

# Ecert user manual for Fairmined Authorized Operators

Fairmined Information system Version 1.0 Nov. 5th 2015





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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.

ARM's objective 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 a Fairmined Authorized Operator you are a key participant of the Fairmined supply chain, and by using Ecert for reporting your Fairmined transactions (flow of goods) you will contribute to the robustness of the certification system, at the same time complying with the requirements of the Fairmined Standard and the Permit to Trade.

We hope that this manual, as well as the tutorial videos (both available on ARM's websites: [www.responsiblemines.org](http://www.responsiblemines.org) and [www.fairmined.org](http://www.fairmined.org)) will be useful in guiding you through the steps of the reporting 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](mailto:ecert@responsiblemines.org)

## 1. Reporting to the Fairmined Information System

**ECERT**  
Version: 10.8.0.23



ALLIANCE FOR  
RESPONSIBLE MINING



FAIRMINED

The Fairmined Standard v2.0 (April 2014) and the Permit to trade obligate Fairmined Operators to report their Fairmined transactions to the Fairmined Information System. This is necessary to ensure the traceability of Fairmined metals throughout the supply chain and strengthen the credibility of the Fairmined Certification System. The software to support this process is Ecert.

Only artisanal and small-scale mining organizations, Authorized Operators, Licensees, and certification bodies 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.



Ecert will verify if the reported information of Fairmined transactions of suppliers and customers matches and will produce an alert if that is not the case. Furthermore auditors and the ARM Standards and Certification team will compare the registered information in the Ecert system with the information received during audits or Fairmined Feedback Reports.

The criteria for undergoing a third party documental audit or filing in a Fairmined Feedback Reports are outlined in the Permit to Trade.

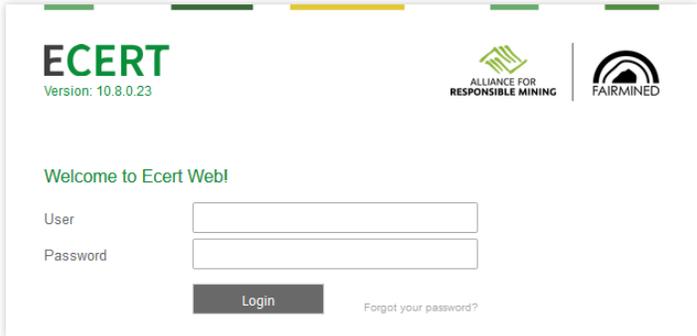
For Operators acting as the First Authorized Buyer, you must report all required Fairmined transactions for the previous trading quarter and must be completed no later than two weeks after the end of each quarter (Q1: April 14th; Q2: July 14th; Q3: Oct 14th; Q4: Jan 14th).

For all other Operators reporting must be done by the end of each half-year.

## 2. Log-in to Ecert

**You (the Operator)** will receive an e-mail with a link, sent to the email address registered in your Fairmined Business Self-Assessment Questionnaire, to access Ecert.

You need to create a user and a password.



The screenshot shows the ECERT login interface. At the top left is the ECERT logo with the version number 10.8.0.23. To the right are the logos for the Alliance for Responsible Mining and Fairmined. Below the logos, it says "Welcome to Ecert Web!". There are two input fields: "User" and "Password". Below the "User" field is a "Login" button. To the right of the "Login" button is a link that says "Forgot your password?". At the bottom of the page, it says "Audit and certification system powered by Intact - Integrity Management Solutions" and the I.N.T.A.C.T logo.

You can access to 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, not even other employees in your company.

Please change your password on a regular basis for security reasons.

**Note:** The main access to Ecert will be given to the principal contact. If you are not the person responsible for Fairmined reporting you can request the registration of other employees of your company.

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

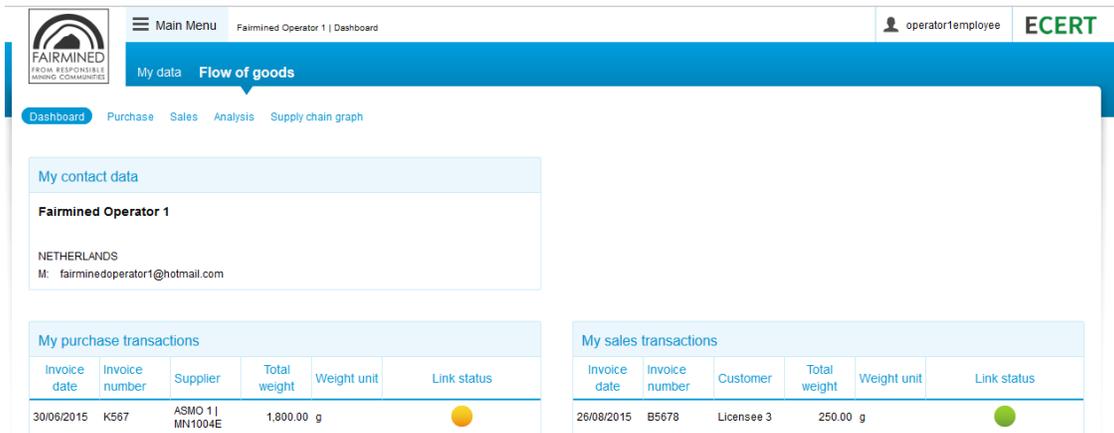
There is also the possibility to define read-only permissions for some employees, so that they can enter Ecert and view your company's transactions without being able to report or change data. If there are more users in your company that should be able to access Ecert, please define if they

should have reporting permission or read-only permission and inform ARM about these requirements.

If you have problems accessing your account, please contact: [ecert@responsiblemines.org](mailto:ecert@responsiblemines.org)

### 3. Flow of Goods reporting

After successfully logging in with your user and password, the system automatically opens the menu option->**Flow of goods**. You can find all your Fairmined transactions information here.



The screenshot shows the 'Flow of goods' dashboard for 'Fairmined Operator 1'. It includes a navigation menu with 'Purchase', 'Sales', 'Analysis', and 'Supply chain graph'. The main content area is divided into two sections: 'My contact data' and 'My transactions'.

**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
30/06/2015	K567	ASMO 11 MN1004E	1.900.00 g		<span style="color: yellow;">●</span>

**My sales transactions:**

Invoice date	Invoice number	Customer	Total weight	Weight unit	Link status
26/08/2015	B5678	Licensee 3	250.00 g		<span style="color: green;">●</span>

In order to ensure the credibility of the Fairmined Mark and compliance with the Fairmined Standard, you must register truthful information about your purchases and sales as complete as possible.

#### 3.1 Flow of Goods reporting – Purchases

##### a. Creating a new purchase

##### **3.1.a1 Creating a new purchase from an artisanal and small scale mining organization(ASMO)**

This is just for authorized Operators assuming the role of First Authorized Buyer, who purchase directly from the artisanal and small scale mining organizations. If you do not buy directly from the mining organization skip to the [section 3.1.a2](#)

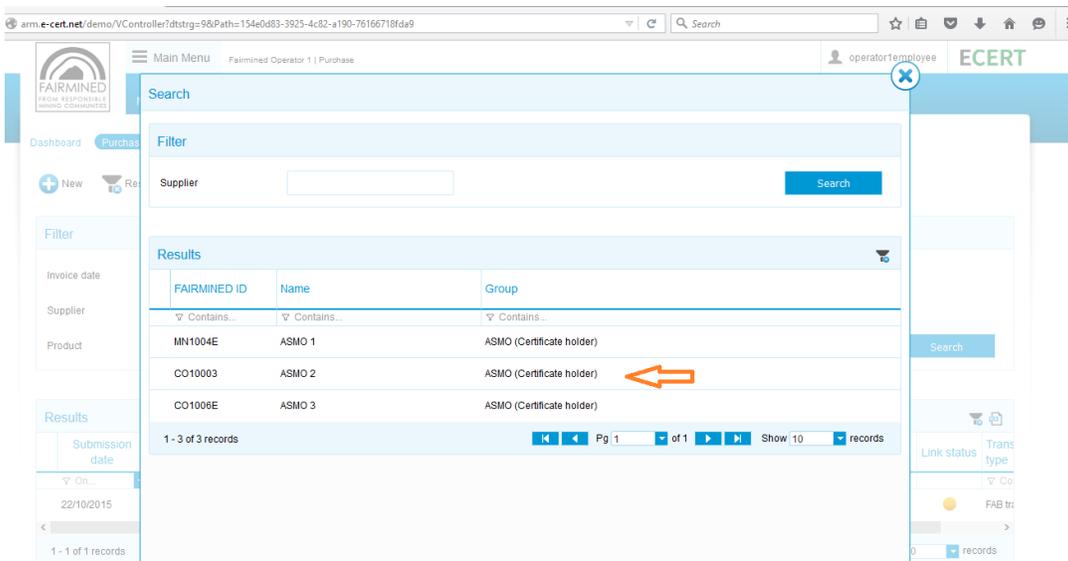
The process to do it is described as follows:

1. Go to: Main Menu -> Menu “**Flow of Goods**” -> Submenu “**Purchase**”



2. Click on the button  New
3. A new window appears with the list of available suppliers, the certified artisanal and small scale mining organization ASMO (Certificate holder).

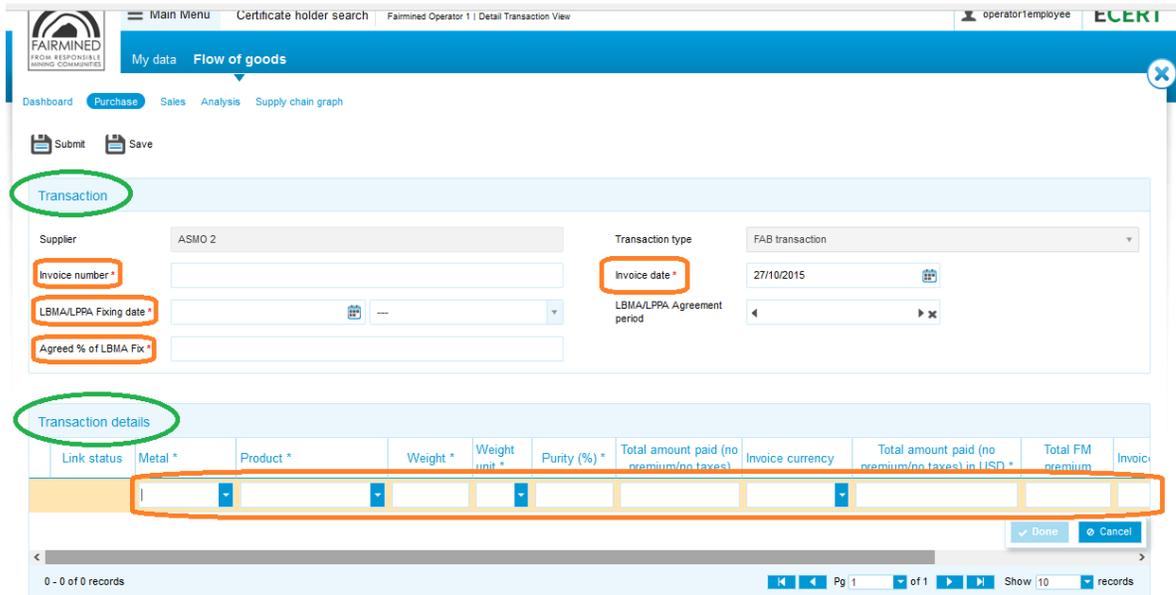
✓ You can either choose your supplier from the list, or



✓ You can write the name of a specific supplier and click the button “Search”.

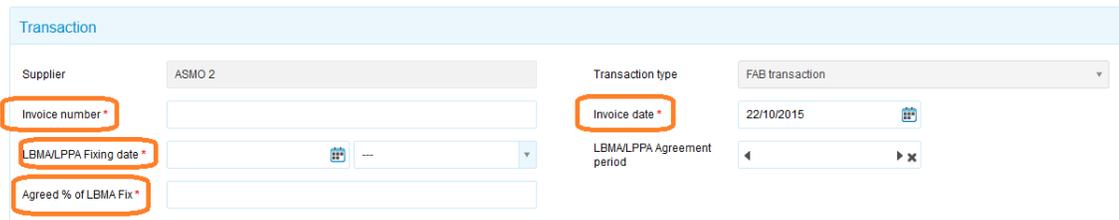
Supplier

4. Click on the supplier’s name, and the system will show a new window as follows:



In this window you need to complete two parts: **Transactions** (above) and **Transaction details** (below):

5. **Transactions:** please complete the following mandatory information:



- ✓ The invoice number
- ✓ The invoice date
- ✓ LBMA/LPPA Fixing date and choose LBMA/LPPA period time: You select a date using the date picker or enter manually the date.
- ✓ Agreed % of LBMA Fix.

**Note: It is very important that the invoice number and date are entered correctly, since these are the parameters which enable identification of a specific transaction.**

6. **Transaction details:** please click the button  :

You will see a list of fields that needs to be completed with further specifications of your transaction.

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 *	Total FM premium	Invoice currency	Total FM premium in USD *

0 - 0 of 0 records

Pg 1 of 1 Show 10 records

✓ **Metal:** choose one option of the dropdown fields

Gold  
Platinum  
Silver

✓ **Product:** choose one option of the dropdown fields

Ecological  
Regular

✓ **Weight:** register the respective weight of the purchase in numbers.

dwt  
g  
kg  
oz tr

✓ **Weight unit:** choose one option of the dropdown fields

✓ **Purity (%):** choose a value between 33.33333 and 99.99999.

✓ **Total amount paid (no premium/no taxes):** enter the amount paid to the ASMO including neither premium nor taxes.

✓ **Invoice currency:** select the currency

CDP  
EUR  
USD

✓ **Total amount paid (no premium/no taxes) in USD:** enter the amount paid in USD to the ASMO excluding premium and taxes.

✓ **Total FM Premium:** enter the amount paid in the invoice currency.

✓ **Invoice currency:** select the currency

CDP  
EUR  
USD

✓ **Total FM premium in USD:** enter the total premium paid in USD to the ASMO.

**Note: All the fields with \* are mandatory.**

7. After completing the fields, you need to click the button  to confirm the information.

8. Finally, you must choose one of the two alternatives available in the upper left corner of the page:

✓ Click on the button . This means that you are sure about the information of the transaction and you want to confirm the purchase.

- ✓ Click on the button  Save . This means that you have the transaction in your account to submit it at a later date.

In case you just save the transaction as a draft, you will see it listed in the submenu Purchase -> Results of the Purchase tab with the “Transaction status” on “New”, but it is not yet submitted to the system and cannot be seen by the supplier.

When you want to submit your draft transaction to the system, please click on it to reopen it

- and change the status by clicking on the button  Submit . If you consider that the information in the draft transaction is incorrect and do not wish to submit it, you can delete it

- by clicking on  Delete .

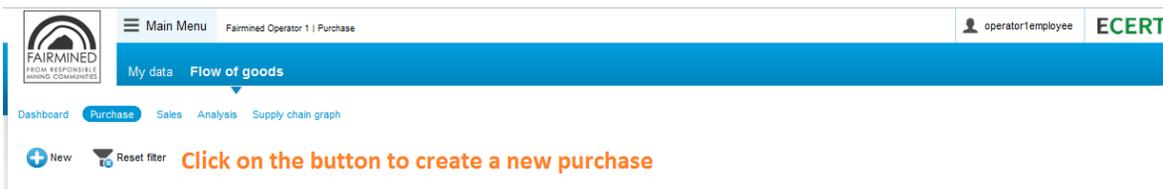
**When you submit a purchase transaction, the ASMO will be able to see it and will need to verify your submitted data. This verification is a key element of Ecert’s traceability system.**

### 3.1.a2 Creating a new purchase from an Authorized Operator

This is for purchases from any other Authorized Operators. The process to do it is described as follows:

1. Go to: Main Menu -> Menu “**Flow of Goods**” -> Submenu “**Purchase**”

2. Click on the button  New



3. A new window appears with the list of available suppliers, the so-called Fairmined Authorized Operators.

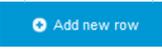
- ✓ You can either choose your supplier from the list, or
- ✓ You can write the name of a specific supplier and click the button “**Search**”.

Supplier

2. Click on the supplier’s name, and the system will show a new window as follows:

In this window you need to complete two parts: **Transactions** (above) and **Transaction details** (below):

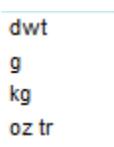
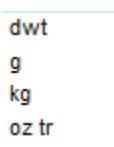
- 3. Transactions:** please insert the invoice number and the invoice date of your Fairmined transaction.

- 9. Transaction details:** please click the button :

You will see a list of fields that needs to be completed with further specifications of your transaction.

Link status	Metal *	Product *	Weight *	Weight unit *	Purity (%) *	Purity (carats)	Physical form *	Sourcing model *
	Gold	Regular	450.000	g	95.83333	23 ct	Bar	Labeled

**Note: It is very important that the invoice number and date are entered correctly, since these are the parameters which enable identification of a specific transaction.**

- ✓ **Metal:** choose one option of the dropdown fields 
- ✓ **Product:** choose one option of the dropdown fields 
- ✓ **Weight:** register the respective weight of the purchase in numbers. 
- ✓ **Weight unit:** choose one option of the dropdown fields 

- ✓ **Purity (%):** choose a value between 33.33333 and 99.99999.
- ✓ **Purity (carats):** choose a value between 8 and 24 ct in the dropdown menu.

**Note:** if you enter the % of purity, the system automatically determinates the purity in carats, and vice versa: if you register the purity in carats, the system automatically assigns the value of the purity in %. Then, the system automatically adjusts the weight, in case the purity and the carats differ from 99,99999% of purity or respectively 24 carats. This is because the Fairmined Information system just tracks pure Fairmined metals content and not alloys.

**Example 1:** If you register a purchase of 100 g in 18 carats the transaction overview will show the purchase of 75 g.

- ✓ **Physical form:** choose one option of the dropdown fields
- ✓ **Sourcing model:** choose one option of the dropdown fields



**All the fields with \* are mandatory.**

10. After completing the fields, you need to click the button  to confirm the information.
11. Finally, you must choose one of the two alternatives available in the upper left corner of the page:

- ✓ Click on the button . This means that you are sure about the information of the transaction and you want to confirm the purchase.
- ✓ Click on the button . This means that you save the transaction in your account to submit it at a later date.

In case you just save the transaction as a draft, you will see it listed the submenu Purchase -> Results with the "Transaction status" on "New", but it is not yet submitted to the system and cannot be seen by the supplier.

When you want to submit your draft transaction to the system, please click on it to reopen it

and change the status by clicking on the button . If you consider that the

information in the draft transaction is incorrect and do not wish to submit it, you can delete it

by clicking on  Delete .

**When you submit a purchase transaction, the Authorized Operators will be able to see it and will need to verify your submitted data. This verification is a key element of Ecert's traceability system.**

### *b. Reporting no purchases*

If you have not made any transactions in a reporting period you still need to report this to Ecert. Please access the system, enter the submenu **Flow of Goods** and click on the button **Purchase**.

Click the button  New . When the system opens the window with the list of suppliers, please select **"No purchase to report"**.

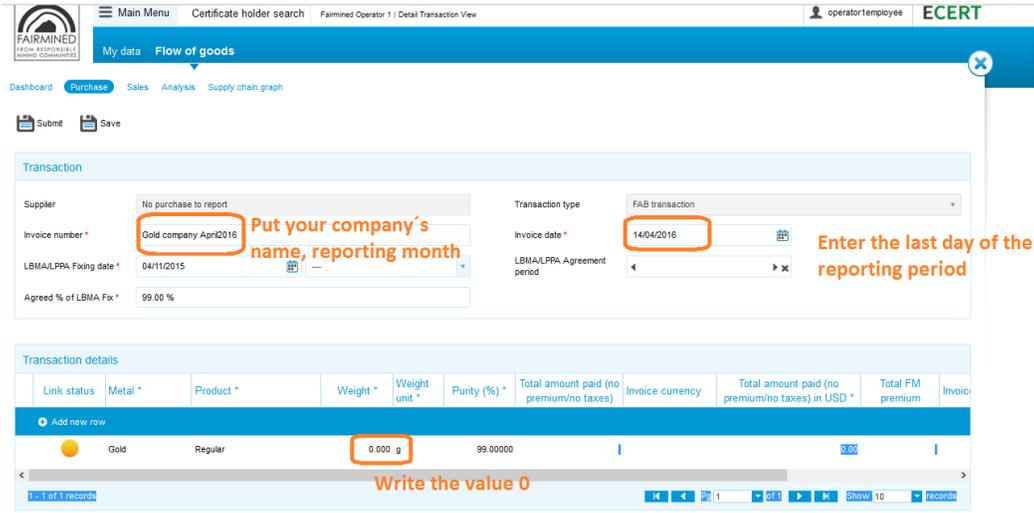
Please **put your company's name, reporting month and year** (e.g. "Gold Jewelry Jul2016") in the invoice number field and enter the last day of the reporting period as invoice date.

- ✓ First Authorized buyers: 14<sup>th</sup> January; 14<sup>th</sup> April; 14<sup>th</sup> July; 14<sup>th</sup> October;
- ✓ Others Operators: either 31<sup>st</sup> December or 30<sup>th</sup> June.

Consequently, in the transaction details, **the most important thing is to write the value 0** in the box **"Weight"**.

For the rest of the fields you just choose any of the options in the dropdown menu.

- ✓ **First Authorized Buyers**



Transaction

Supplier: No purchase to report

Invoice number: Gold company April2016

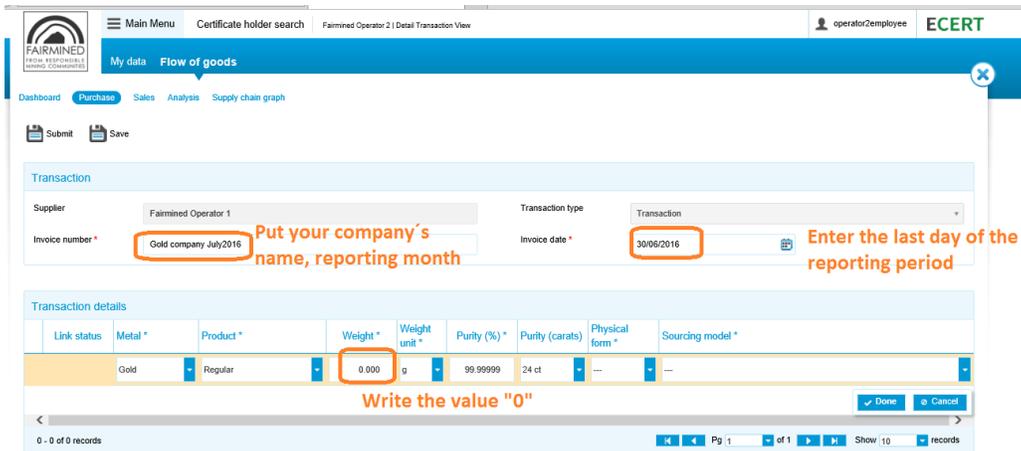
Invoice date: 14/04/2016

Transaction type: FAB transaction

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 *	Total FM premium	Invoice
	Gold	Regular	0.000	g	99.00000					

✓ **Other Authorized Operators**



Transaction

Supplier: Fairmined Operator 1

Invoice number: Gold company July2016

Invoice date: 30/06/2016

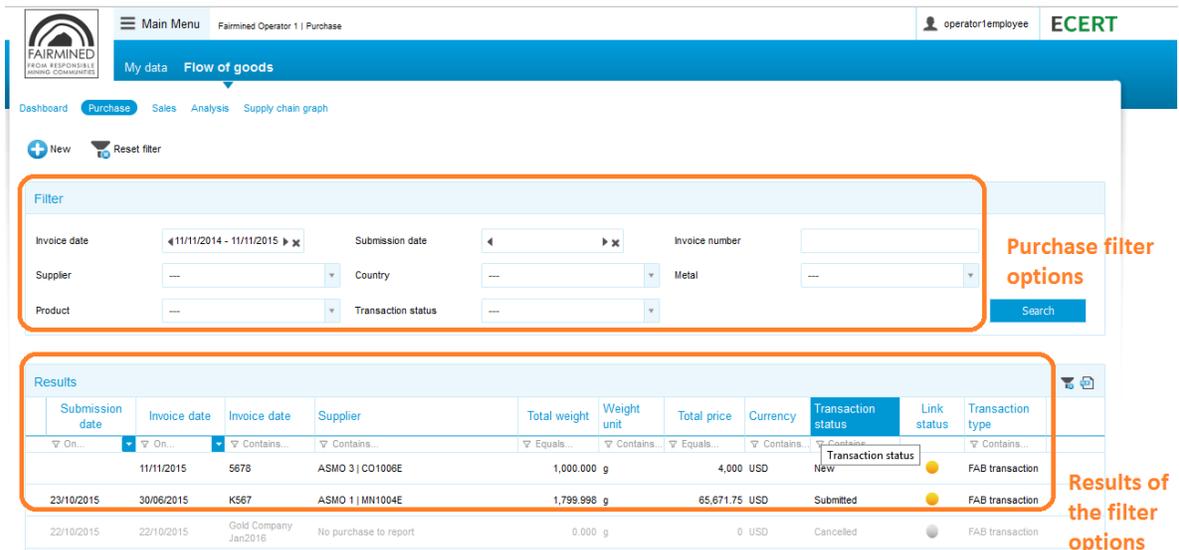
Transaction type: Transaction

Transaction details

Link status	Metal *	Product *	Weight *	Weight unit *	Purity (%) *	Purity (carats)	Physical form *	Sourcing model *
	Gold	Regular	0.000	g	99.99999	24 ct		

**c. Search for purchase transactions**

The route to search for a transaction is: Main Menu->Menu “Flow of goods”-> Submenu “Purchase”. Here you will find Purchase filter options.



The screenshot shows the ECERT software interface. At the top, there is a navigation bar with 'Main Menu', 'Fairmined Operator 1 | Purchase', and user information 'operator1employee' and 'ECERT'. Below this is a 'My data' section with 'Flow of goods' selected. A 'Dashboard' section includes 'Purchase', 'Sales', 'Analysis', and 'Supply chain graph'. A 'Filter' section is highlighted with an orange box, containing fields for 'Invoice date', 'Submission date', 'Invoice number', 'Supplier', 'Country', 'Metal', 'Product', and 'Transaction status'. A 'Search' button is located to the right of the filter fields. Below the filter is a 'Results' table, also highlighted with an orange box. The table has columns for 'Submission date', 'Invoice date', 'Supplier', 'Total weight', 'Weight unit', 'Total price', 'Currency', 'Transaction status', 'Link status', and 'Transaction type'. The table contains three rows of data, with the second row highlighted. A 'Reset filter' button is located to the left of the filter section.

To find a specific purchase, you have different search options:

- ✓ **Invoice date range:** choose a period of time.
- ✓ **Submission date range:** choose a period of time.
- ✓ **Supplier:** choose an Authorized Operator from the dropdown menu.
- ✓ **Product:** choose one of the two options (ecological or regular) from the dropdown menu.
- ✓ **Country:** choose the suppliers' country from the dropdown list.
- ✓ **Transaction status:** choose one of the three options: (cancelled, new, submitted) from the dropdown menu.
- ✓ **Invoice number:** type in the invoice number you are looking for.

When you determine the search parameters, click the button  and you will see the results in the part below.

To reset all fields, click on the button  .

#### ***d. Cancelling a purchase transaction***

In case you need to cancel a transaction because the data submitted is not correct, please undertake the following next steps:

1. Access to the submenu "Purchase".
2. Search for the purchase you need to cancel.

Dashboard: Purchase Sales Analysis Supply chain graph

Filter

Invoice date: 23/10/2014 - 22/10/2015 Submission date: Invoice number: Supplier: Country: Metal: Product: Transaction status: Search

Submission date	Invoice date	Invoice date	Supplier	Total weight	Weight unit	Total price	Currency	Transaction status	Link status	Transaction type
23/10/2015	30/06/2015	K567	ASMO 1   MN1004E	1,799.988 g		65,671.75 USD		Submitted		FAB transaction

Click in the purchase you need to cancel

3. Open the details of the purchase, by clicking on the transaction.

- ✓ Click the button and a pop-up window requesting your confirmation (“Do you really want to cancel this transaction?”) appears. Click on the button **Ok**.

Transaction

Supplier: ASMO 1 Transaction type: FAB transaction

Invoice number: K567 Invoice date: 30/06/2015

LBMA/LPRA Fixing date: 30/06/2015 p.m. LBMA/LPRA Agreement period: Agreed % of LBMA Fix: 97.00 %

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 *	Total FM premium	Invoice
	Gold	Regular	1.800 kg		99.99990	65,671.75 USD		65,671.75	7,052.00 USD	

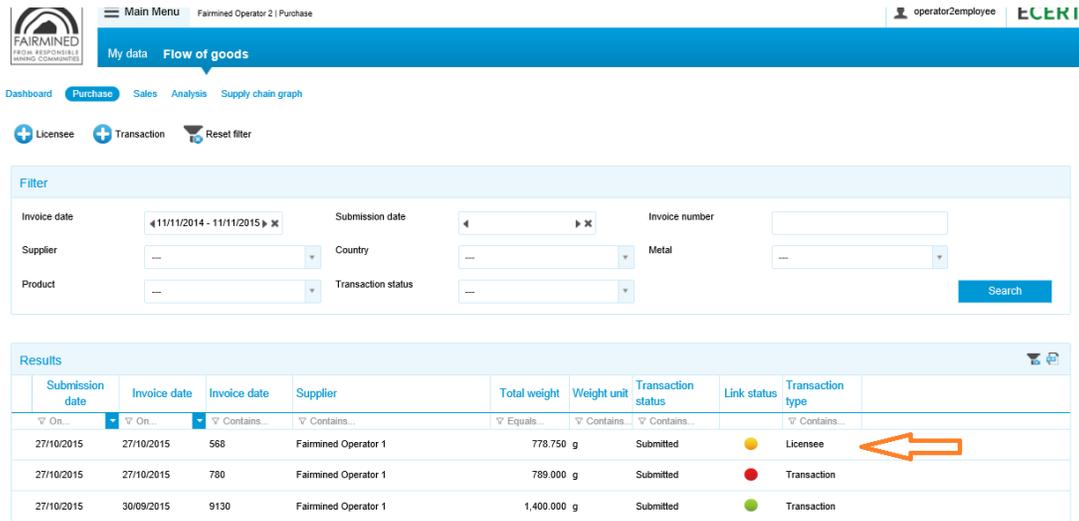
The cancelled transaction will appear in grey in your list of purchases which means that it was successfully cancelled.

Submission date	Invoice date	Invoice date	Supplier	Total weight	Weight unit	Total price	Currency	Transaction status	Link status	Transaction type
22/10/2015	22/10/2015	Gold Company Jan2016	No purchase to report	0.000 g		0 USD		Submitted		FAB transaction
22/10/2015	30/06/2015	K567	ASMO 1   MN1004E	1,800.000 g		65,671.75 USD		Cancelled		FAB transaction
22/10/2015	22/10/2015	---	No purchase to report	0.000 g		0 USD		Cancelled		FAB transaction

The cancelled transaction appears in gray color

### e. Editing a purchase transaction

You can edit any field of a submitted transaction. To do this, search for the transaction you wish to change, and click on it to open it.



Dashboard **Purchase** Sales Analysis Supply chain graph

Licensee Transaction Reset filter

**Filter**

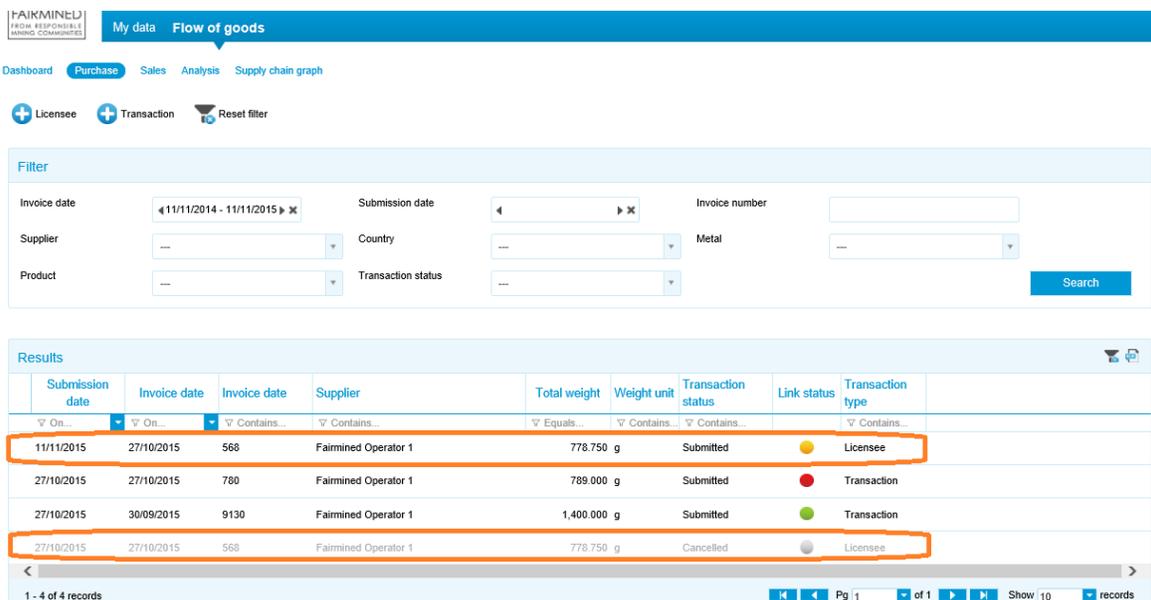
Invoice date: 11/11/2014 - 11/11/2015 Submission date: Invoice number: Supplier: Country: Metal: Product: Transaction status: Search

**Results**

Submission date	Invoice date	Invoice date	Supplier	Total weight	Weight unit	Transaction status	Link status	Transaction type
27/10/2015	27/10/2015	568	Fairmined Operator 1	778.750 g	Submitted	●	Licensee	
27/10/2015	27/10/2015	780	Fairmined Operator 1	789.000 g	Submitted	●	Transaction	
27/10/2015	30/09/2015	9130	Fairmined Operator 1	1,400.000 g	Submitted	●	Transaction	

Having done the necessary changes, please click on the button  **Submit**. A pop-up message will appear saying **“Do you really want to submit this edited transaction? The existing transaction will be cancelled.”** Please click on the button **ok**.

The system will create a new, edited transaction, and will show the original entry as cancelled.



Dashboard **Purchase** Sales Analysis Supply chain graph

Licensee Transaction Reset filter

**Filter**

Invoice date: 11/11/2014 - 11/11/2015 Submission date: Invoice number: Supplier: Country: Metal: Product: Transaction status: Search

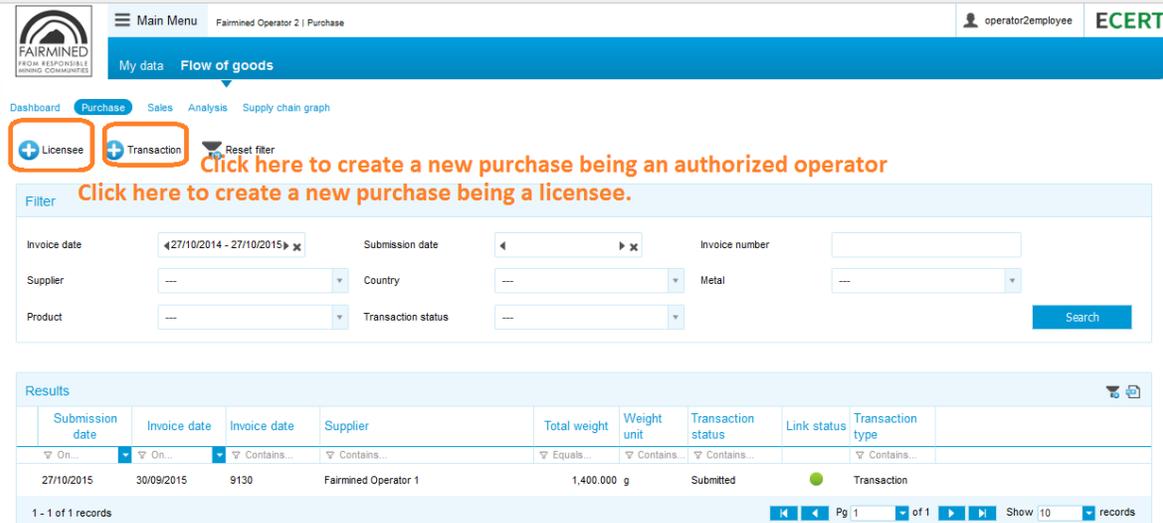
**Results**

Submission date	Invoice date	Invoice date	Supplier	Total weight	Weight unit	Transaction status	Link status	Transaction type
11/11/2015	27/10/2015	568	Fairmined Operator 1	778.750 g	Submitted	●	Licensee	
27/10/2015	27/10/2015	780	Fairmined Operator 1	789.000 g	Submitted	●	Transaction	
27/10/2015	30/09/2015	9130	Fairmined Operator 1	1,400.000 g	Submitted	●	Transaction	
27/10/2015	27/10/2015	568	Fairmined Operator 1	778.750 g	Cancelled	●	Licensee	

1 - 4 of 4 records Pg 1 of 1 Show 10 records

**f. An Operator and a Licensee assuming the same role**

It can occur that you assume the role of an **Authorized Operator** and a **Licensee** in the Fairmined supply chain. In this particular case, you will see two buttons in the menu **Flow of goods**-> submenu **Purchase**.



The screenshot shows the Fairmined web application interface. At the top, there is a navigation bar with 'Main Menu' and 'Fairmined Operator 2 | Purchase'. The user is logged in as 'operator2employee' under the 'ECERT' brand. The main menu is expanded to 'Flow of goods', and the 'Purchase' sub-menu is active. Two buttons are visible: '+ Licensee' and '+ Transaction'. The '+ Licensee' button is highlighted with a red box, and the '+ Transaction' button is highlighted with an orange box. A red arrow points to the '+ Transaction' button with the text 'Click here to create a new purchase being an authorized operator'. Below the buttons, there is a filter section with fields for Invoice date, Supplier, Product, Submission date, Country, Metal, and Transaction status. A 'Search' button is located at the bottom right of the filter section. Below the filter section, there is a 'Results' section with a table showing one record. The table has columns for Submission date, Invoice date, Supplier, Total weight, Weight unit, Transaction status, Link status, and Transaction type. The record shows a submission date of 27/10/2015, an invoice date of 30/09/2015, a supplier of Fairmined Operator 1, a total weight of 1,400.000 g, and a transaction status of Submitted. The page footer shows '1 - 1 of 1 records' and navigation controls.

- ✓ **Licensee:** to create a purchase from the Authorized Operators, click on the button



. You will see the list of the suppliers.

- ✓ **Authorized Operator:** to create a purchase being an Authorized Operator, click on the



button . You can see the list with the First Authorized Operators (FAB) and the other Authorized Operators.

In both cases, to know how to proceed, please go to the section [Creating a new purchase from an Authorized Operator](#)

**g. Scrap metal purchase**

In case you buy scrap Fairmined metals (left-overs from manufacturing) back from the Licensees.

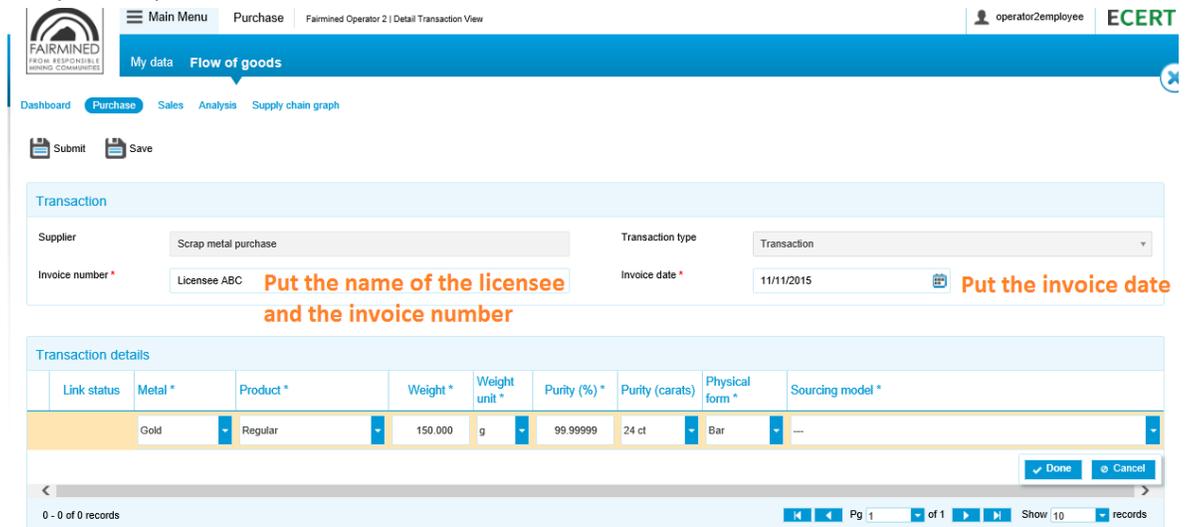
You need to follow the same steps for creating a new purchase. Please see the section [Creating a new purchase from an Authorized Operator](#)

Please have in mind these specifications in this case:

1. Choose in the list of suppliers the Authorized Operator: **Scrap metal purchase**

FAIRMINED ID	Name	Group
▽ Contains...	▽ Contains...	▽ Contains...
FAB 2	FAB 2	FAB (First authorized buyer)
FAB 3	FAB 3	FAB (First authorized buyer)
Fairmined Operator 1	Fairmined Operator 1	FAB (First authorized buyer)
Intact Test FAB	Intact Test FAB	FAB (First authorized buyer)
-----	No purchase to report	FAB (First authorized buyer)
	No sale to report	AO (Authorized operator)
Operator 1	Operator 1	AO (Authorized operator)
Operator 2	Operator 2	AO (Authorized operator)
	Scrap metal purchase	AO (Authorized operator)

- Write in the invoice number field: **the name of the Licensee and the invoice number.**
- Complete the invoice date.
- Finally, complete in the transactions details the other fields with the information of the scrap metal purchase.



The screenshot shows the 'Fairmined Operator 2 | Detail Transaction View' interface. The 'Transaction' section contains the following fields:

- Supplier: Scrap metal purchase
- Transaction type: Transaction
- Invoice number: Licensee ABC **Put the name of the licensee and the invoice number**
- Invoice date: 11/11/2015 **Put the invoice date**

The 'Transaction details' table is as follows:

Link status	Metal *	Product *	Weight *	Weight unit *	Purity (%) *	Purity (carats)	Physical form *	Sourcing model *
	Gold	Regular	150.000	g	99.99999	24 ct	Bar	---

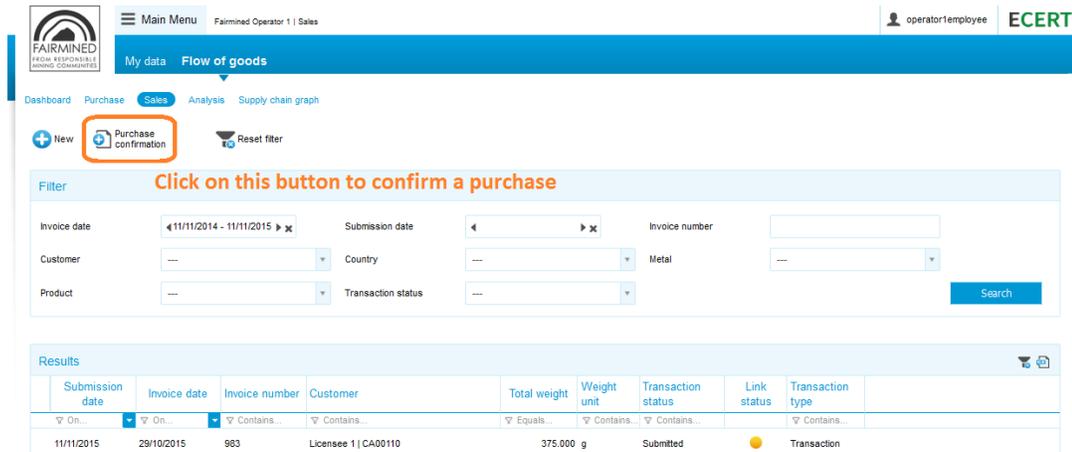
At the bottom, there are 'Done' and 'Cancel' buttons, and a pagination bar showing '0 - 0 of 0 records' and 'Pg 1 of 1'.

## 3.2. Flow of Goods reporting-Sales confirmation

### a. Confirming sales

The system is designed to be user friendly, for that reason the Authorized Operator's responsibility is **to confirm** the purchases of its clients (Operators, Licensees) which they have reported to Ecert. Operators do not need to report sales. Only in the circumstance that a client has failed to report their purchase would the Operator need to register those sales.

- ✓ Click on the menu Flow of goods-> sub menu **Sales**-> button  **Purchase confirmation**

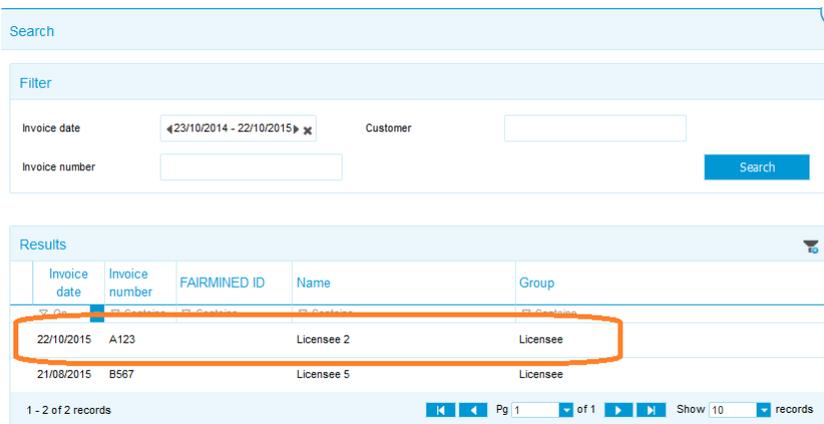


The screenshot shows the FAIRMINED web application interface. At the top, there is a navigation bar with 'Main Menu', 'Fairmined Operator 1 | Sales', and a user profile 'operator1employee' next to the 'ECERT' logo. Below this is a 'My data' section with a 'Flow of goods' dropdown. The main content area has tabs for 'Dashboard', 'Purchase', 'Sales', 'Analysis', and 'Supply chain graph'. A 'New Purchase confirmation' button is highlighted with an orange box. Below the button is a filter section with the instruction 'Click on this button to confirm a purchase'. The filter includes fields for 'Invoice date', 'Submission date', 'Invoice number', 'Customer', 'Country', 'Metal', 'Product', and 'Transaction status'. A 'Search' button is located at the bottom right of the filter. Below the filter is a 'Results' table with columns: 'Submission date', 'Invoice date', 'Invoice number', 'Customer', 'Total weight', 'Weight unit', 'Transaction status', 'Link status', and 'Transaction type'. The table contains one row of data: '11/11/2015', '29/10/2015', '983', 'Licensee 1 | CA00110', '375.000 g', 'Submitted', a yellow dot, and 'Transaction'.

- ✓ Subsequently, the system opens a new window with the list of the reported purchases by your clients that are pending to be confirmed from you.

Please click on a purchase you want to confirm.

**Example 2:** in this case you will confirm the purchase registered by the Licensee 2 with the invoice number A123.



The screenshot shows the FAIRMINED web application interface with a search filter applied. The 'Filter' section has 'Invoice date' set to '23/10/2014 - 22/10/2015' and 'Customer' set to an empty field. The 'Invoice number' field is also empty. A 'Search' button is located at the bottom right of the filter. Below the filter is a 'Results' table with columns: 'Invoice date', 'Invoice number', 'FAIRMINED ID', 'Name', and 'Group'. The table contains two rows of data: '22/10/2015', 'A123', 'Licensee 2', 'Licensee' and '21/08/2015', 'B567', 'Licensee 5', 'Licensee'. The first row is highlighted with an orange box. At the bottom of the table, there is a pagination control showing '1 - 2 of 2 records' and 'Pg 1 of 1'.

- ✓ You will see the details of the sale, please check with your information that all the details of this transaction are accurate.

Transaction

Customer: Licensee 2      Transaction type: Transaction

Invoice number: A123      Invoice date: 22/10/2015

Transaction details

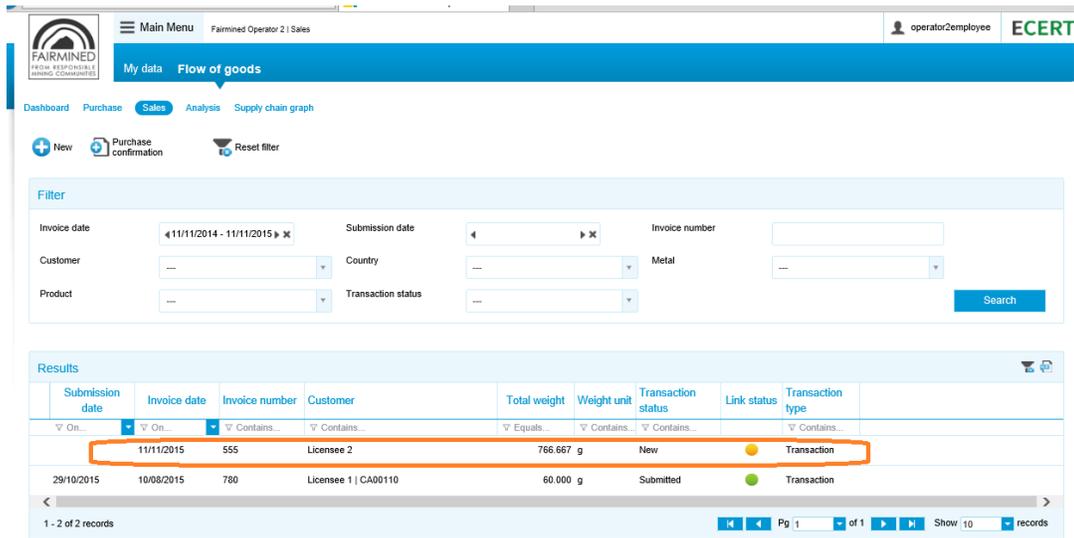
Link status	Metal *	Product *	Weight *	Weight unit *	Purity (%) *	Purity (carats)	Physical form *	Sourcing model *
	Gold	Regular	110.000 g		99.99999 24 ct		Grain	Incorporated

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

Finally, you must choose one of the two alternatives available in the upper left corner of the page:

- ✓ Click on the button  **Submit**. This means that you are sure about the information of the transaction and you want to confirm the sale. A pop-up window appears with this message “Do you really want to submit this transaction?” Please click in the button “**OK**”.
- ✓ Click on the button  **Save**. This means that you have saved the transaction in your account to submit it at a later date.

In case you just save the transaction as a draft, you will see it listed in the submenu Sales -> Results of the Sales tab with the “Transaction status” on “New”, but it is not yet submitted to the system and cannot be seen by the supplier.



The screenshot shows the FAIRMINED system interface. At the top, there is a navigation bar with 'Main Menu', 'Fairmined Operator 2 | Sales', and a user profile 'operator2employee'. Below this is a 'My data' section with 'Flow of goods' selected. The main area contains a 'Filter' section with fields for 'Invoice date', 'Submission date', 'Invoice number', 'Customer', 'Country', 'Metal', 'Product', and 'Transaction status'. Below the filter is a 'Results' table with columns: 'Submission date', 'Invoice date', 'Invoice number', 'Customer', 'Total weight', 'Weight unit', 'Transaction status', 'Link status', and 'Transaction type'. The table contains two rows, with the first row highlighted in orange.

Submission date	Invoice date	Invoice number	Customer	Total weight	Weight unit	Transaction status	Link status	Transaction type
11/11/2015		555	Licensee 2	766.667 g		New	●	Transaction
29/10/2015	10/08/2015	780	Licensee 1   CA00110	60.000 g		Submitted	●	Transaction

When you want to submit your draft transaction to the system, please click on it to reopen it



and change the status by clicking on the button . If you consider that the information in the draft transaction is incorrect and do not wish to submit it, you can delete it



by clicking on .

### ***b. Reporting “no sales” for the reporting period***

You need to report that you do not have any sales. Please access to the system and enter in the menu **Flow of Goods** -> submenu **Sales**.

Click in the button  and when the system opens automatically the window with the list of clients, please select **“No sale to report”**.

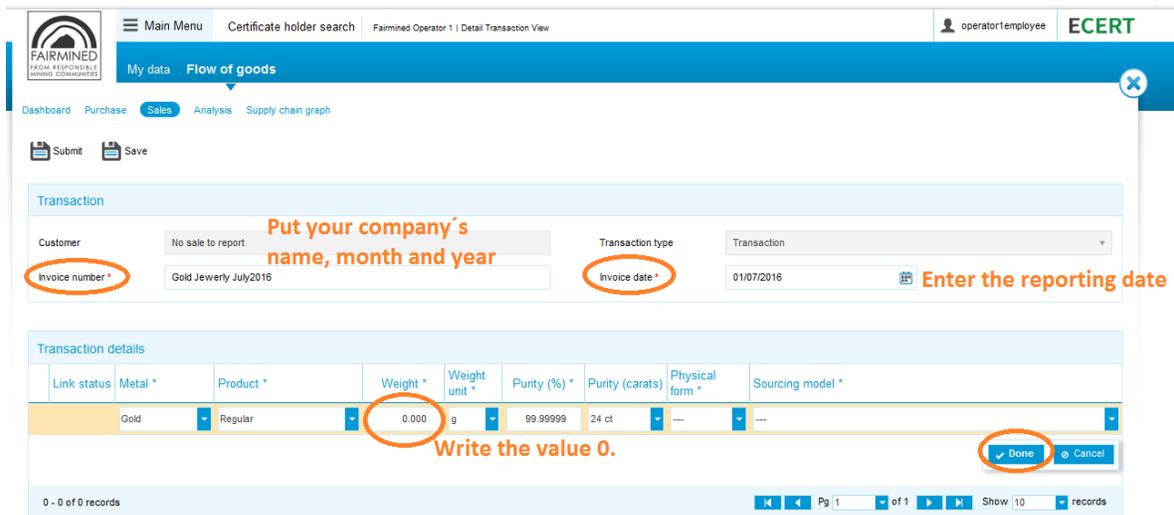
Please put your company’s name, reporting month and year (e.g. “Gold Jewelry Jul2016”) in the invoice number field and enter the last day of the reporting period as invoice date

- ✓ First Authorized buyers: 14<sup>th</sup> January; 14<sup>th</sup> April; 14<sup>th</sup> July; 14<sup>th</sup> October;
- ✓ Others Operators: either 31<sup>st</sup> December or 30<sup>th</sup> June.

In the invoice number field choose please **put your company’s name, month and year** (e.g. “Gold Company Jan2016”) and enter the reporting date as invoice date.

Consequently, in the transaction details, **the most important thing is to write the value 0** in the box **“Weight”**.

For the rest of the fields you just choose any of the values, dates or the options in the dropdown menu.



Transaction

Customer: No sale to report  
 Invoice number: Gold Jewelry July2016  
 Transaction type: Transaction  
 Invoice date: 01/07/2016

Transaction details

Link status	Metal *	Product *	Weight *	Weight unit *	Purity (%) *	Purity (carats)	Physical form *	Sourcing model *
	Gold	Regular	0.000	g	99.99999	24 ct	---	---

Buttons: Done, Cancel

### c. Search for sale transactions

The route to look for a sale transaction is: Menu **Flow of goods**->Submenu **Sales**-> **Transaction** box

The process and options are the same for purchases and sales. See the process clicking here [3.2 c. Search for purchase transactions](#)

### d. Cancelling a sale transaction

In the case you need to cancel a sale transaction because the data submitted is not correct, you need to do the same steps for cancelling a purchase transaction as it is described in [3.2.d. Cancelling a purchase transaction](#).

### e. Editing a sale transaction

You can edit any field of a submitted transaction. To do this, search for the transaction you wish to change, and click on it to open it.

Please follow the same steps of editing a purchase as it is described in the section [3.2.e. Editing a purchase transaction](#)

### f. Creating a new sale transaction

The reporting system is designed so that Operators only confirm their sales as reported by your clients into Ecert. In special cases, such as if a client fails to report their transactions, the Authorized Operator has the option to create a new sale.

Click submenu button Sales → Click in the button  New

Search

Filter

Customer  Search

Results

FAIRMINED ID	Name	Groups
CA00110	Licensee 1	Licensee
	Licensee 2	Licensee
	Licensee 3	Licensee
	Licensee 4	Licensee
	Licensee 5	Licensee
	Operator 1	AO (Authorized operator)
	Operator 2	AO (Authorized operator)

1 - 7 of 7 records

Complete the information in the **Transaction** and **Transaction details** boxes.

FAIRMINED FROM RESPONSIBLE MINING COMPANIES

Main Menu Sales Fairmined Operator 1 | Detail Transaction View operator1employee ECERT

My data Flow of goods

Dashboard Purchase Sales Analysis Supply chain graph

Submit Save

Transaction

Customer Licensee 1 Transaction type Transaction

Invoice number \*  Invoice date \* 23/10/2015

Transaction details

Link status	Metal *	Product *	Weight *	Weight unit *	Purity (%) *	Purity (carats)	Physical form *	Sourcing model *
	<input type="text"/>							

Done Cancel

0 - 0 of 0 records

Please complete the required information. Follow the process as it is described for creating a new purchase to an Authorized Operator, but in this case it is a sale. See the section [Creating a new purchase from an Authorized Operator](#)

### g. Reporting Fairmined metals sales to Non-Fairmined Licensees

You need to report the sales of Fairmined metals made to Non-Fairmined Licensees. Please access to the system and enter in the menu **Flow of Goods** -> submenu **Sales**.

Click in the button  **New** and when the system opens automatically the window with the list of clients, please select **“Non-Fairmined Licensees”**.

Please put your company's name, reporting month and year (e.g. "Gold Jewelry Jul2016") in the invoice number field and enter the last day of the reporting period as invoice date

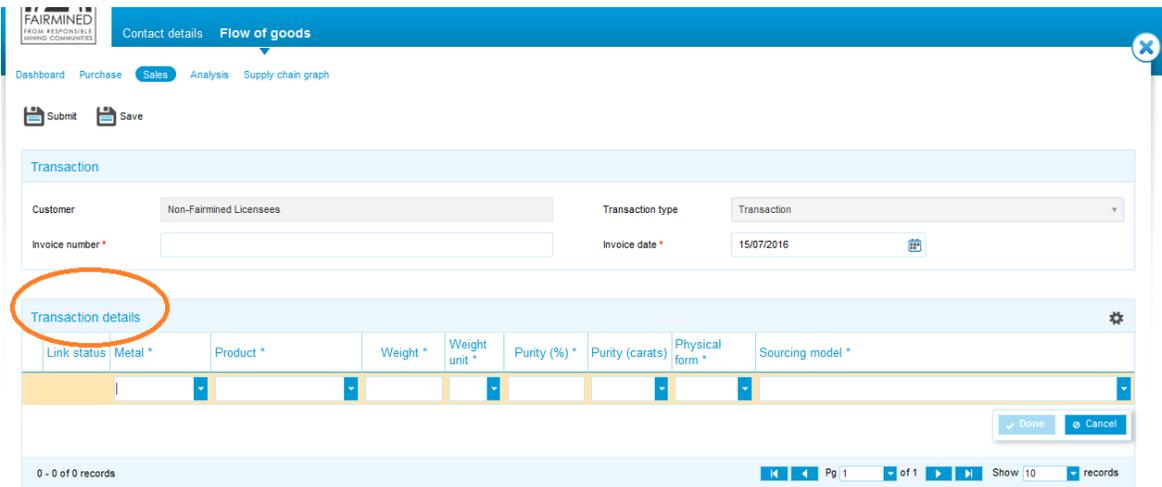
- ✓ First Authorized buyers: 14<sup>th</sup> January; 14<sup>th</sup> April; 14<sup>th</sup> July; 14<sup>th</sup> October;
- ✓ Others Operators: either 31<sup>st</sup> December or 30<sup>th</sup> June.

In the invoice number field choose please **put your company's name, month and year** (e.g. "Gold Company Jan2016") and enter the reporting date as invoice date.

Consequently, in the transaction details, add the total sales to all Non-Fairmined Licensees according to the metal purchased.

If you have different metals, after registering all the information of the total of sales of one metal, please click on "  to add the details of the volumes sold of another metal.

Finally, click on the button "Submit".



## 4. Flow of goods analysis and reports

### a. Dashboard

The Dashboard gives an overview of your account and the last transactions registered in the system.

You see three boxes: "My contact data", "My purchase transactions" and "My sales transactions"

The screenshot shows the 'Flow of goods' dashboard for 'Fairmined Operator 1'. It includes a navigation menu, a user profile section, and two transaction tables. The 'My contact data' section shows the operator's name and email. The 'My purchase transactions' table lists two transactions with yellow status lights. The 'My sales transactions' table lists three transactions with green and red status lights.

Invoice date	Invoice number	Supplier	Total weight	Weight unit	Link status
30/06/2015	K567	ASMO 11 MN1004E	1,800.00	g	●
22/10/2015	Gold Company Jan2016	No purchase to report	0.00	g	●

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

“My contact data” shows the contact data of the responsible person and the company address.

“My purchase transactions” shows your five most recent purchase transactions.

“My sales transactions” shows your five most recent sale transactions.

The purchase and sales transactions in the dashboard have this respective information: invoice date, invoice number, supplier/customer, total weight and link status.

### Transactions traffic lights

The traffic lights represent the “link status” of each transaction, showing if your supplier verified the transaction you submitted, and whether this verification was positive or negative. Also, as supplier to other Operators and Licensees you must verify the purchases they submitted.

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

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

**Necessary action:**

You should check the information you submitted again to verify if product, metal or weight amount fields are registered correctly.

If you registered wrong data, you can correct it (see section [3.2.e. Editing a purchase transaction](#)).

If the corrected information matches the data entered by your supplier or you, 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, you should contact your supplier/client and ask them to verify their records. If no solution is found, you 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 your supplier/you (Authorized Operator) has not confirmed the sale or the supplier/you entered a different invoice number and/or invoice date).

**Necessary action:** You do not have to take any action. ARM’s Standards and Certification team will identify transactions that have not been confirmed and will follow-up with the respective ASMOs and Authorized Operators 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 you.

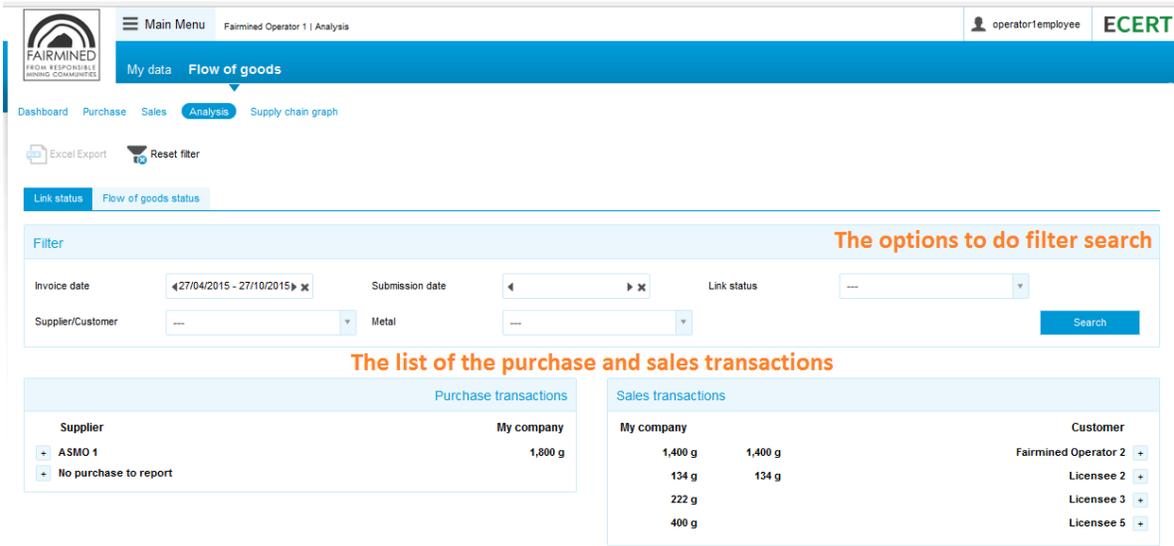
- ✓ The link status is **gray**  **(Cancel)**: the transaction is cancelled because you cancelled the purchase.

#### ***b. Transactions link status report***

The analysis of transactions allows you to compare the transactions information reported by you with the transactions information submitted by the suppliers/customers.

In case you need an overview of Fairmined purchases/sales for internal use in your organization, this report can also be a good option.

**Click menu “Flow of goods” -> submenu “Analysis” -> click the tab “Link status”**



The screenshot displays the 'Flow of goods' interface. At the top, there's a navigation bar with 'Main Menu', 'My data', and 'Flow of goods'. Below this, there are tabs for 'Dashboard', 'Purchase', 'Sales', 'Analysis', and 'Supply chain graph'. A filter section is present with fields for 'Invoice date', 'Submission date', 'Link status', 'Supplier/Customer', and 'Metal', along with a 'Search' button. Below the filter, there are two tables: 'Purchase transactions' and 'Sales transactions'.

Purchase transactions		Sales transactions	
Supplier	My company	My company	Customer
ASMO 1	1,800 g	1,400 g	Fairmined Operator 2
No purchase to report		134 g	Licensee 2
		222 g	Licensee 3
		400 g	Licensee 5

By default all the purchases/sales transactions appear, with three columns.

**In the purchases transactions box:** the first one shows the name of the **supplier** with the respective product. The second column indicates the weight confirmed by the supplier. Finally, the third one called **“My company”** shows the list of all the purchases submitted by you

**In the sales transactions box:** the first one **“My company”** shows the name and the submitted weight of your company. The second column indicates the weight registered by the customer. Finally, the third one shows the name of the **customer** with the respective product.

You can click on a specific transaction to see its details: the link status, the name of the supplier/customer and the invoice number.

#### Examples:

- **Full match transaction**

When the purchase has been confirmed by both sides, you will see the same information of the transaction.



- **No match transaction**

You will see in the left side the information of the transaction you submitted, but in the right side just the name of customer and the invoice number.



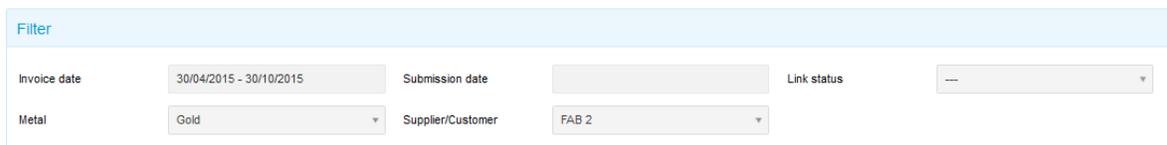
- **Not confirmed transaction**

In case a purchase has not been confirmed by the supplier in the purchases or the customers in the sales, you will see the transaction box in gray color without any data.

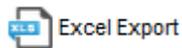


#### Additional options:

- ✓ You can do a filter search for an invoice date, submission date, link status, supplier/customer and metal.



- ✓ To export the information to Microsoft Excel you click on one supplier's name and then on



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

#### a. *Purchase/Sale volume report*

Click menu **"Flow of goods"** -> submenu **"Analysis"** -> click the tab **"Flow of goods status"**

This report is useful when you need the total of all the purchases/sales reported by you during a specific period of time.

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.

Dashboard Purchase Sales **Analysis** Supply chain graph

Excel Export Reset filter

Link status **Flow of goods status**

Filter **Choose the period of time to create the report of the purchases and sales.**

Invoice date  Weight unit

**Total of purchases and sales**

Purchase transactions				Sales transactions			
Metal	Product	Total weight	Weight unit	Metal	Product	Total weight	Weight unit
Gold	Ecological			Gold	Ecological		
Gold	Regular	1,800 g		Gold	Regular	2,156 g	
Platinum	Ecological			Platinum	Ecological		
Platinum	Regular			Platinum	Regular		
Silver	Ecological			Silver	Ecological		
Silver	Regular			Silver	Regular		

Excel Export

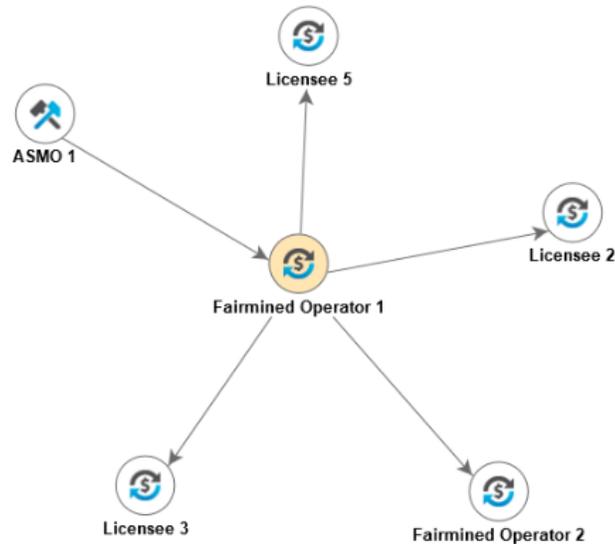
An excel export is also possible, just click the button

**b. Your Fairmined Supply chain graph**

Linked transactions can be visualized as a supply chain graph showing all your suppliers. For confidentiality reasons you will only see the first level upstream and downstream of the supply chain.

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

**Example 4:** the following screenshot illustrates the supply chain graph which you can generate in your account in Ecert. This Fairmined Operator 1 sources his Fairmined metals from ASMO 1. He sells to four different clients: Licensee 2, Licensee 3, Licensee 5 and Fairmined Operator 2.



## 5. My Fairmined Certification management

In the menu “**My data**” you have the possibility to see all your registered information in the Fairmined system. This information was entered by ARM and, in case you were audited, by the certification body.

**Note:** Please do not attempt to change any information in the “My data” menu, it is for your information only. If you find any wrong information, please email ARM at [ecert@responsiblemines.org](mailto:ecert@responsiblemines.org) and we will correct it.

The submenu shows the following categories:

**a. Contact data**

By clicking the button  **Feedback** you can send a feedback mail to ARM, to request a change in the registered information or if you have any doubts about the system.

**b. Contact persons**

You see the information of your contacts: your ARM account manager, your primary contact, your employees registered in Ecert and the certification body's contact person.

The details are the first and surname of the person, the default email address, the phone number the address and the country.

For example, as you can see in the following screenshot, this Operator has three contact persons.



**c. Contract data**

Here you can see information about your contract status that an ARM user or the auditor entered into the system.

The following contract statuses can be assigned: application, application approved, application rejected, introduced to Certification Body (CB), audit in process, audit report issued, certificate issued, suspension warning 1, suspension warning 2.



In case you must undergo an audit, you will sign an audit contract with an ARM's approved Certification Body of your choice. This Certification Body will then be assigned to you in Ecert and will be shown under the inspection body column. Only then the auditor will have access to your flow of goods records.

#### d. Metals

It shows the list of certifiable metals under the Fairmined Standard.

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

<input type="checkbox"/>	Metal	Active from	Active until
<input type="checkbox"/>	Gold	21/10/2015	
<input type="checkbox"/>	Silver	21/10/2015	
<input type="checkbox"/>	Platinum	21/10/2015	

1 - 3 of 3 records

#### e. Audits

Here you can see the results of the audit process, in case you received an audit. Details registered are: the audit type, audit start and end dates, next planned audit date, result, auditor's name and attachments.

FAIRMINED | Main Menu | Fairmined Operator 1 | Audits | operator1employee | ECERT

My data | Flow of goods

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

Reset filter

Filter

Audit type: Documentary audit | Audit date: [ ] | Search

<input type="checkbox"/>	Contract	Audit type	Audit start	Audit end	Next planned	Result	Auditor	Documents
0 - 0 of 0 records								

#### f. Certification

This option shows your certification status as an Authorized Fairmined Licensee with the respective date of issue and validity of your license certificate.

The list of available certification statuses are: authorized (Permit to Trade (PtT)), authorized (audited), authorized with conditions (audited), suspended, PtT terminated.

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

Save

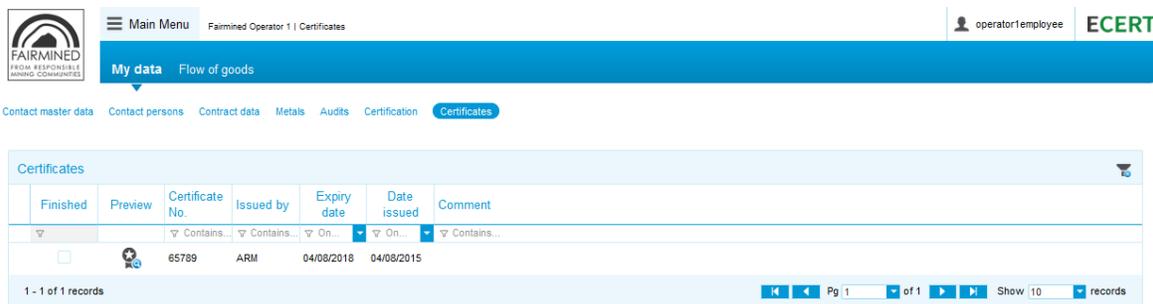
History

History 01.10.15 16:13 E-cert

Contracts	Metals	Certification	Certification result	Certified on	Valid until	Comment (Certification)
AO FAIRMINED Standard		✓	Authorized (PT)	07/05/2015	07/05/2018	
Licensee FAIRMINED Standard		✓	Authorized (LA)	23/06/2015	23/06/2018	

### g. Certificates

You can download the Certificate of Authorized Operator or Certificate of Compliance (in case you were audited) in this section.



FAIRMINED FROM RESPONSIBLE MINING COMPANIES

Main Menu Fairmined Operator 1 | Certificates operator1employee ECERT

My data Flow of goods

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

Finished	Preview	Certificate No.	Issued by	Expiry date	Date issued	Comment
<input type="checkbox"/>		65789	ARM	04/08/2018	04/08/2015	

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

We wish you a lot of success with the Ecert system, hoping that it adds value to your business.

In case you need support please write to: [ecert@responsiblemines.org](mailto:ecert@responsiblemines.org)