

Ecert user manual for the auditors of the **Fairmined Authorized Buyers**

Fairmined Information system Version 1.0 March 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 authorized and recognized auditors by ARM to control the integrity of the chain of custody more efficiently and cost-effectively.

As an auditor of the Audit Body, you have one of the most important roles in the assurance scheme because you will report all the information of the audits results and give support to define the authorization to trade to all Fairmined buyers. Additionally, you will find all the information of your clients in just one place; you will also help to centralize the information of the audits, where the clients and ARM can consult it. As well as, you can use the purchases and 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

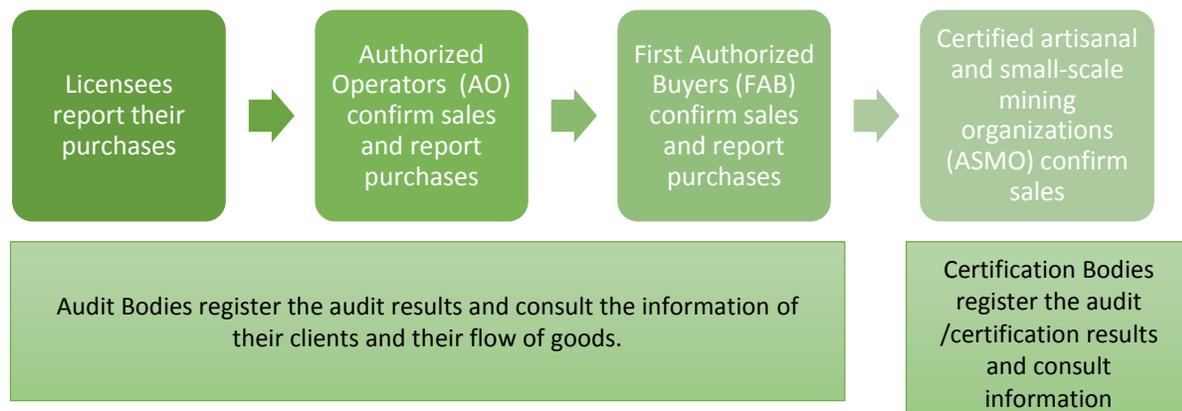
Ecert is the software to support the process of flow of goods reporting (purchases and sales), the auditing process, and the certification information.

Only artisanal and small-scale mining organizations, Authorized Operators, Licensees, Certification Bodies, Audit 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 and audit bodies report the auditing and certification results.

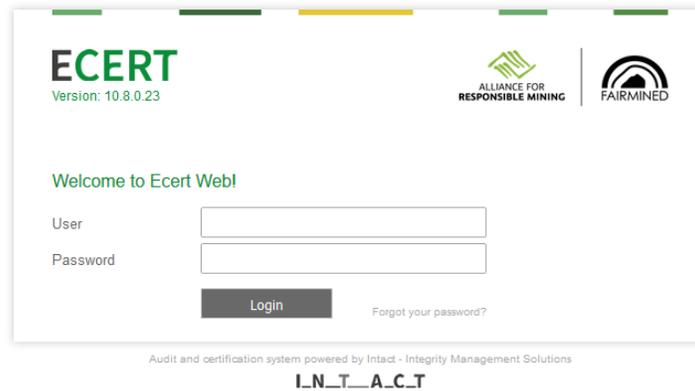
Every actor in the Fairmined Certification System will have access to their own audit, authorization or certification's information registered by the auditors or ARM's team; this will strengthen the efficiency of the process and the access to the information.



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 the 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 Web login interface. At the top left, the ECERT logo is displayed with the version number 10.8.0.23. To the right are the logos for the Alliance for Responsible Mining and Fairmined. The main heading is "Welcome to Ecert Web!". Below this are two input fields: "User" and "Password". A "Login" button is positioned below the password field, and a "Forgot your password?" link is to its right. 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 Audit Body can request the registration of other auditors or persons involved in the Audit 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

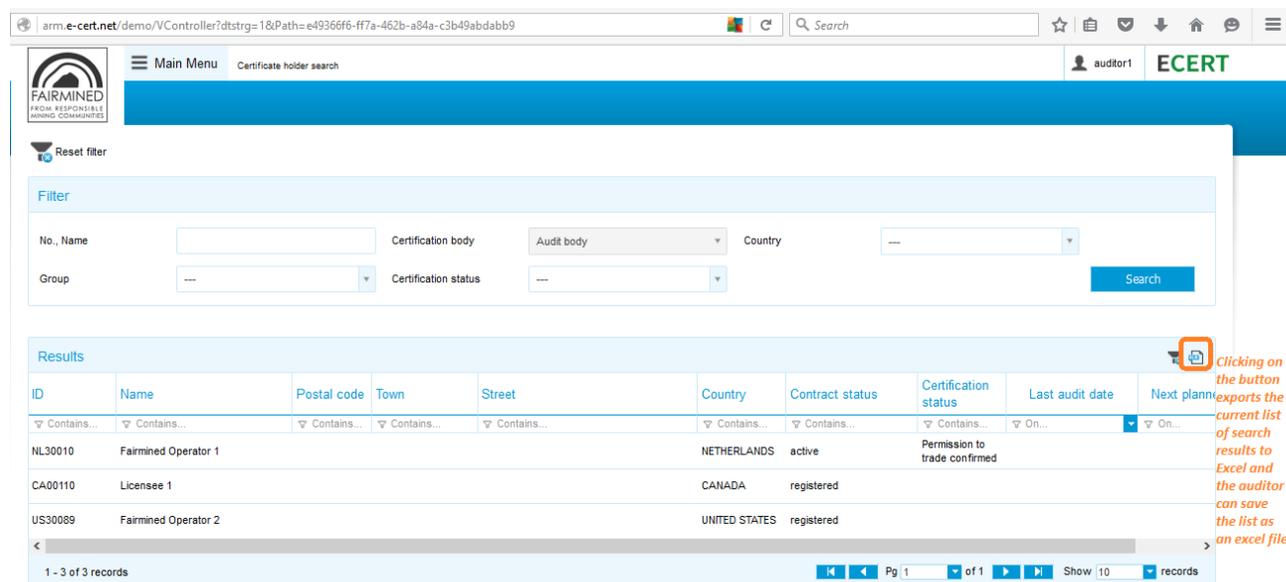
After you (the auditor) have created your username and password and you enter Ecert, the user is forwarded to the Certificate Holder Search page.

 Main Menu Certificate holder search

This gives you the possibility to look-up the list of the Fairmined authorized buyers - First authorized Buyer/Authorized Operators/Licensees- which are your clients and you can 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 assigned Fairmined authorized buyers to your audit body, the name of the Fairmined authorized buyers, Town, Street, Country, Contract Status, Certification Status and Last audit date.



arm.e-cert.net/demo/VController?dtstrg=1&Path=e49366f6-ff7a-462b-a84a-c3b49abdabb9

Search

auditor1 ECERT

Reset filter

Filter

No., Name Certification body Audit body Country

Group Certification status Search

Results

ID	Name	Postal code	Town	Street	Country	Contract status	Certification status	Last audit date	Next plan
NL30010	Fairmined Operator 1				NETHERLANDS	active	Permission to trade confirmed		
CA00110	Licensee 1				CANADA	registered			
US30089	Fairmined Operator 2				UNITED STATES	registered			

1 - 3 of 3 records Pg 1 of 1 Show 10 records

Clicking on the button exports the current list of search results to Excel and the auditor can save the list as an excel file

You can export the list of the Fairmined buyers to Microsoft Excel according to the parameters defined in the filter.

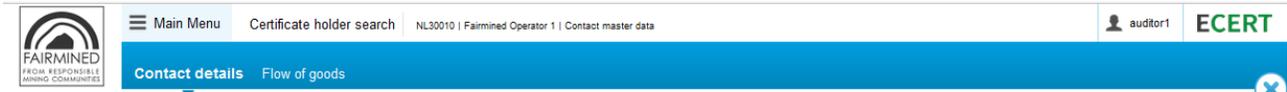
4. Fairmined Audit and Authorization management menu

Here you will find all the information of your client(s), and it is expected that you complete some parts of this section during the audit process.

In this section, you will find out details of the Fairmined authorized buyers like the contact information, the contract status, the previous audit reports, the authorization results, the certificates and any other relevant document.

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

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

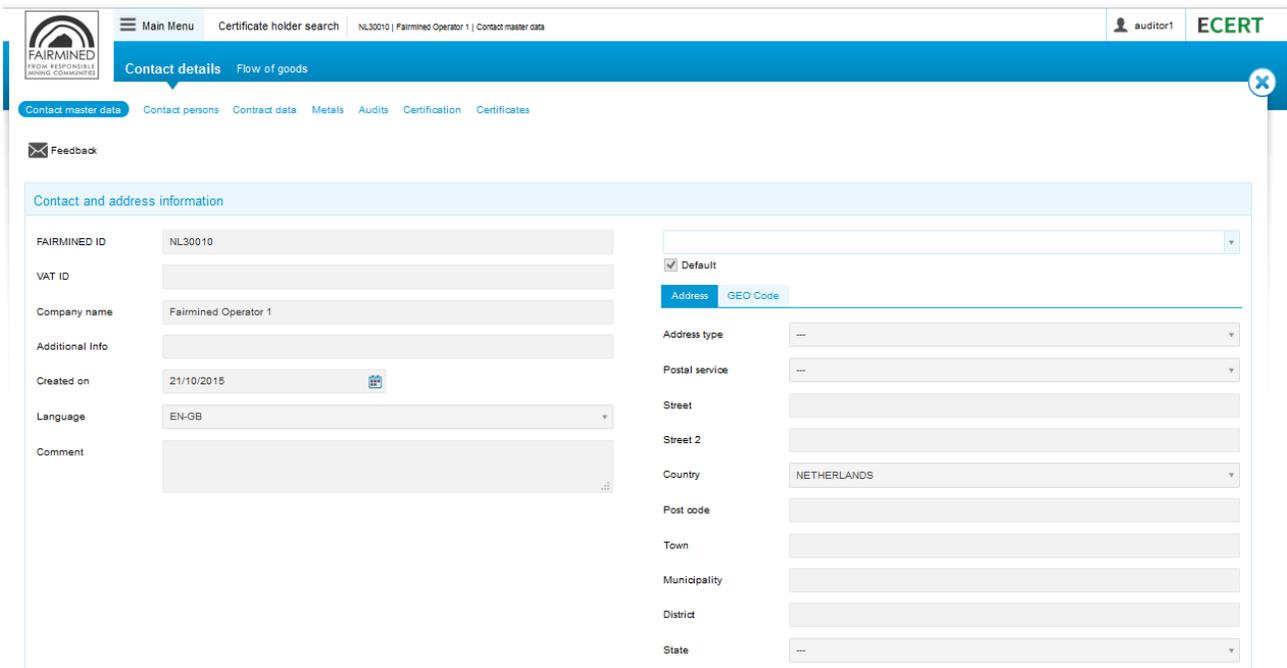


4.1. Contact information details of the Fairmined authorized Buyers

By clicking on a Fairmined Authorized Buyer's line, you can see the Fairmined Authorized Buyer 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 buyer in the application/BSAQ 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



The screenshot shows the 'Contact master data' form in the ECERT system. The form is divided into two main sections: 'Contact and address information' and 'Address' details.

Contact and address information:

- FAIRMINED ID: NL30010
- VAT ID: (empty)
- Company name: Fairmined Operator 1
- Additional Info: (empty)
- Created on: 21/10/2015
- Language: EN-GB
- Comment: (empty)

Address details:

- Address type: (dropdown menu)
- Postal service: (dropdown menu)
- Street: (text input)
- Street 2: (text input)
- Country: NETHERLANDS
- Post code: (text input)
- Town: (text input)
- Municipality: (text input)
- District: (text input)
- State: (dropdown menu)

Second part: Contact info

Contact type *	Contact data	Comment	Default
E-mail	fairminedoperator1@hotmail...		<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 Fairmined Authorized Buyer. For instance: the main contact of the Fairmined Authorized Buyer, the ARM account manager and the auditor.

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

Contact persons	
ARM Account Manager  Kenneth Porter M: kennethporter@responsiblemi...	CB contact  Auditor 1 M: auditor1@hotmail.com GB
Employee  Fairmined operator 1 staff M: operator1staff@hotmail.com NL	

4.2. The status during the process to be a Fairmined Authorized Buyer

In the “Contract data” section, you (the auditor) will find the last current status condition of the Fairmined Authorized Buyer in terms of the process to grant the permission to trade Fairmined certified gold and associated precious metals, with some details about the audit/inspection body, the reporting count start/end date and the contract from/until date.

Season	Master Service	Contract	Contract status	Inspection body	Reporting count	Reporting count ends	Contract from	Contract until
— ongoing	---	FAB FAIRMINED Standard	Audit report issued	SCS Global Services	20/01/2016	13/03/2014		

- **Contract:** is assigned according to the specific type of Fairmined Authorized Buyer requested in the Application/BSAQ form. There are just three possibilities:
 - **FAB FAIRMINED Standard:** this contract is assigned to the Fairmined Operators who are the First Authorized Buyer (FAB). They purchase directly from the ASMOs.
 - **AO FAIRMINED Standard:** this contract is assigned to all the Authorized Operators (AO) who do not purchase directly from the ASMO. They buy from other Fairmined Operators and sell to Licensees or other Fairmined Operators.

- **Licensee FAIRMINED Standard:** this contract is assigned to the licensees who purchase from the authorized operators and may use the Fairmined Label in combination with claims according to the market models, Fairmined Incorporated and Labeled.
- **Contract status:** are the different moments during the authorization process of the Fairmined Operators and Licensees to trade Fairmined metals. The possibilities are: ID Allocation, Introduced to CB, Audit in process, Audit report issued, Certificate issued, Reminder sent, Suspension warning 1, Suspended, Termination warning 1, Termination warning 2, Inactive.
- **Inspection body:** there are two possibilities “Alliance for Responsible Mining” and the “Audit Body name”.
- **Reporting count starts:** the start date when the sanction period during the flow of goods reporting process or/and when the audit body sets any change during the audit (see in the next page 11 **“Changes in the contract status by the auditor”**)
- **Reporting count ends:** the end date of a sanction period during the flow of goods reporting process.
- **Contract from:** the date when the Fairmined Authorized buyers sign the Permit to Trade or the Licensee signs the License Agreement.
- **Contract until:** leave in blank. It has a date just in case the Fairmined authorized buyer 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: ID Allocation, Introduced to CB, Certificate issued, Reminder sent, Suspension warning 1, Suspended, Termination warning 1, Termination warning 2, Inactive.

- **Authorization process:** ID Allocation, Introduced to CB, Certificate issued, Suspended, Inactive.

Contract status	Inspection body	Reporting count starts	Reporting count ends	Contract from	Contract until
ID Allocation	ARM	It is blank.	It is blank	The date when the ID was allocated.	It is blank
Introduced to CB	Name of the inspection body	The date when the authorized buyers is introduced to the audit body.	It is blank	It is the date of the ID Allocation.	It is blank
Certificate issued	ARM	The date when the certificate was issued.	It is blank.	It is the date of the ID Allocation.	It is blank
Inactive	ARM	The date when it is issued the	It is blank	It is the date of the ID Allocation..	It is blank

		termination of the Fairmined Permit to Trade/License Agreement.			
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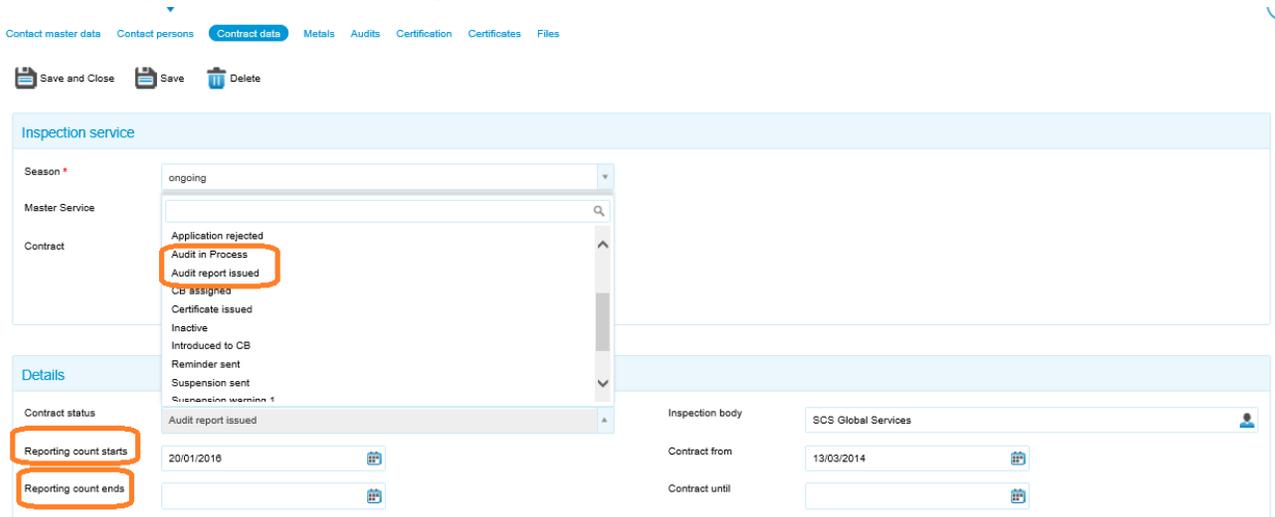
- **Reporting process:** Reminder sent, Suspension warning 1, Suspended, Termination warning 1, Termination warning 2.

Contract status	Inspection body	Reporting count starts	Reporting count ends	Contract from	Contract until
Reminder sent	ARM	Date when the reminder is sent	Date of the end of the reminder	It does not have any change	It does not have any change
Suspension warning 1	ARM	Date when the suspension warning 1 is sent	Final date of the period of the suspension warning		
Suspended	ARM	Date when the buyer is suspended	Final date of the period of the suspension		
Termination warning 1	ARM	Date when the termination warning 1 is sent	Final date of the period of the termination warning 1		
Termination warning 2	ARM	Date when the termination warning 2 is sent	Final date of the period of the termination warning 2		

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:** you need to do the changes in the contract status and the dates in this section.



The screenshot shows the software interface for managing contract data. The top navigation bar includes 'Contact master data', 'Contact persons', 'Contract data' (highlighted), 'Metals', 'Audits', 'Certification', 'Certificates', and 'Files'. Below the navigation bar are 'Save and Close', 'Save', and 'Delete' buttons. The main content area is divided into three sections: 'Inspection service', 'Details', and 'History Contracts'. In the 'Inspection service' section, the 'Contract' dropdown menu is open, showing options like 'Application rejected', 'Audit in Process', 'Audit report issued', 'CB assigned', 'Certificate issued', 'Inactive', 'Introduced to CB', 'Reminder sent', 'Suspension sent', and 'Suspension warning 1'. 'Audit in Process' and 'Audit report issued' are highlighted with orange boxes. In the 'Details' section, the 'Contract status' dropdown is also open, showing 'Audit report issued' highlighted with an orange box. Below this, the 'Reporting count starts' and 'Reporting count ends' fields are highlighted with orange boxes, with the first field containing the date '20/01/2016'. On the right side, the 'Inspection body' is set to 'SCS Global Services', and the 'Contract from' and 'Contract until' dates are '13/03/2014'.

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 audit body	Date when the contract/offer (whichever first) is signed by the Fairmined authorized buyer with the audit body.	Date when it is the end of the signed contract/offer.	Do not change it	Leave in blank.
Audit report issued		Date when the audit report was issued.	Do not change it	Do not change it	

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

Chan... on	Chan... by	Contr...	Repor... count	Repor... count	Conlr... status	Inspe... body	Conlr... from	Conlr... until	Season
08/02/2016	Ecert	FAB FAIRMINED Standard	20/01/2016		Audit report issued	SCS Global Services	13/03/2014		ongoing
08/02/2016	Ecert	FAB FAIRMINED Standard			ID Allocation		13/03/2014		ongoing

1 - 2 of 2 records

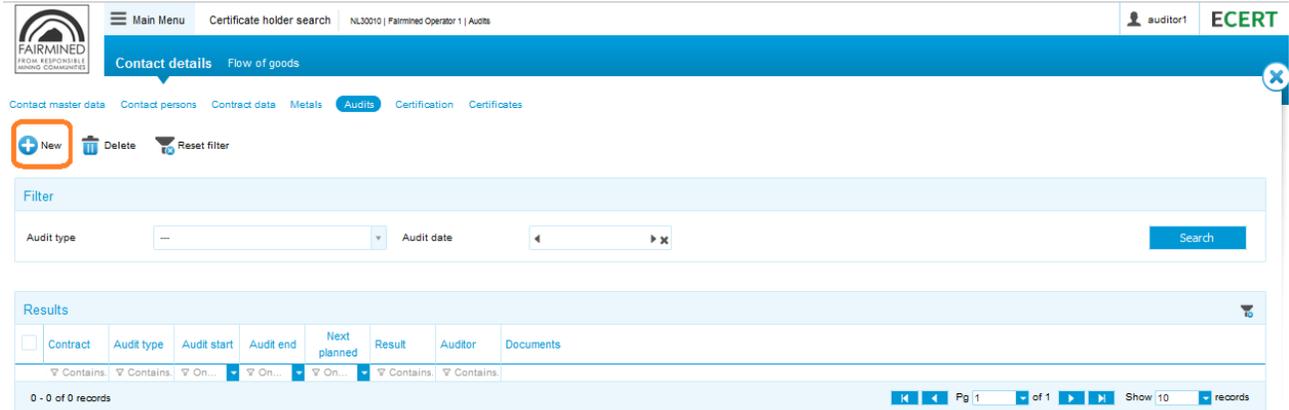
4.4 Audit information

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





FAIRMINED FROM RESPONSIBLE MINING COMMUNITIES

Main Menu Certificate holder search NL30010 | Fairmined Operator 1 | Audits auditor1 ECERT

Contact details Flow of goods

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

+ New Delete Reset filter

Filter

Audit type --- Audit date < > Search

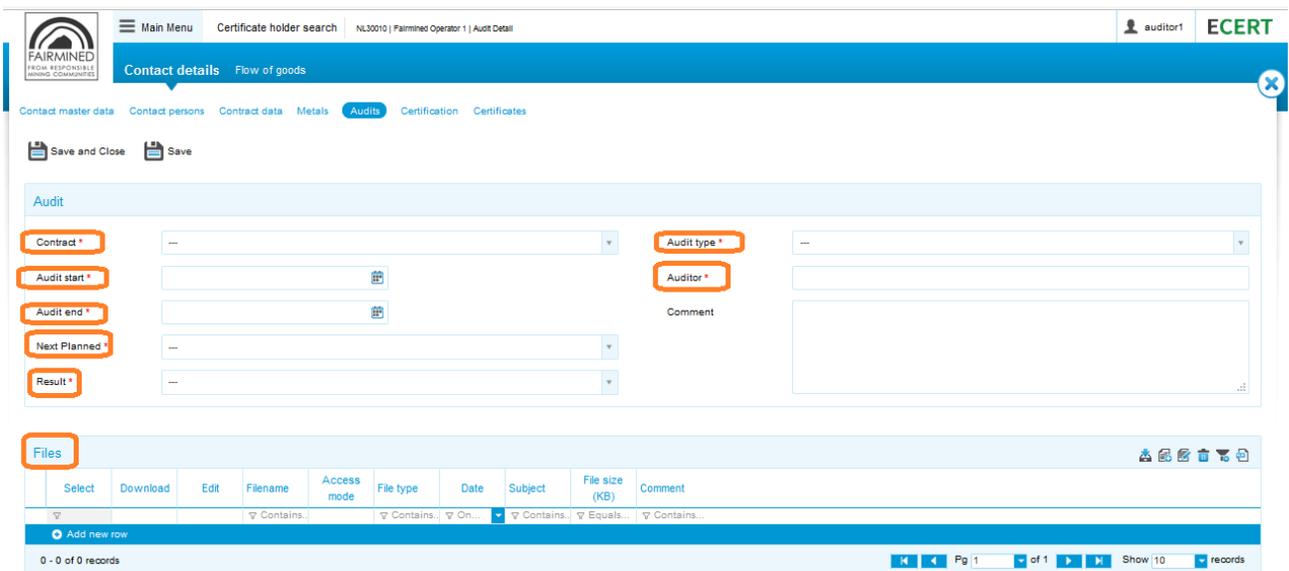
Results

<input type="checkbox"/>	Contract	Audit type	Audit start	Audit end	Next planned	Result	Auditor	Documents
Contains Contains On... On... On... On... Contains Contains								

0 - 0 of 0 records Pg 1 of 1 Show 10 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.



FAIRMINED FROM RESPONSIBLE MINING COMMUNITIES

Main Menu Certificate holder search NL30010 | Fairmined Operator 1 | Audit Detail auditor1 ECERT

Contact details Flow of goods

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

Save and Close Save

Audit

Contract * --- Audit type * ---

Audit start * --- Auditor * ---

Audit end * --- Comment

Next Planned * ---

Result * ---

Files

Select	Download	Edit	Filename	Access mode	File type	Date	Subject	File size (KB)	Comment
Contains Contains On... On... On... On... Equals... Contains...									

0 - 0 of 0 records Pg 1 of 1 Show 10 records

- **Contract:** please choose one of the two available options: FAB FAIRMINED Standard, AO FAIRMINED Standard, Licensee FAIRMINED Standard according to the role of your client has in the Fairmined supply chain.
- **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

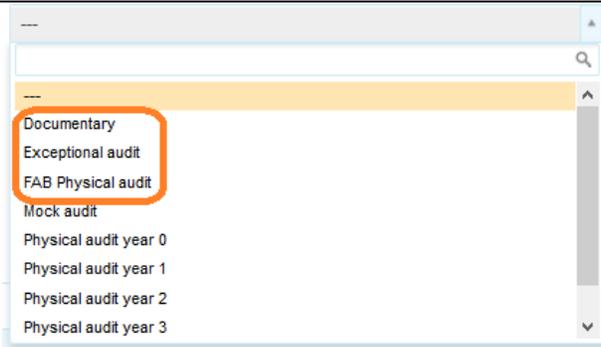
Audit completed

Audit not completed

Audit suspended



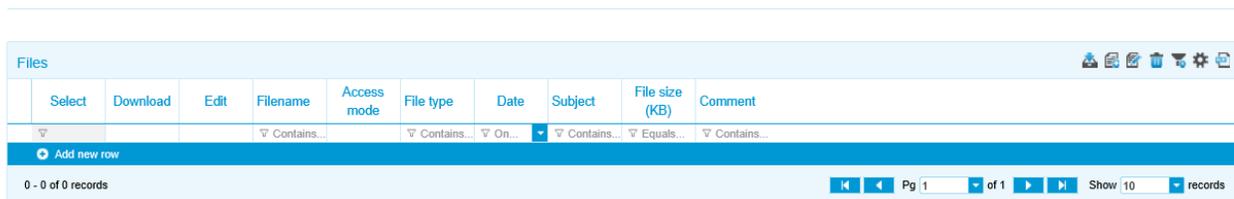
- ✓ **Audit completed:** the auditor finished the audit without any problems.
 - ✓ **Audit not completed:** the audit could not be completed because of critical problems.
 - ✓ **Audit suspended:** the audit has to be suspended because of a problem during the verification process.
-
- **Audit type:**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

	<p>Documentary: is the inspection of documentary evidences which supports the compliance with the requirements of the Fairmined Standard. This is for the Authorized Operators and licensees.</p> <p>Exceptional audit: in particular cases, the Audit Body conducts additional audits or additional investigations at any time.</p> <p>FAB Physical audit: this is the physical audit for the specific Authorized Operators: the First Authorized Buyer (FAB). They are the Authorized Operators who buy directly to the ASMOs.</p> <p>*The other options are for the ASMO audits. You do not need to use them.</p>
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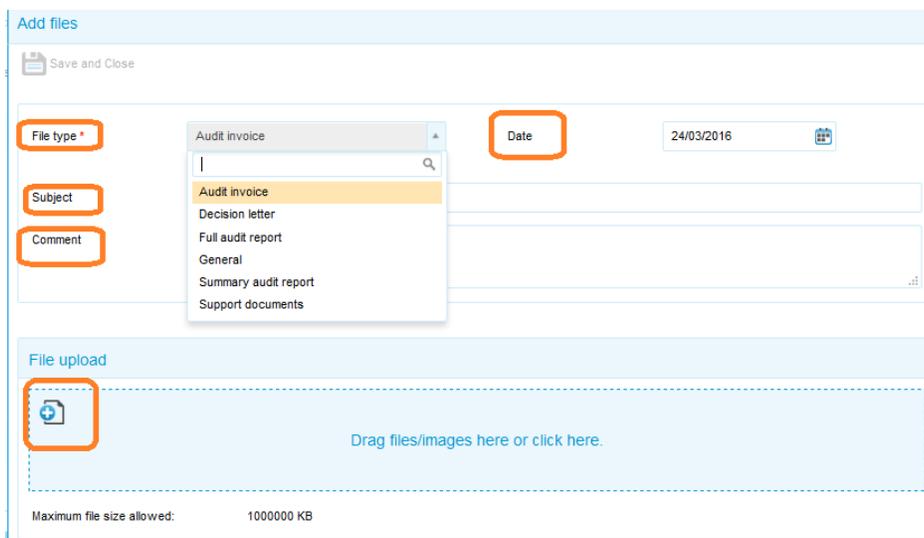
- **Auditor:** manual entry of the auditor's name.
- **Comment:** the auditor can write any additional information about the audit.

2. Files of the audit

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



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



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

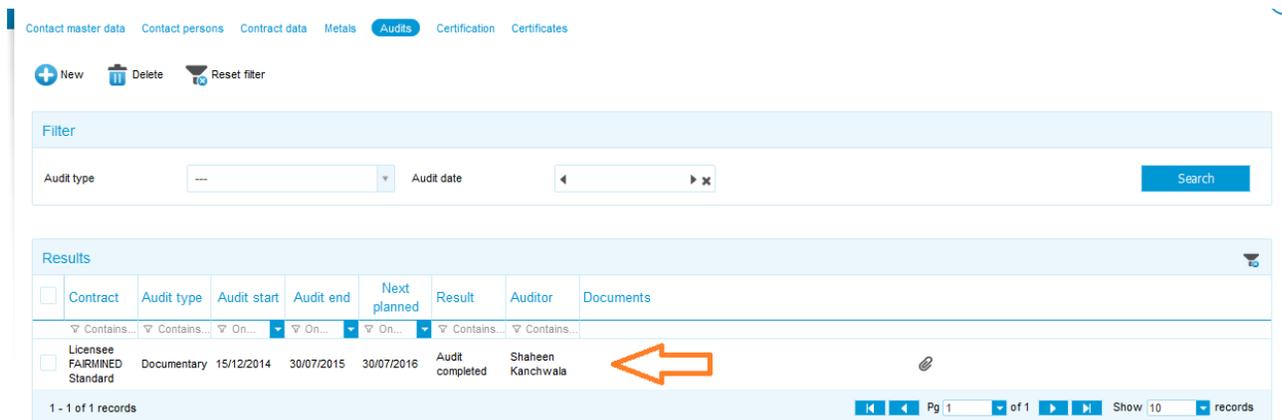
- **File type:** you have six types of files. You can choose any option of the list:

Audit invoice	Audit invoice: the offer or/and the audit invoice.
Decision letter	Decision letter: the notification letter sent to the authorized buyer when the audit concluded.
Full audit report	Full audit report: this is the Fairmined audit check assessment and the auditor's findings.
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 audit 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.



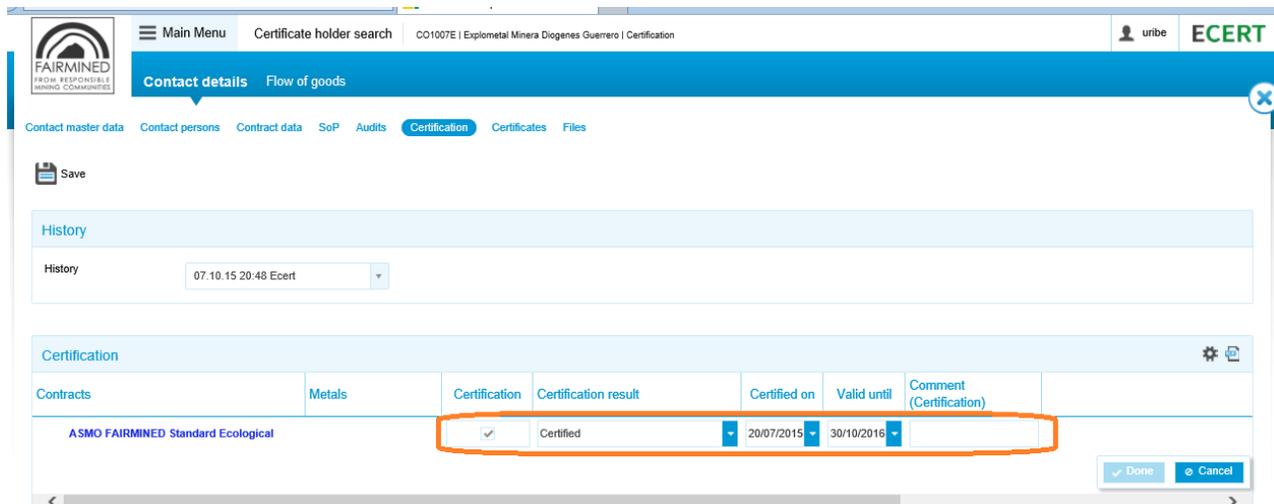
The screenshot shows a web application interface for managing audits. At the top, there are navigation tabs: Contact master data, Contact persons, Contract data, Metals, Audits (selected), Certification, and Certificates. Below the tabs are buttons for New, Delete, and Reset filter. A filter section allows searching by Audit type and Audit date. The main area displays a table of results with columns: Contract, Audit type, Audit start, Audit end, Next planned, Result, Auditor, and Documents. A single record is shown for Licensee FAIRMINED Standard, with an orange arrow pointing to the 'Documents' column. The footer indicates 1 - 1 of 1 records and shows pagination controls.

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

4.5. Certification

ARM´ Standards and Certification staff member will enter the authorization decision in this sub menu after the analysis of the audit results with the audit body regarding to the compliance with the Fairmined Standard and its Market Annex requirements.

In the **Contact details** -> sub menu **Certification**, you will see the details of the certification decision: certification result, certified on, valid until and any comment (just if it is necessary).



The screenshot shows the 'Contact details' page for 'ASMO FAIRMINED Standard Ecological'. The 'Certification' tab is active, displaying a table with the following data:

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:** although it is not a certification result, the system has this name, but it is the authorization result. There are these possible certification statuses.

	AO FAIRMINED Standard FAB FAIRMINED Standard	Licensee FAIRMINED Standard	Definition
Certification status	Authorized (PtT*)	Authorized (LA*)	When the operators and licensees are authorized by ARM and they sign the Permit to trade/License agreement.
	Authorized (audited)	Authorized (audited)	When the Fairmined Authorized Buyers undergo an audit and receive the confirmation of its authorization to trade Fairmined metals and make claims.
	Authorized with conditions (audited)	Authorized with conditions (audited)	When the Fairmined Authorized Buyers undergo an audit and receives the confirmation of its authorization to trade Fairmined metals and make claims but under some conditions.
	PtT terminated	LA terminated	It is the status when the Permit to Trade (PtT) and the License Agreement (LA) is terminated because of non-compliance with the Fairmined Standard requirements and/or the lack of compliance with the defined responsibilities in the PtT and LA.
	Suspended	Suspended	It is when the Authorized Buyers is suspended to trade and make claims during a period of time.

Note: See the details of the last two certification status in the Permit to trade and License agreement.

- **Certified on:** the date when ARM took the authorization decision or issued the certificate.
- **Valid until:** the validity defined in the certificate.
- **Comments:** ARM staff member can enter a comment.

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

Note: The audit and authorization information can be seen by the Fairmined authorized buyers, the auditors, and ARM's Standards and Certification team.

4.6. Certificates

This sub menu is specialized in the Certificates.

New Certificate

ARM will upload the certificates clicking on the button “**New**” and completing the details of the certificate.

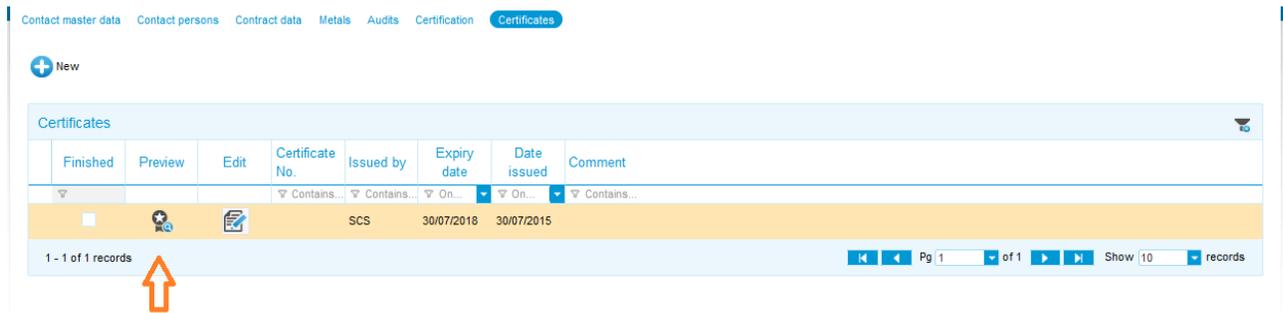
See the list of certificates

In the below part of the Certificate sub menu, you will find all certificates.

You can download the certificates, if it is necessary, clicking on the icon “Preview”. The authorized buyer and ARM's staff will also have access to this information in their Ecert accounts.

You will see the details of the certificate:

- **Certificate No:** the number of the certificate.
- **Expiry date:** the end date of the certificate's validity.
- **Issued by:** ARM as the Authorization Body.
- **Issue date:** the date when the certificate was issued by the ARM.
- **Comments:** add additional comments in this box (optional)



The screenshot shows a web application interface for managing certificates. At the top, there is a navigation menu with options: Contact master data, Contact persons, Contract data, Metals, Audits, Certification, and Certificates (which is highlighted). Below the navigation is a '+ New' button. The main content area is titled 'Certificates' and contains a table with the following columns: Finished, Preview, Edit, Certificate No., Issued by, Expiry date, Date issued, and Comment. The table has one row with the following data: Certificate No. SCS, Issued by 30/07/2018, and Expiry date 30/07/2015. Below the table, there is a pagination bar showing '1 - 1 of 1 records' and 'Pg 1 of 1'. An orange arrow points to the 'Preview' icon in the table row.

5. Flow of goods reports

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

FAIRMINED FROM RESPONSIBLE MINING COMMUNITIES

Main Menu Certificate holder search NL30010 | Fairmined Operator 1 | Dashboard

audit01 ECERT

Contact details **Flow of goods**

Dashboard Purchase Sales Analysis Supply chain graph

5.1. The submenu “Dashboard”

This gives an overview of the last registered/confirmed transactions in the system by the Fairmined Authorized Operators/Fairmined Licensees.

View of a Fairmined Authorized operator

FAIRMINED FROM RESPONSIBLE MINING COMMUNITIES

Main Menu Certificate holder search NL30010 | Fairmined Operator 1 | Dashboard

audit01 ECERT

Contact details **Flow of goods**

Dashboard Purchase Sales Analysis Supply chain graph

My contact data

Fairmined Operator 1

NETHERLANDS
M: fairminedoperator1@hotmail.com

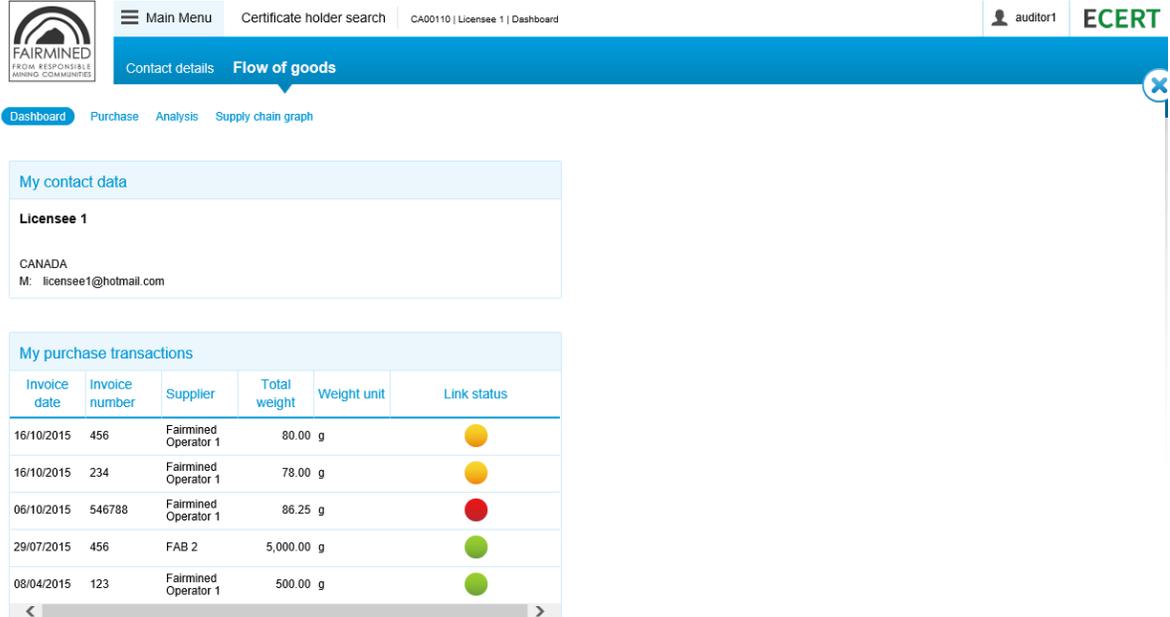
My purchase transactions

Invoice date	Invoice number	Supplier	Total weight	Weight unit	Link status
10/12/2015	ASM1	ASMO 2 CO10003	950.00	g	●
09/12/2015	675	ASMO 3 CO1006E	26.40	g	●
04/12/2015	7953	OMAPE 1 CO1004E	999.90	g	●
11/11/2015	5678	ASMO 3 CO1006E	1,000.00	g	●
30/06/2015	K567	OMAPE 1 CO1004E	1,800.00	g	●

My sales transactions

Invoice date	Invoice number	Customer	Total weight	Weight unit	Link status
27/10/2015	5680	Fairmined Operator 2 US30089	778.75	g	●
27/10/2015	780	Fairmined Operator 2 US30089	798.00	g	●
01/10/2015	89246	Licensee 2	134.00	g	●
30/09/2015	9130	Fairmined Operator 2 US30089	1,400.00	g	●
21/08/2015	B567	Licensee 5	400.00	g	●

View of a Fairmined Licensee



The screenshot shows the ECERT web application interface. At the top, there is a navigation bar with 'Main Menu', 'Certificate holder search', and 'CA00110 | Licensee 1 | Dashboard'. The user is logged in as 'auditor1'. The main content area is titled 'Flow of goods' and includes a sub-menu with 'Purchase', 'Analysis', and 'Supply chain graph'. Below this, there is a section for 'My contact data' for 'Licensee 1' with details: CANADA, M: licensee1@hotmail.com. The 'My purchase transactions' section contains a table with the following data:

Invoice date	Invoice number	Supplier	Total weight	Weight unit	Link status
16/10/2015	456	Fairmined Operator 1	80.00	g	Yellow circle
16/10/2015	234	Fairmined Operator 1	78.00	g	Yellow circle
06/10/2015	546788	Fairmined Operator 1	86.25	g	Red circle
29/07/2015	456	FAB 2	5,000.00	g	Green circle
08/04/2015	123	Fairmined Operator 1	500.00	g	Green circle

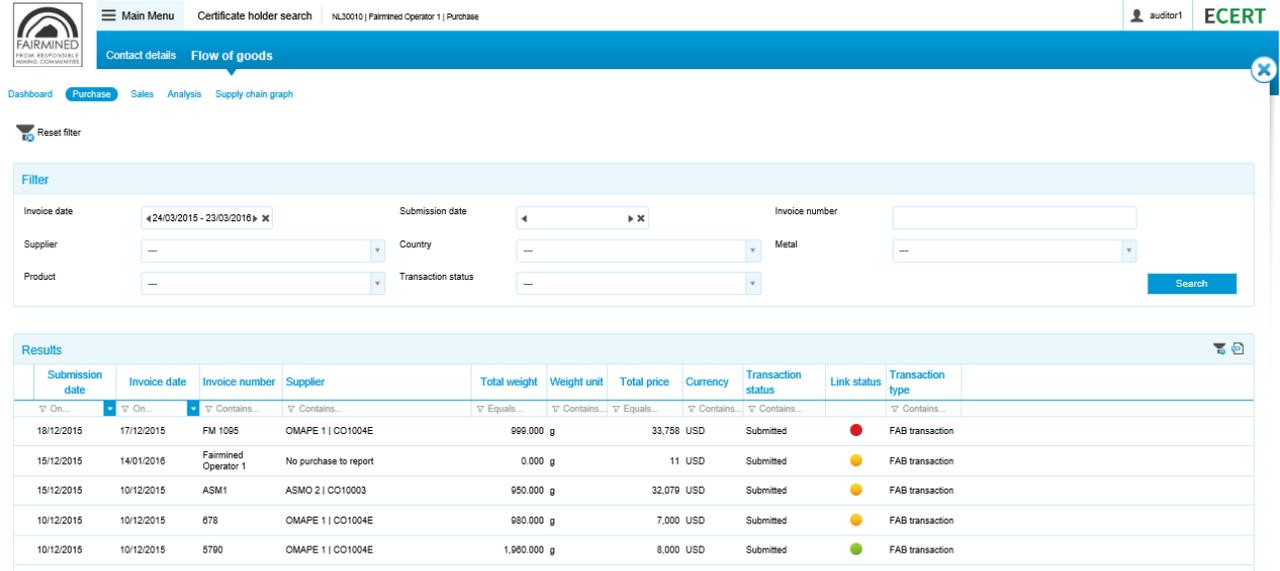
5.2. The submenus “Purchases” and “Sales”

The auditor has the possibility to open the details of every transaction (supplier’s name, invoice date, invoice number, metal, product weight, purity and linking status). These transactions could be registered/confirmed or edited by the authorized buyer. The transactions are registered and confirmed according to the physical/electronic invoices and data records.

5.2.2. Purchases

Ecert is designed that the buyers register their purchases and the sellers confirm them. The Purchase window of the First Authorized Buyers (FAB) is completely different to the purchase window of the others Authorized Operators and Licensees. This difference is because the FABs purchase from the ASMO and the others Authorized Operators (AO) and Licensees purchase from the FABs or Others Authorized Operators (AO).

General view of all the purchases



Dashboard | Purchase | Sales | Analysis | Supply chain graph

Reset filter

Filter

Invoice date: 24/03/2015 - 23/03/2016 x

Submission date: x

Invoice number: x

Supplier: x

Country: x

Metal: x

Product: x

Transaction status: x

Search

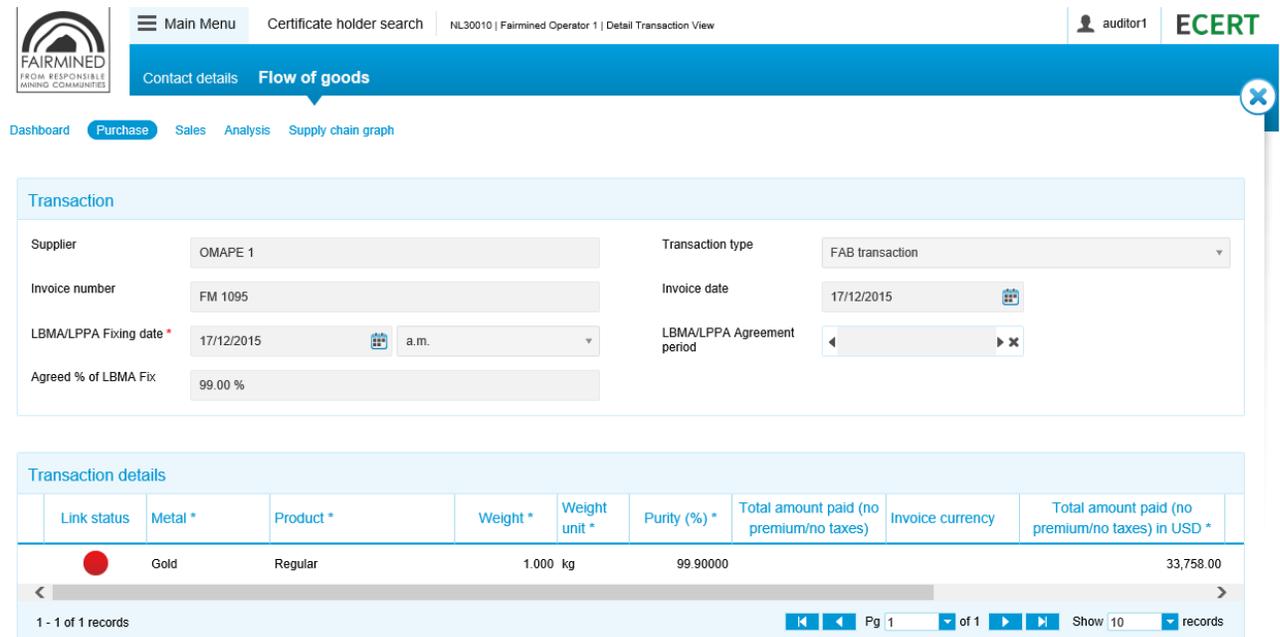
Results

Submission date	Invoice date	Invoice number	Supplier	Total weight	Weight unit	Total price	Currency	Transaction status	Link status	Transaction type
18/12/2015	17/12/2015	FM 1095	OMAPE 1 CO1004E	999.000	g	33.758	USD	Submitted	●	FAB transaction
15/12/2015	14/01/2016	Fairmined Operator 1	No purchase to report	0.000	g	11	USD	Submitted	●	FAB transaction
15/12/2015	10/12/2015	ASM1	ASMO 2 CO10003	950.000	g	32.079	USD	Submitted	●	FAB transaction
10/12/2015	10/12/2015	678	OMAPE 1 CO1004E	980.000	g	7.000	USD	Submitted	●	FAB transaction
10/12/2015	10/12/2015	5790	OMAPE 1 CO1004E	1.000.000	g	8.000	USD	Submitted	●	FAB transaction

Clicking on one of the purchases lines, you will see the details of that specific transaction.

Purchase transactions details of a First Authorized Buyer (FAB)

The FABs have the responsibility with the ASMO to pay the price, the Fairmined Premium and the total amount paid according to the Fairmined Standard requirements.



Dashboard | Purchase | Sales | Analysis | Supply chain graph

Transaction

Supplier: OMAPE 1

Transaction type: FAB transaction

Invoice number: FM 1095

Invoice date: 17/12/2015

LBMA/LPPA Fixing date: 17/12/2015 a.m.

LBMA/LPPA Agreement period: x

Agreed % of LBMA Fix: 99.00 %

Transaction details

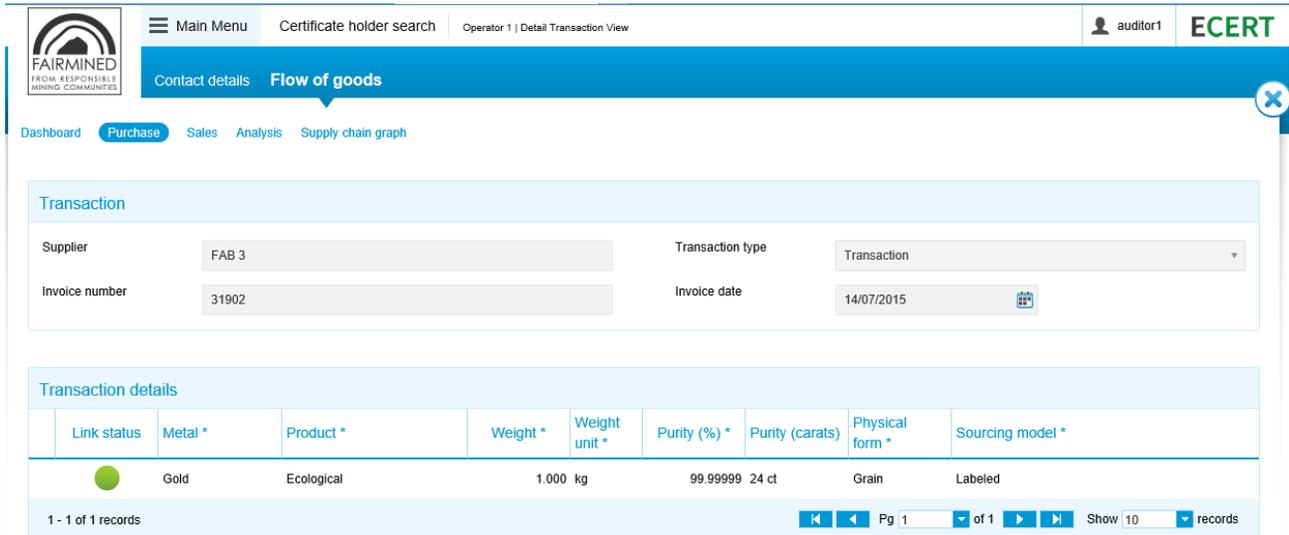
Link status	Metal *	Product *	Weight *	Weight unit *	Purity (%) *	Total amount paid (no premium/no taxes)	Invoice currency	Total amount paid (no premium/no taxes) in USD *
●	Gold	Regular	1.000	kg	99.90000			33,758.00

1 - 1 of 1 records

Pg 1 of 1

Show 10 records

Purchase transactions details of an Authorized Operator (AO)



Transaction

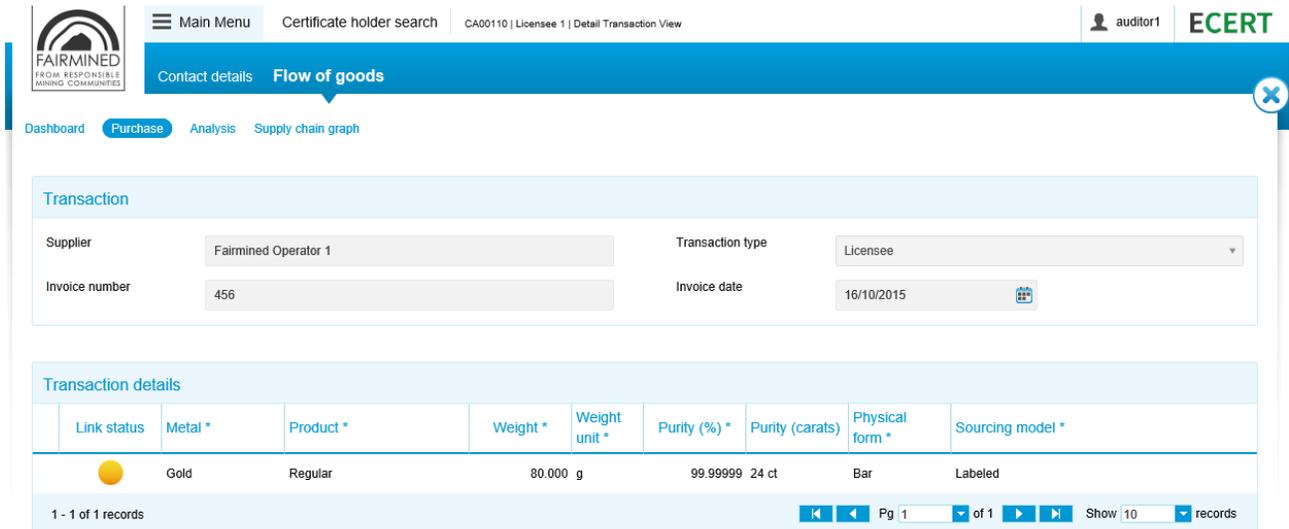
Supplier: FAB 3 Transaction type: Transaction

Invoice number: 31902 Invoice date: 14/07/2015

Link status	Metal *	Product *	Weight *	Weight unit *	Purity (%) *	Purity (carats)	Physical form *	Sourcing model *
	Gold	Ecological	1.000 kg		99.99999	24 ct	Grain	Labeled

1 - 1 of 1 records Pg 1 of 1 Show 10 records

Purchase transaction details of a Licensee



Transaction

Supplier: Fairmined Operator 1 Transaction type: Licensee

Invoice number: 456 Invoice date: 16/10/2015

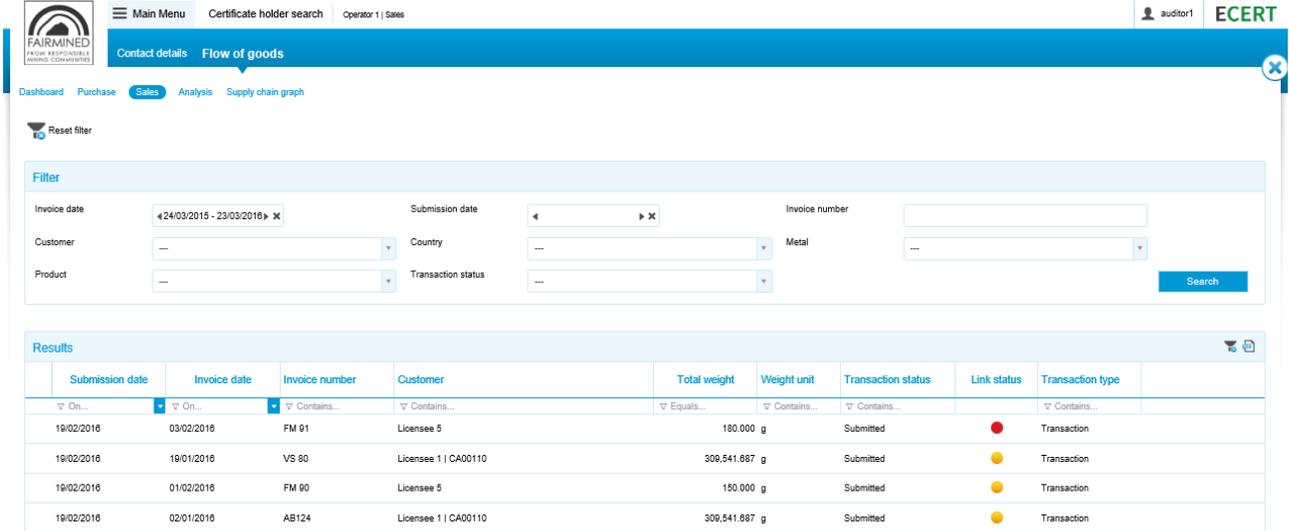
Link status	Metal *	Product *	Weight *	Weight unit *	Purity (%) *	Purity (carats)	Physical form *	Sourcing model *
	Gold	Regular	80.000 g		99.99999	24 ct	Bar	Labeled

1 - 1 of 1 records Pg 1 of 1 Show 10 records

5.2.3 Sales

The authorized operators confirm the sales “the purchases registered by their clients” and they also have the option to report any sales that were not reported.

Note: This option is just for the Fairmined Operators: First Authorized Buyers (FAB) and Others Authorized Operators (AO).



Dashboard Purchase Sales Analysis Supply chain graph

Reset filter

Filter

Invoice date: <24/03/2015 - 23/03/2016> X Submission date: <> X Invoice number:

Customer: --- Country: --- Metal: ---

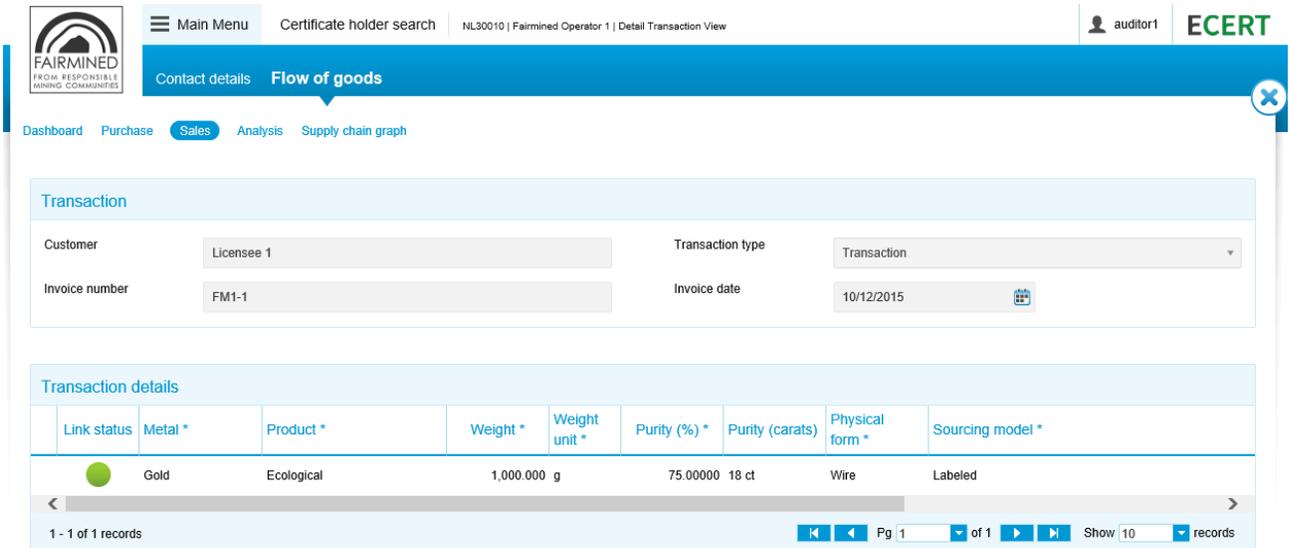
Product: --- Transaction status: --- Search

Results

Submission date	Invoice date	Invoice number	Customer	Total weight	Weight unit	Transaction status	Link status	Transaction type
19/02/2016	03/02/2016	FM 91	Licensee 5	180.000 g		Submitted	●	Transaction
19/02/2016	19/01/2016	VS 80	Licensee 1 CA00110	309,541.687 g		Submitted	●	Transaction
19/02/2016	01/02/2016	FM 90	Licensee 5	150.000 g		Submitted	●	Transaction
19/02/2016	02/01/2016	AB124	Licensee 1 CA00110	309,541.687 g		Submitted	●	Transaction

Please click on one of the lines in the transactions list to see the details of a specific transaction. It is very important to analyze the transactions which have yellow/red link status because it is necessary to verify the reasons of these link statuses.

Sales transactions details of a First Authorized Buyer (FAB)



Dashboard Purchase Sales Analysis Supply chain graph

Transaction

Customer: Licensee 1 Transaction type: Transaction

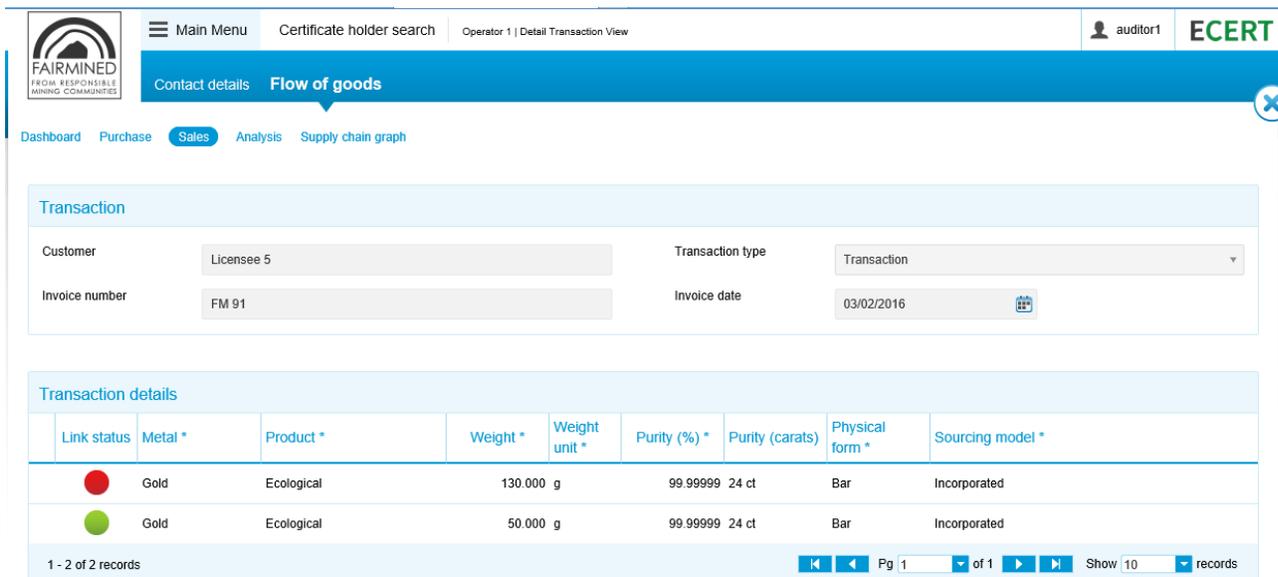
Invoice number: FM1-1 Invoice date: 10/12/2015

Transaction details

Link status	Metal *	Product *	Weight *	Weight unit *	Purity (%) *	Purity (carats)	Physical form *	Sourcing model *
●	Gold	Ecological	1,000.000 g		75.00000	18 ct	Wire	Labeled

1 - 1 of 1 records Pg 1 of 1 Show 10 records

Sales transactions details of others Authorized Operator (AO)



The screenshot shows the ECERT system interface. At the top, there is a navigation bar with 'Main Menu', 'Certificate holder search', and 'Operator 1 | Detail Transaction View'. The user is logged in as 'auditor1'. The main content area is titled 'Flow of goods' and includes a 'Transaction' section with the following details:

- Customer: Licensee 5
- Transaction type: Transaction
- Invoice number: FM 91
- Invoice date: 03/02/2016

Below this is a 'Transaction details' table with the following columns: Link status, Metal *, Product *, Weight *, Weight unit *, Purity (%)*, Purity (carats), Physical form *, and Sourcing model *. The table contains two rows of data:

Link status	Metal *	Product *	Weight *	Weight unit *	Purity (%)*	Purity (carats)	Physical form *	Sourcing model *
	Gold	Ecological	130.000 g		99.99999	24 ct	Bar	Incorporated
	Gold	Ecological	50.000 g		99.99999	24 ct	Bar	Incorporated

At the bottom of the table, it indicates '1 - 2 of 2 records' and provides navigation controls for the table.

Transactions traffic lights

The traffic lights represent the “link status” of each transaction, 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 “Purchases” and “Sales”. Now, you will find the description of every traffic light according to the type of transaction.

- ✓ The link status of a transaction is **green**  **(Full match)**: everything is correct.
Purchases: the buyer registered a purchase and it was confirmed as correct by the supplier.
Sales: the seller confirmed a purchase registered by its client.
- ✓ 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 supplier are the same) but different values were entered (for example: different weights, product types or metals) by the buyer or the suppliers.

Necessary action:

In the case the supplier verifies the purchase registered by the buyer; and the supplier made any change in the weight, product and metal. The buyer should check again the information they submitted to verify if product, metal or weight amount fields are registered correctly.

If the information changed by the buyer matches with the data entered by the supplier, a new transaction will appear with **the link status in green (full match)**, while the previous transaction containing wrong data will be listed in gray as “cancelled”.

However, if you double check your records and the information you registered in Ecert is correct, the buyer should contact the supplier and ask them to verify its records. If no solution is found, he should contact ARM’s Standard and Certification team to investigate the issue.

- ✓ The link status is **yellow**  **(Not confirmed)**: transactions are not matched yet because the supplier has not confirmed the sale or the supplier/buyer entered a different invoice number and/or invoice date).

Necessary action: ARM’s Standards and Certification team will identify transactions that have not been confirmed and will follow-up with the respective ASMOs and Fairmined Authorized Operators (FABs and AO) who have not confirmed their sales, Licensees who have not registered their purchases or submitted their reports, or who submitted them with an invoice number or date that does not match the one entered by the buyer/seller.

ARM staff will inform about these particular cases to the auditors.

- ✓ The link status is **gray**  **(Cancel)**: the transaction is cancelled because the buyer cancelled the purchase.

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 or samples of 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**. In this option, you will see all the transactions.

5.3.1. The link status tab

The screenshot shows the 'Flow of goods' section in the FAIRMINED system. It includes a navigation menu with 'Analysis' highlighted, a filter section for 'Invoice date', 'Submission date', and 'Link status', and two main data tables: 'Total of purchases' and 'Total of sales'.

Supplier	My company	Customer
ASMO 2	950 g	Fairmined Operator 2
ASMO 3	26 g, 1,026 g	Licensee 1
No purchase to report		Licensee 2
OMAPE 1	1,960 g, 4,939 g	Licensee 3
		No sale to report

My company	Customer
4,355 g, 2,779 g	Fairmined Operator 2
1,125 g, 750 g	Licensee 1
422 g, 422 g	Licensee 2
46 g	Licensee 3
	No sale to report

In this section, by default all the purchases and sales transactions appear with three columns. The first, “**My company**”, are the respective weights confirmed by the seller (authorized operators and ASMOs). 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/Licensees).

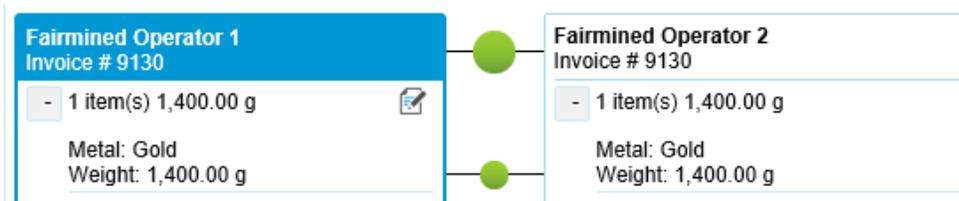
You can click on a specific transaction to see its details: the link status, the supplier’s name, the buyer’s name and the invoice number.

Example

The buyer is a Fairmined First Authorized Buyer (FAB).

- **Full match transaction**

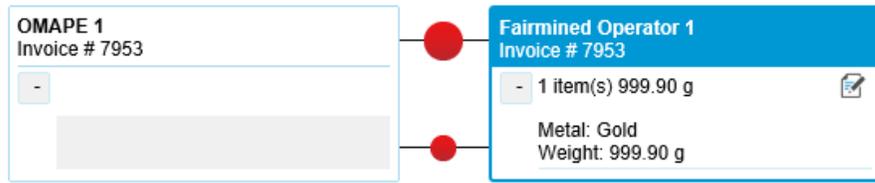
When the purchase has been confirmed by both sides, you will see the same information submitted by the supplier and the buyer.



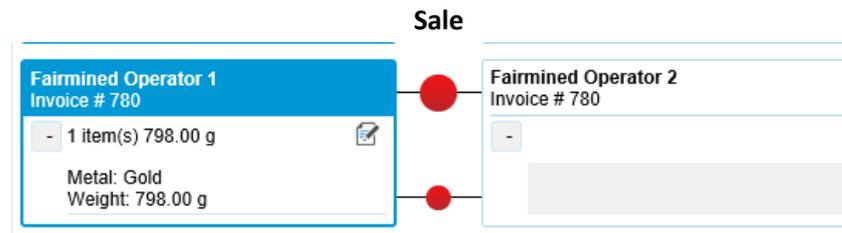
- **No match transaction**

In a purchase: 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.

Purchase

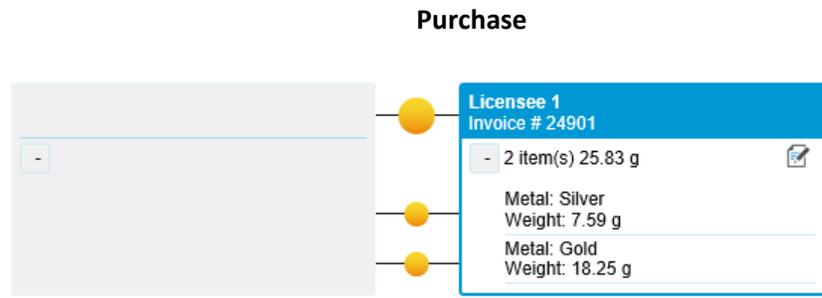


In a sale: on the left side, you will only see the name of the seller with the transaction information the buyer submitted. On the right side, you can see the buyer's name and the invoice number.



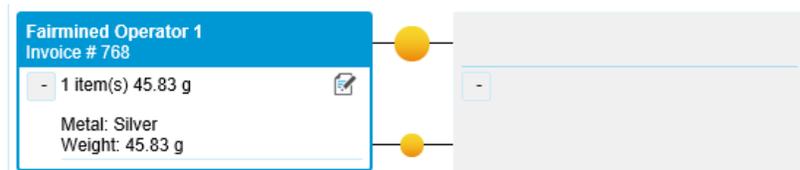
- **Not confirmed transaction**

In a purchase: the buyer has entered the purchase information, but the supplier has not confirmed it, you will see the weight and metal on the left and just a grey box without any data on the right.



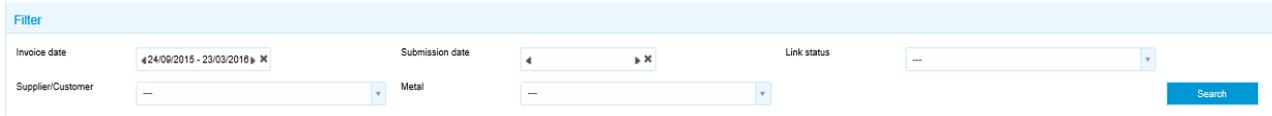
Sale

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

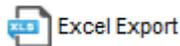


Additional options:

- ✓ To filter the transactions report choosing a period of time of the invoice date, the submission date, the name of supplier/customer, the metal or the link status. Please choose from the filter parameters and then click on the button “Search”. You will find the results in the below part.



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

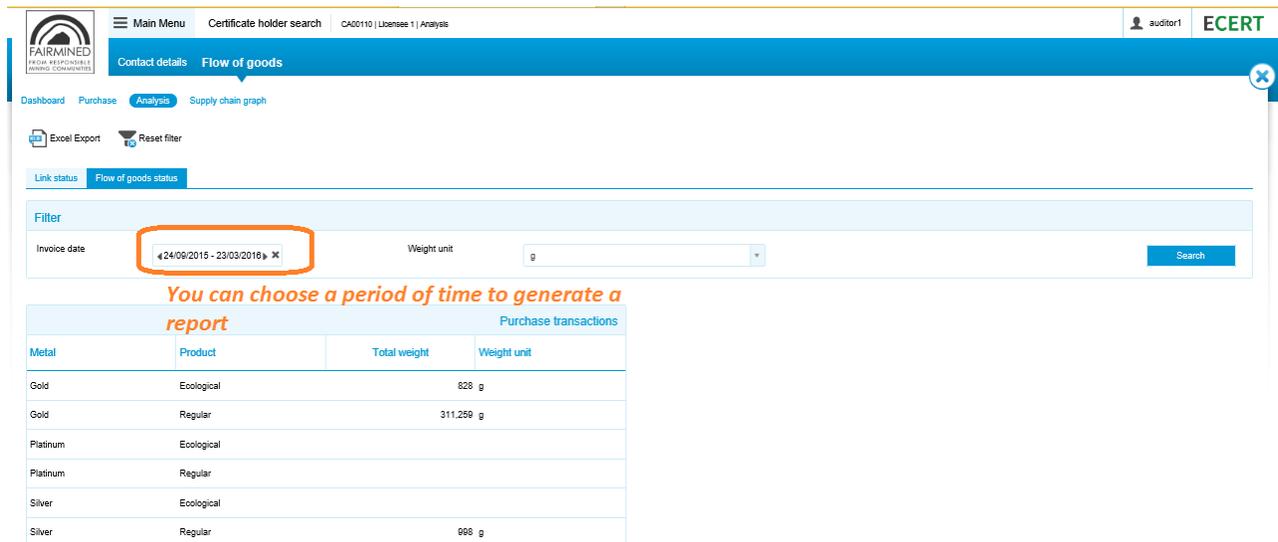


in the upper left corner. An automatic download of an Excel file will then start. You can save the document or open it directly.

5.3.2. Flow of goods status

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

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.



You can choose a period of time to generate a report

Metal	Product	Total weight	Weight unit
Gold	Ecological	828	g
Gold	Regular	311,259	g
Platinum	Ecological		
Platinum	Regular		
Silver	Ecological		
Silver	Regular	998	g

5.4. The submenu “Supply chain graph”

Linked transactions can be visualized as a supply chain graph showing the name of the supplier and the buyers’ names.

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

Example: The Authorized operator 1 is the client; he has three suppliers “OMAPE 1”, “ASMO 2” and “ASMO 3” and he has several customers, for instance: “Licensee 3”, “Fairmined Operator 2” and “Licensee 2”.

Graph

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6. Summary of the actions in Ecert

The role of the Audit Body in Ecert is very important, because all the auditors will provide the specific information of the audits and they will have the possibility to see and analyze the Fairmined transactions to verify the compliance with the Fairmined Standard requirements. Additionally, all the information will be centralized so that the Fairmined Authorized Buyers, ARM's staff and the auditors can consult it at any moment.

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

- **Contract data:** change the status during the process.
- **Audit:** add audit information and documents.
- Menu **Flow of goods** and all **the submenus:** consult and analyze 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 Fairmined authorized buyer contact information details.
- **Certification:** shows the authorization status and results.
- **Certificates:** the section where the certificates are uploaded.

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