ISO/IEC 27018:2020

Annual Surveillance Audit Report for Lynq Limited

Date of Audit:	03/05/2023
Auditor:	David Wilson
Client Reference Number:	39586

Introduction

This report outlines the Citation ISO Certification external audit of your Management System which took place on 03/05/2023and outlines our key findings, recommendations and, where appropriate, nonconformities found. Please read this report carefully prior to contacting Citation ISO Certification for further support and guidance.

This report has been completed by David Wilson (the Citation ISO Certification Auditor) and reviewed by Heather Lonsdale (the Citation ISO Certification Reviewer in our Technical Department).

Audit Location:	Lancaster Court 8 Barnes Wallis Road Fareham Hampshire PO15 5TU
Audit Type:	ISO Annual Visit
Standard:	ISO/IEC 27018:2020

Audit Criteria

An Audit carried out in line with the Citation ISO Certification External Audit Programme against the Management System processes and procedures documented by the Organisation, based on the requirements of the Standard.

Audit Objectives

- To confirm that the requirements of the management system standard are effectively addressed by the Organisation's Management System in accordance with the Audit Criteria.

- To confirm the ability of the Management System to ensure that the Organisation meets applicable statutory, regulatory and contractual requirements and meets its specified objectives.

- To identify areas for potential improvement of the Management System.

Audit Methodology

This Audit has been based on Random Sampling methodology and does not exclude the possibility that other nonconformances may exist.

All identified nonconformances and other recommendations are subject to review and ratification by the Technical Department of Citation ISO Certification.

Nonconformity

During the audit, the Auditor will be reviewing the evidence that you supply to them to assess whether you are following your Management Systems procedures and processes against the requirements of the International Standard.

Should the auditor identify an area of the Management System which does not meet the requirements of the standard and/or your Management System procedures/processes, they may raise a Nonconformity, Observation or Opportunity for Improvement.

Any Major Nonconformities will result in a failed audit grade pending corrective action and the submission of rectification evidence to Citation ISO Certification for review.

Any Minor Nonconformities will result in an audit grade of 'pass subject to rectification'. In this case, we will review your rectification evidence for this Minor Non-conformity at the next Annual Surveillance Audit.

Non-conformities can be defined as:

Major Nonconformity:	A Major Nonconformity usually leads to the break down of the Management System in achieving its intended results. For Major Nonconformities, the Organisation is expected to address this nonconformity using the corrective action process as soon as possible. Records are to be maintained to detail the corrective action taken and its effectiveness to analyse the cause and prevent reoccurrence. Rectification evidence is to be submitted via email to ISOrectifications@citation.co.uk within 60 days of the audit (this audit took place on 03/05/2023).
Minor Nonconformity:	A Minor Nonconformity would be the failure to conform to one of the requirements of the International Standard that is not likely to result in a failure of the management system. It may be a single observed lapse or isolated incident where there is minimal risk of the break down of the Management System. For Minor Nonconformities, the Organisation is expected to address this nonconformance using the nonconformity and corrective action processes as soon as possible. Records are to be maintained to detail the corrective action taken and its effectiveness to analyse the cause and prevent reoccurrence. Citation ISO Certification will review rectification evidence for Minor Nonconformities at the next annual surveillance audit.
Observation:	An Observation is an area of the Management System which could be improved and if not rectified, may result in a Minor Nonconformity in the future if not addressed. For Observations, the Organisation is expected to consider taking action to address the recommendations suggested by the Auditor to aide continual improvement over time.
Opportunity for Improvement:	Opportunities for Improvement are areas of the Management System or the wider operation of the Organisation which the Auditor feels would benefit from additional improvements. Where appropriate, Auditors may provide a number of Opportunities for Improvement which are submitted in the body of the audit report to provide additional assistance and guidance for the Organisation to consider.

Audit Grading

Your audit result can be found at the end of this report. The following actions are required depending on the grade awarded:

PASS	No further action required by the Organisation.
PASS SUBJECT TO RECTIFICATION	Minor Nonconformities have been identified during the audit which are to be rectified prior to the next Citation ISO Certification external audit.
FAIL	Major Nonconformities have been identified during the audit which are to be rectified and evidence submitted to Citation ISO Certification within 60 days of 03/05/2023. Rectification evidence is to be emailed to ISOrectifications@citation.co.uk.

Audit Report Acceptance

You have 30 days from 03/05/2023 to raise any disputes with any of the findings, Nonconformities or other information contained in this report. After 30 days, we will automatically confirm your receipt and acceptance of this report.

If you have a concern or would like any clarification on the content of this report, please contact one of our Technical Liaison Officers who will be happy to assist you.

Support and Assistance

If you have failed your audit and you require any additional assistance or advice and guidance about how to take corrective action to rectify nonconformities, please contact one of our Technical Liaison Officers who will be happy to help you.

	New	Outstanding
Non Compliance - Major	0	0
Non Compliance - QMS to address immediately	0	0
Non Compliance - Minor	0	0
Positive observations	8	

Opening Meeting Attendees	
Name	**Job title**
David Wilson	Auditor
Sarah Paradise-Brown	Chief Operating Officer

Annual Audit Mandatory Topics

Positive observations		
Audit item	**Process audited**	**Evidence findings**
Is the client aware of the Certification Representation Policy and Brand Guidelines?	Client Management Systems.	The client was aware of the Certification Representation Policy; there was no evidence that would suggest the Certification was being inappropriately used.
Are Certification Marks being used correctly?	Client Management Systems.	There was no evidence that would suggest the Certification logos were or had been inappropriately used.
Is the management system suitable to fulfil relevant statutory, regulatory and contractual requirements and the objectives of the management system?	ISMS Management System Processes and subsequent operational records.	The ISMS Management System was demonstrated as being suitable to fulfil relevant statutory, regulatory and contractual requirements and the objectives of the Management System, as defined within the current ISMS Policy.
All subjects from the audit plan and program were evaluated.	Audit and Management Review.	All of the subjects from the Audit Plan were evaluated.
Changes in the management system were evaluated?	Management Review records and system records.	The Organisation demonstrated that the change management was being adequately considered and evaluated by the ISMS Manager (Compliance Manager) as and when required; this was also discussed during the operational and management meetings.
Corrective actions as a result of nonconformities from the previous audit were evaluated.	Management Review and Nonconformance reporting.	The previous Nonconformances have been adequately closed out and evaluated.

Audit Items

Positive observations		
Audit item	**Process audited**	**Evidence findings**
1	General 27018 Controls	The Organisation have a combined 27001 and 27017 & 27018 Management System, and as a result, a full audit of the following requirements of BS ISO/IEC 27018:2020 were reviewed in conjunction with the Organisation's BS ISO/IEC 27001:2013 audit completed on the 2nd May 2023: • Information security policies • Organisation of information security • Human resource security • Asset management • Access control • Cryptography • Physical and environmental security • Operations Security • Supplier relationships • Information security incident management • Information security aspects of business continuity management.

Statement of Applicability Audit Items

Positive observations		
Audit item	**Process audited**	**Evidence findings**
1	Public cloud PII processor extended control set for PII protection extended control set A.1 General A.2 Consent and choice A.3 Purpose legitimacy and specification A.4 Collection limitation A.5 Data minimization A.6 Use, retention and disclosure limitation A.7 Accuracy and quality A.8 Openness, transparency and notice A.9 Individual participation and access A.10 Accountability A.11 Information security A.12 Privacy compliance.	All of the cloud service extended control set have been satisfied in the controls of the Organisation BS EN ISO 27001:2013 audit completed on the 2nd May 2023.

Closing Meeting Attendees	
Name	**Job title**
David Wilson	Auditor
Sarah Paradise-Brown	Chief Operating Officer

Recommendation	Pass
Auditor's Name	David Wilson
Auditor's Signature	

By signing the above, the auditor confirms that the audit objectives have been met.

Recommendation Review	Recommendation confirmed
Reviewer's Name	Heather Lonsdale
Reviewer's Signature	