

Appendix 2

<p>Teignbridge District Council - Internal Audit Section</p> <p>AUDIT FOLLOW UP – CONTROL SHEET</p>

Original Audit:	DAP Building Control	Year:	2023/2024
Completed By:	Matthew Whale	Date:	18 Aug 2023
Followed Up By:	Jane Sanders	Date:	1 Mar 2024
Further Follow Up:	Jane Sanders	Date:	2 Jul 2024

Number of recommendations agreed in original Action Plan:	5	Original Assurance Rating:	Good
Number of recommendations implemented at date of follow up:	2	Revised Assurance Rating (if applicable):	N/A
Number of recommendations outstanding:	3		

<p>Details of any agreed recommendations not implemented with their risk rating: (These may be reported to CMT if they represent an unacceptable risk)</p> <p>There were no 'high' risk agreed recommendations.</p> <p>There were four 'medium' risk agreed recommendations and one 'low' risk. Two completed and three outstanding:</p> <ul style="list-style-type: none"> • The known existence of historic personal data in the system requires prioritisation and action from the new software / functionality via Strata. Still waiting for installation. • Concerned that Card payments are still being taken by telephone without two-factor authentication, awaiting roll-out by Adelante of PSD (Payment Service Directive)2 compliant package. Card payments are still being read over the phone and input by DBCP staff via Virtual Terminal - Adelante to provide solution at earliest opportunity. Not yet implemented corporately. • Staff processing personal and secure data have currently not been vetted using DBS checks or similar. DBS checks are being carried out on staff who visit customers at home/site. These checks should be extended to include office-based staff. DBS checks will be implemented from April 2024 for new starters – no new starters as yet.

Signed (Auditor): Jane Sanders	Date: 3 Jul 2024
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Notes on Completion:

- Copy of original action plan to be attached to this sheet
- Any evidence in support of follow up also to be attached (eg: email confirmations etc)
- Original copy of this form and back up papers (as above) to be filed on subject file
- Photocopy of this form to be filed in Audit Reports file
- If a high risk item has not been implemented and there is no reasonable explanation from the auditee, arrange for Business Lead and CMT to be informed

Appendix 3

bsi.



Certificate of Registration

QUALITY MANAGEMENT SYSTEM

This is to certify that:

District Surveyors Association Ltd
T/A LABC
Devon Building Control Partnership
Forde House
Brunel Road
Newton Abbot
TQ12 4XX
United Kingdom

Is included as a location on Certificate number: **FS 776322**

And BSI location is: 0047870747-130

and operates a Quality Management System which complies with the requirements of ISO 9001:2015 for the following scope:

The Provision of public sector building control and public protection services

For and on behalf of BSI:

A handwritten signature in black ink, appearing to read 'Matt Page'.

Matt Page, Senior Vice President, EMEA Assurance

Original Registration Date: 2022-12-19

Expiry Date: 2027-06-20



...making excellence a habit.™

This certificate is not the legal certificate and is for presentation purposes only.
Refer to the legal certificate for full details of schemes and scopes.
This certificate remains the property of BSI and is bound by the conditions of the contract.

Information and Contact: BSI, Kitemark Court, Davy Avenue, Knowlhill, Milton Keynes MK5 8PP. Tel: + 44 345 080 9000
BSI Assurance UK Limited, registered in England under number 7805321 at 389 Chiswick High Road, London W4 4AL, UK.
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