PART I: CERTIFICATION PROCESS AND RULES

1. AUDIT PROCESS

1.1 Scoping
The goal of the scoping is to gather all the information needed to prepare the joint offer from SDI and SGS. The standard agenda includes the following topics:

1.2 Offer issuance and contract signing
The client completes the DTL-questionnaire and then gets the offer. If requested, a Non-Disclosure Agreement (NDA) is signed first. The clients thereafter sign the SDI contract before the audit starts.

1.3 Audit steps

STAGE 1
The auditor kicks off the audit together with the client. The audit checklist is completed with client-specific data and where needed supported with the client’s documents to prove fulfillment of the specific criteria.

The process for sharing data and files with the auditor is mutually agreed during the scoping call to ensure the security of the data.

The auditor reviews the audit checklist in a document review and thereafter completes an audit report. If needed, minor or/and or major findings/nonconformities are highlighted. Major nonconformities shall be removed before Stage 2 Audit can be started.

STAGE 2
Stage 2 Audit takes place as a virtual meeting (or at the client's premises if so requested) and includes the following topics:
- Opening meeting

Digital Trust Label Pricing (updated June 2023)
Everything included (more details on pages 5-6).
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- Formal closing of findings out of Stage 1 Audit
- Verification of the records according to the audit checklist
- Evaluation among the auditors
- Final meeting: Disclosure of the audit result and agreement on the next steps.

1.4 Label Issue

The final audit report is forwarded to SDI for technical review together with the Label Certification Comitéé. When approved, the label is valid for three years.

1.5 Surveillance audits

- Surveillance audits takes place after one and two year to ensure the maintenance of the relevant procedures and associated documents (templates and records) to comply with the label;

1.6 Early Renewal

Early renewal is due in case of a new release of the product (major changes of the features). Stage 1 audit will be required depending on the level of changes. This decision is taken in a shortened scoping meeting and the LA justifies it in a documented manner.

1.7 Transition Audit

A transition audit is due in case of a standard version update. Transition period/transition audit type will be defined by SDI case-by-case depending on the urgency of the implementation of the new rules and the level of changes. There are the following options:

- Within x months from the publication date -> separate transition audit: new certificate valid until the current expiry date;
- At the next following audit (surveillance or renewal audit) -> in case of surveillance audit: new certificate valid until the current expiry date;
- At the next regular renewal audit: new certificate with new expiry date;
- Start the audit process from new: Stage 1+2 audit (rather unlikely).

2. DUE DATES

The audits shall be completed within the following timeframe:

- Stage 2 Audit: Not later than three months after Stage 1 Audit;
- Surveillance Audit: +/− 2 months from the Due Date (= date of the last Stage 2 Audit date);
- Renewal Audit: ≤3 months before the Due Date; (= date of the last Stage 2 Audit date);
- Closing of nonconformities: 90 days after the last audit day;

Note: In case of open nonconformities at the expiry date, the new certificate will have a shortened validity.

Example

- Due date (last day of Initial Audit / Stage 2): 15 July 2021
- Certificate date: 30 July 2021 (after reporting, technical review, and certification decision)
3. NONCONFORMITIES

3.1 Types of Nonconformities

- MAJOR NC: Failure which impacts a critical risk concerning IT security, data protection and/or fair user management (missing system elements, lack of implementation etc.);
- MINOR NC: Failure which impacts a limited risk concerning IT security, data protection and/or fair user management;

3.2 Closing of Nonconformities

- MAJOR NC: Action plan to be issued within 30 days; Follow-Up-Audit to be performed within 90 days;
- MINOR NC: Action plan to be issued within 90 days; the implementation of the actions will be checked during the next following regular audit.

Overdues cause any suspension of the label which lasts another 30 days at maximum. Afterwards the label will be withdrawn.

PART II: AUDIT DURATION

The certificate is valid for 3 years, provided the annual surveillance audits are passed. The audit duration (number of audit days) is calculated based on the complexity of the product.

We differentiate the following complexity levels:

<table>
<thead>
<tr>
<th>Complexity</th>
<th>Definition</th>
</tr>
</thead>
</table>
| Level 1    | Regular system or device, for example this can be  
|            | - A server/client infrastructure which consists of one backend service (e.g. Application and Database) and one to two frontend services (e.g. Client Application, Web Application, mobile App, API)  
|            | - A connected device (e.g. IoT) with one companion application (mobile, PC application) and one Backend Service  
|            | The service also should rely on not more than one additional external third-party service, e.g. for payments or authentication. |
| Level 2    | Larger systems, in which more backend and/or frontend services are involved, or which consist of more than one device or multiple companion apps or backends:  
|            | - A server/client infrastructure with either two backend services or 3-4 frontend services  
|            | - Either two coupled connected devices or 2-3 companion apps or 2 backend services  
|            | The service can rely on up to three additional external third-party services, e.g. for payments or authentication. |
| Level 3    | Complex systems, in which more backend and/or frontend services are involved, or which consist of more devices, companion apps or backends:  
|            | - A server/client infrastructure with two backend services and 3-4 frontend services  
|            | - A server/client infrastructure with three backend services  
|            | - A server/client infrastructure with 5-6 frontend services  
|            | - Two coupled connected devices and/or 2-3 companion apps and/or 2 backend services (2 out of 3) |
4. PRICING

4.1 Total Pricing
The pricing is provided upfront and includes everything needed for the three years validity: initial audit fee, label fee, and two surveillance audit fees.

<table>
<thead>
<tr>
<th>Level of complexity</th>
<th>Swiss Digital Initiative (SDI) Label Fee</th>
<th>Audit (SGS)</th>
<th>Total CHF</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>8,000</td>
<td>10,140</td>
<td>18,140</td>
</tr>
<tr>
<td>2</td>
<td>8,000</td>
<td>15,210</td>
<td>23,210</td>
</tr>
<tr>
<td>3</td>
<td>8,000</td>
<td>20,280</td>
<td>28,280</td>
</tr>
<tr>
<td>4</td>
<td>8,000</td>
<td>25,350</td>
<td>33,350</td>
</tr>
</tbody>
</table>

4.2 Audit Fees
Charged by auditing firm (SGS).

Initial Audit
Performed before the label is awarded.

<table>
<thead>
<tr>
<th>Level of complexity</th>
<th>Stage 1</th>
<th>Stage 2</th>
<th>CHF</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2</td>
<td>2</td>
<td>6,760</td>
</tr>
<tr>
<td>2</td>
<td>3</td>
<td>3</td>
<td>10,140</td>
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<tr>
<td>3</td>
<td>4</td>
<td>4</td>
<td>13,520</td>
</tr>
<tr>
<td>4</td>
<td>5</td>
<td>5</td>
<td>16,900</td>
</tr>
<tr>
<td>&gt;4</td>
<td>to be calculated in case-by-case</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Surveillance Audit (x2)
Performed year two and three of the label validity.
The following aspects cause some reduction/increase of the standard audit duration. The % shall be defined case-by-case at the scoping meeting.

**Increase of audit duration (10-30%):**
- The hosting infrastructure (often provided by a third party and not the company itself) is not certified against ISO 27001 by an acknowledged Certification Body;
- There are multiple (independent) development teams involved.

**Reduction of audit duration (10-30%):**
- The company is certified against ISO 27001 and/or ISO 22301 by an acknowledged Certification Body;
- There are outsourced processes/parts (e.g. data storage), provided an ISO 27001 certificate or supplier audit is available;
- Some processes are audited by another body, provided the audit has been performed by an acknowledged company (e.g. financial advisor like PwC, KPMG etc.) and against an official standard;

### 4.3 Label Fee
Charged once by SDI.

<table>
<thead>
<tr>
<th>Label fee</th>
<th>CHF</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>8,000.00</strong></td>
</tr>
</tbody>
</table>

The SDI label fee is a fixed fee regardless of the complexity of the digital service. The SDI label fee is a one-time, fixed fee paid for the 3-year validity of the label.

The fee will be invoiced in two equal parts:
- CHF 4,000: To be paid upfront, non-refundable in case of an unsuccessful audit
- CHF 4,000: To be paid upon the successful audit, non-refundable

Please note that all prices are excl. VAT, 7.7%.
Code of Practice for the Digital Trust Label (DTL)
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