

**WASTEWATER DEPARTMENT
PLANNING DIVISION
NEW AND MODIFIED SERVICE REQUESTS
AUDIT 15-08
AUGUST 28, 2015**



CITY OF TAMPA

Bob Buckhorn, Mayor

Internal Audit Department

Christine Glover, Internal Audit Director

August 28, 2015

Honorable Bob Buckhorn
Mayor, City of Tampa
1 City Hall Plaza
Tampa, Florida

RE: Wastewater New and Modified Service Requests, Audit 15-08

Dear Mayor Buckhorn:

Attached is the Internal Audit Department's report on Wastewater New and Modified Service Requests.

We thank the management and staff of the Wastewater Department for their cooperation and assistance during this audit.

Sincerely,

/s/ Christine Glover

Christine Glover
Internal Audit Director

cc: Dennis Rogero, Chief of Staff
Sonya Little, Chief Financial Officer
Brad L. Baird, Administrator of Public Works and Utility Services
Eric A. Weiss P.E., Director of Wastewater Department

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/s/ Sterling Thomas

Auditor

/s/ Christine Glover

Audit Director

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BACKGROUND

Chapter 26 of the Tampa Code of Ordinances requires anyone wishing to receive service through the City of Tampa to apply for service and provide the requested information on an application form accompanied by any plans, specifications, or other information deemed pertinent.

The City of Tampa's Wastewater Department (Department) reviews applications for wastewater service according to a set of standard procedures specific to the type of service requested. The Department has prescribed procedures for applicants depending on the nature of the request and details of the project including location, history and availability of current service, and size of water meter needed. These procedures assign responsibilities to Department employees, detail documentation requirements, and prescribe a review process to ultimately determine whether the service request can and will be met by the City of Tampa.

STATEMENT OF OBJECTIVES

This audit was conducted in accordance with the Internal Audit Department's Fiscal Year 2015 Audit Agenda. The administrative activities of the Wastewater Department as they relate to handling new and modified service requests were reviewed during the planning stage of the audit. Based on that review, the audit was concluded and additional testing was not considered necessary.

STATEMENT OF SCOPE

The audit reviewed the authority and structure of the Department's administration regarding new and modified service requests. Standard procedures were reviewed and interviews were conducted to determine if the Department was conducting its responsibility effectively and whether the City faced any material and substantial risk from these activities. Official records and internal documents were used as evidence of activities and grounds for our conclusions.

STATEMENT OF METHODOLOGY

To ensure that the operation and maintenance of the Department's management and processing of new and modified service requests met good industry practices and standards, we requested and received all related standard operating procedures, authorizing and governing legislation, and an organizational chart to identify who is responsible for carrying out the prescribed duties. We reviewed these documents as well as supporting departmental financial information, technical standards, and previous audits and program reviews. We conducted interviews with key personnel and charted out the standard operating procedures while reviewing existing documentation for existing applications. At the conclusion of this

work, we conducted a risk analysis and found that no substantial risk existed to merit further analysis on our part.

STATEMENT OF AUDITING STANDARDS

We conducted this performance audit in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

AUDIT CONCLUSIONS

Based upon the audit work performed, we conclude that:

1. The Wastewater Department has appropriate standard operating procedures in place for processing new and modified service requests.
2. The Wastewater Department's is adequately managing the processing of new and modified service requests and related documentation.