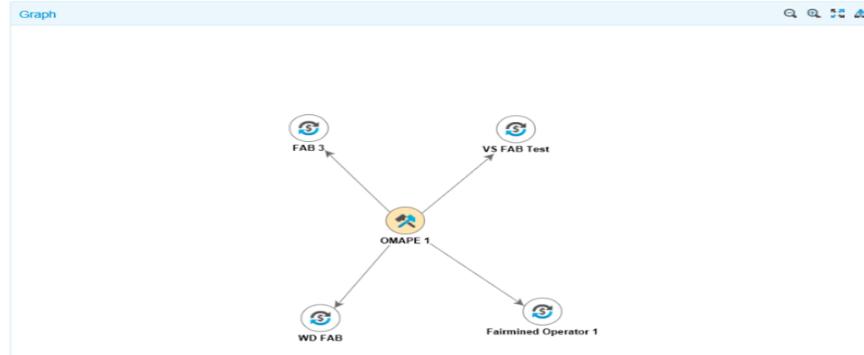
Metal	Product	Total weight	Weight unit
Gold	Ecological	2,283	g
Gold	FAIRMINED certificate		
Gold	Regular	3,958	g
Platinum	Ecological		
Platinum	FAIRMINED certificate		
Platinum	Regular		
Silver	Ecological		
Silver	FAIRMINED certificate		
Silver	Regular		

5.4. The submenu “Supply chain graph”

Linked transactions can be visualized as a supply chain graph showing the name of the supplier (the ASMO) and the First Authorized Buyers (FAB) names.

Click menu “Flow of goods” -> submenu “Supply chain graph”

Example: OMAPE 1 sells to FAB3, VS FAB Test, WD FAB and Fairmined Operator 1.



6. Summary of the actions in Ecert

The role of the Certification Body in Ecert is very important, because all the auditors and the Certification officer will provide the specific information of the audits and the certification results. Additionally, all the information will be centralized so that the ASMO, ARM’s staff and the auditors can consult it at any moment.

You will have an active role reporting information or consulting previous recorded information in the following sub menus:

- **Contract data:** change the status during the process.
- **Audit:** add audit information and documents.
- **Certification:** register the certification results.
- **Certificates:** upload the certificates.
- Menu **Flow of goods** and all **the submenus:** consult all the registered Fairmined transactions.

You will have access to the following information in the submenus, but you will not have the responsibility to change it. In special cases you can update or add more information.

- **Contact master data:** the ASMO contact information details.
- **SoP:** where the application form and the documents are.

We wish you a lot of success with the Ecert system, expecting that it adds value to the assurance of the Fairmined Certification

In case you need support please write to: ecert@responsiblemines.org