

## Back Office Assessment

Company:	Unit:
Reference Scheme: <input checked="" type="checkbox"/> Qweb	Type of Assessment: <input type="checkbox"/> Back Office Certification <input type="checkbox"/> Back Office Surveillance

### SCOPE OF CERTIFICATION

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### ASSESSMENT VISIT

Date: \_\_\_\_\_

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Assessment team

Name

Acronym

Signature

RVI			
AVI			

Auditor	Items assessed														
	1. 1.	1. 2.	1. 3.	3. 1.	3. 2.	3. 3.	4. 1.	5. 1.	6. 1.	6. 2.	6. 3.	6. 4.	7. 1.	7. 2.	7. 3.
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## 1 Use of the Checklist by Digital Media

This checklist can be filled-in electronically with any word processor such as Microsoft Word. In this case pay particular attention to the editing and do not modify the text of the specification already filled-in for reference.

## 2 Key to operations

Example:

		References	yes	no	na	nv
21	The online supplier shall implement a system for receiving, recording and processing complaints from customers and users.					
22	That system should at least include:					
a)	Replying to any well-founded and non-anonymous complaint within a set timeframe.					
<b>A</b>	<b>B</b>	<b>C</b>	<b>D</b>	<b>E</b>	<b>F</b>	<b>G</b>

- **A** Reference number of the requirement (each requirement of the specification has a different number); to identify the requirement to which the comment refers, its number shall be placed in the leftmost column on the comment part.
- **B** Requirement and relevant notes; when the requirement cell has a grey background (e.g. item 22) the requirement is optional (verb “should”).
- **C** References to the documents (websites) examined during the assessment.
- **DEFG** Sections for the assessment:
  - Yes = requirement satisfied,
  - No = requirement not satisfied,
  - Na = not applicable;
  - Nv = not verifiable.

NOTE: When CDEFG fields have a dark grey background they shall not be marked during the assessment.

Note

## 1 Identification of the Online Supplier

Interviewed Persons:

Name	Function

Verified Documents:

Title	State of Review

## 1.1

		References	yes	no	na	nv
1	The identification of the online supplier shall be included in the entry of the commercial register or VAT-registration number.					

## 1.2

		References	yes	no	na	nv
2	Concerning the regulated professions shall be specified: Note: Regulated professions are those professions that need a special permit in order to be carried on. They are country dependent. Examples are: Medical doctor, civil engineer, lawyer, etc.					
a)	The professional association or similar institution to which the online supplier belongs.					
b)	The professional title issued by the state where the professional resides.					
c)	The reference to the existing professional rules of procedure of the state where the online supplier resides. Note: if applicable.					

## 1.3

		References	yes	no	na	nv
3	If the supplier has an activity that requires an authorization, details concerning the authority which grants said authorisation shall be given. Note: Some activities require an authorisation. They are country dependent. Examples: Pharmacy, selling of weapons and explosives, etc.					

ref.	Interviewed Persons, Documents, Objective Evidences and Comments



# Checklist Qweb-R2 008

Release 2 - 1 January 2005

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## 3 Transaction Management

Interviewed Persons:

Name	Function

Verified Documents:

Title	State of Review



## 3.1

		References	yes	no	na	nv
4	When goods are not available or a service ordered cannot be provided as specified, the online supplier shall have:					
a)	A process to notify the customer in a timeframe that is appropriate to the transaction and in line with the nature of the goods or the services. Note: When feasible, the unavailability should be notified on the website.					
b)	If an alternative is offered, a process by which the customer can accept or refuse the order. Note: In case the customer asks for the cancellation of the order, he must be refunded without further due.					
c)	A reliable system for the delivery of the ordered goods within the specified timeframe or in accordance with what was agreed when placing the order. Note: This means resorting reliable carriers with whom agreements exist. In this case the online supplier shall specify on the certified website the timeframe within which the goods will be made available to carriers for shipping.					
d)	A process to invoice and settle orders in line with what was described on the website.					
e)	The order confirmation in a printable way.					
f)	According to the type of goods or the ordered service, the notification that the goods have been shipped.					
g)	A process to inform customers of invoicing errors.					
h)	Possible information to the customer about the status of on-going orders.					

## 3.2

		References	yes	no	na	nv
5	The certified online supplier shall implement adequate measures to guarantee that customers' orders are processed in accordance with what was stated on the website.					
6	These measures should include:					
a)	A system to check that the orders are complete and consistent, before accepting and processing them.					
b)	A process to ensure that the goods and services supplied correspond to what was ordered.					

ref.	Interviewed Persons, Documents, Objective Evidences and Comments



# Checklist Qweb-R2 008

Release 2 - 1 January 2005

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## 4 Social Responsibility

Interviewed Persons:

Name	Function

Verified Documents:

Title	State of Review

## 4.1

		References			
		yes	no	na	nv
7	When children are involved, the online supplier shall establish and implement a policy for monitoring the use of chat rooms and new groups, and the access to web pages which are directly managed by the online supplier.				

ref.	Interviewed Persons, Documents, Objective Evidences and Comments



# Checklist Qweb-R2 008

Release 2 - 1 January 2005

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## 5 Processing of Users' Personal Information (Privacy)

Interviewed Persons:

Name	Function

Verified Documents:

Title	State of Review



## 5.1

		References	yes	no	na	nv
8	A privacy statement has to be available referring to relevant applicable laws and regulations.					
9	That privacy statement sets out:					
a)	The name of the person responsible for collecting and protecting the confidentiality of that personal information. Note: The responsible person can be the company that owns the certified website. In case the data treatment is subcontracted the subcontractor's name shall be published on the certified website.					
b)	The rights of users to object or prohibit the collection, use or disclosure of their personal information.					
c)	The right to withhold or withdraw their consent at any time and for any use.					
d)	The right to have that personal information corrected, completed or blocked.					
e)	The possibility for users to verify their personal information.					
f)	The means by which users may update their personal information or require any inaccuracy to be corrected.					

## 5.2

		References	yes	no	na	nv
10	Retaining personal information is allowed only when a transaction is consummated or if the user gives permission to retain that information for future purposes (opt-in rule).					
11	It shall be possible to withdraw this permission.					

ref.	Interviewed Persons, Documents, Objective Evidences and Comments



# Checklist Qweb-R2 008

Release 2 - 1 January 2005

## 6 Security

Interviewed Persons:

Name	Function

Verified Documents:

Title	State of Review

## 6.1

		References	yes	no	na	nv
12	Procedures designed to ensure the integrity, authenticity and confidentiality of data should be implemented in accordance with the state of the art and in line with the degree of risk in the application concerned.					

## 6.2

		References	yes	no	na	nv
13	Is the online supplier declaring its security policy on the certified website to define and implement measures for the management of information security?					
14	These measures include:					
a)	A risk assessment to list and define the different methods of information handling as well as threats, weaknesses and hazards to which information may be exposed.					
b)	The criteria to define rules and technical and operational controls to protect information, as well as the measures to monitor them.					
15	Such criteria shall at least include the following areas:					
a)	Data back-up and retrieval.					
b)	Internal network security.					
c)	Protection from possible intrusion.					
16	Additional criteria should include the following areas:					
a)	Logical security (identification, authentication, integrity, password management, etc.).					
b)	Development and modification of applications (if applicable).					
c)	Resort to sub-suppliers (outsourcing).					
d)	Handling of paper documents.					

## 6.3

		References	yes	no	na	nv
17	The online supplier should define:					
a)	The appropriate operative instructions.					
b)	Staff training.					
c)	The training, as well as monitoring and testing activities.					

## 6.4

		References	yes	no	na	nv
18	A secure payment method shall be implemented, either directly or indirectly					



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Release 2 - 1 January 2005

	resorting to banks or similar institutions provided with certified security systems.					
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ref.	Interviewed Persons, Documents, Objective Evidences and Comments



# Checklist Qweb-R2 008

Release 2 - 1 January 2005

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## 7 Quality of the E-Business Process (Control, Complaints and Corrective Actions)

Interviewed Persons:

Name	Function

Verified Documents:

Title	State of Review

## 7.1

		References	yes	no	na	nv
19	The online supplier shall provide evidence that the business processes involved in handling the scope of delivery or performance offered can be controlled in such a way that he can monitor compliance with the general and special terms and conditions applicable to its activities.					

## 7.2

		References	yes	no	na	nv
20	The online supplier shall monitor performances with regard to customers' expectations and, when necessary, take corrective actions.					
21	The online supplier shall implement a system for receiving, recording and processing complaints from customers and users.					
22	That system should at least include:					
a)	Replying to any well-founded and non-anonymous complaint within a set timeframe.					
b)	Taking appropriate measures to prevent the re-occurrence of the situation that led to the complaint.					
c)	Showing clear and exhaustive records for the resolution of complaints.					
d)	Implementing systems in order to monitor, that effective corrective measures are taken within a defined time period, to handle any non-compliance with this specification either detected at internal level or reported from a third-party, including the certification body.					
e)	Implementing a system for receiving customers' comments on goods and services, keeping statistics of that feedback and correcting actions on the basis of the results.					

## 7.3

		References	yes	no	na	nv
23	The online supplier should agree to out-of-court settlement of disputes caused by a disagreement with the customer by means of the online mediation systems provided by relevant organisations Note: This requirement applies as mandatory for B2C e-commerce transactions in those countries where an					

online dispute settlement system is available at affordable costs.					
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# Checklist Qweb-R2 008

Release 2 - 1 January 2005

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Interviewed Persons, Documents, Objective Evidences and Comments

STARTING MEETING

CHANGES SINCE LAST ASSESSMENT



# Checklist Qweb-R2 008

Release 2 - 1 January 2005

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Interviewed Persons, Documents, Objective Evidences and Comments

CORRECTIVE ACTIONS RELATED TO THE NON-CONFORMITIES OF THE PREVIOUS ASSESSMENT

USE OF THE Qweb CERTIFICATION MARK (if used, where and how)

CLAIMS

Interviewed Persons, Documents, Objective Evidences and Comments

FINAL MEETING

NON-CONFORMITIES AND RECOMMENDATIONS