<table>
<thead>
<tr>
<th>Category</th>
<th>O&amp;M Scoring Criteria</th>
<th>Possible Score</th>
<th>Score</th>
<th>Explanation of Score</th>
<th>How to Improve Score</th>
<th>Contact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operator Certification</td>
<td>Utility has more than one operator certified to the level of the water system</td>
<td>10</td>
<td>0</td>
<td>System Classification: Small Untreated Primary Operator: Laurence Prokopiof Certification Level: Operator holds no current certification Backup Operator: No record of a backup operator Certification Level: N/A</td>
<td>Laurence Prokopiof needs to take and pass the Small Untreated exam. A backup operator needs to be identified and take and pass the Small Untreated exam. Please see the enclosed flier with more information about certification.</td>
<td>ADEC Operator Certification Program 465-1139</td>
</tr>
<tr>
<td></td>
<td>Primary operator is certified to the level of the water system and the backup operator holds some level of certification in water treatment or distribution</td>
<td>7</td>
<td>0</td>
<td>The utility is not performing the required maintenance or isn’t keeping records of maintenance.</td>
<td>To receive the full points in this category, the operator must have a Preventative Maintenance plan that they follow and the completed plan must be submitted to your assigned RMW each quarter.</td>
<td>Theo Graber ADEC RMW 269-7571</td>
</tr>
<tr>
<td></td>
<td>Primary operator is certified to the level of the water system and the backup operator holds no certification or there is no backup operator</td>
<td>5</td>
<td>0</td>
<td></td>
<td></td>
<td>❏</td>
</tr>
<tr>
<td></td>
<td>Utility has one or more operators certified at some level in water treatment or distribution</td>
<td>3</td>
<td>0</td>
<td></td>
<td></td>
<td>❏</td>
</tr>
<tr>
<td></td>
<td>Utility has no certified operators</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
<td>❏</td>
</tr>
<tr>
<td>Preventive Maintenance Plan</td>
<td>Utility has a written PM plan; PM is performed on schedule; records of completion are submitted on a quarterly basis and have been verified</td>
<td>25</td>
<td>15</td>
<td>Mark Merculief attended Financial training on 3/11/2019.</td>
<td>To maintain the full points in this category, consider sending one of the free RUBA trainings each year.</td>
<td>Leah Vansandt ADEC Drinking Water Program 269-7653</td>
</tr>
<tr>
<td></td>
<td>Utility has a written PM plan; performance of PM and record keeping are not consistent</td>
<td>15</td>
<td>0</td>
<td>No meeting minutes have been provided to RUBA staff to document the council is meeting as required.</td>
<td>The governing body needs to meet according to local ordinance and submit minutes to RUBA. The meeting minutes should document that a report was made by the operator to the governing board.</td>
<td>❏</td>
</tr>
<tr>
<td></td>
<td>Utility has no PM plan or performs no PM</td>
<td>0</td>
<td>0</td>
<td>No record of a backup operator completed plan must be submitted to you by June 30, 2019.</td>
<td>A budget was not provided to RUBA staff by the deadline of June 30, 2019. Provide RUBA with an adopted, realistic budget. Provide RUBA with monthly financial reports and meeting minutes that demonstrate the council is reviewing the monthly financial reports.</td>
<td>Jed Cox DCRA RUBA Program 26-4549</td>
</tr>
<tr>
<td>Compliance</td>
<td>Utility had no Monitoring and Reporting violations during the past year</td>
<td>10</td>
<td>0</td>
<td>The utility had 6 Drinking Water Monitoring and Reporting violations in 2018.</td>
<td>The Drinking Water Program provides you with an Annual Monitoring Summary with all of the required samples for your water system. All samples and reports must be collected and submitted in a timely manner.</td>
<td>❏</td>
</tr>
<tr>
<td></td>
<td>Utility had up to five Monitoring and Reporting violation during the past year</td>
<td>5</td>
<td>0</td>
<td></td>
<td></td>
<td>❏</td>
</tr>
<tr>
<td></td>
<td>Utility had more than five Monitoring and Reporting violation during the last year</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
<td>❏</td>
</tr>
<tr>
<td>Utility Management Training</td>
<td>A person who holds a position of responsibility for management of the utility has completed a DCRA approved Utility Management course or other utility management training course within the last five years</td>
<td>5</td>
<td>5</td>
<td>Financial reports were not provided to RUBA staff by the deadline of June 30, 2019.</td>
<td>Provide RUBA with the utility’s fee schedule, collection policy and monthly financial reports. RUBA can assist in developing these if none exist.</td>
<td>❏</td>
</tr>
<tr>
<td>Meetings of the Governing Body</td>
<td>The utility owner’s governing body meets routinely consistent with the local ordinance/bylaw requirements and receives a current report from the operator</td>
<td>5</td>
<td>5</td>
<td></td>
<td>The utility is not performing the required maintenance or isn’t keeping records of maintenance.</td>
<td>❏</td>
</tr>
<tr>
<td></td>
<td>The utility owner’s governing body meets routinely consistent with the local ordinance/bylaw requirements</td>
<td>2</td>
<td>2</td>
<td></td>
<td>To maintain the full points in this category, consider sending one of the free RUBA trainings each year.</td>
<td>❏</td>
</tr>
<tr>
<td></td>
<td>The utility owner’s governing body does not meet</td>
<td>0</td>
<td>0</td>
<td>No meeting minutes have been provided to RUBA staff to document the council is meeting as required.</td>
<td>The governing body needs to meet according to local ordinance and submit minutes to RUBA. The meeting minutes should document that a report was made by the operator to the governing board.</td>
<td>❏</td>
</tr>
<tr>
<td>Budget</td>
<td>Utility owner and the Utility have each adopted a realistic budget and budget amendments are adopted as needed; Accurate monthly budget reports are prepared and submitted to the governing body</td>
<td>15</td>
<td>0</td>
<td>A budget was not provided to RUBA staff by the deadline of June 30, 2019.</td>
<td>Provide RUBA with an adopted, realistic budget. Provide RUBA with monthly financial reports and meeting minutes that demonstrate the council is reviewing the monthly financial reports.</td>
<td>❏</td>
</tr>
<tr>
<td></td>
<td>Either the Utility or the Utility owner has adopted and implemented a budget, the other has not</td>
<td>13</td>
<td>13</td>
<td>Financial reports were not provided to RUBA staff by the deadline of June 30, 2019.</td>
<td>Provide RUBA with the utility’s fee schedule, collection policy and monthly financial reports. RUBA can assist in developing these if none exist.</td>
<td>❏</td>
</tr>
<tr>
<td></td>
<td>Either the Utility or the Utility owner has adopted a budget, but it is not being implemented</td>
<td>10</td>
<td>10</td>
<td></td>
<td>Provide RUBA with the utility’s fee schedule, collection policy and monthly financial reports. RUBA can assist in developing these if none exist.</td>
<td>❏</td>
</tr>
<tr>
<td></td>
<td>Utility owner and the Utility have not adopted a budget</td>
<td>0</td>
<td>0</td>
<td>Financial reports were not provided to RUBA staff by the deadline of June 30, 2019.</td>
<td>Provide RUBA with the utility’s fee schedule, collection policy and monthly financial reports. RUBA can assist in developing these if none exist.</td>
<td>❏</td>
</tr>
<tr>
<td>Revenue</td>
<td>Utility is collecting revenue sufficient to cover the Utility’s operating expenses and to contribute to a repair and replacement account</td>
<td>20</td>
<td>20</td>
<td>Financial reports were not provided to RUBA staff by the deadline of June 30, 2019.</td>
<td>Provide RUBA with the utility’s fee schedule, collection policy and monthly financial reports. RUBA can assist in developing these if none exist.</td>
<td>❏</td>
</tr>
<tr>
<td></td>
<td>Utility is collecting revenue sufficient to cover expenses</td>
<td>15</td>
<td>15</td>
<td></td>
<td>To receive additional points in this category, the utility must either become current on all outstanding reports and tax liabilities, or must enter into a repayment agreement for outstanding tax liability, and remain current on payments.</td>
<td>❏</td>
</tr>
<tr>
<td></td>
<td>Utility has a fee schedule and a collection policy that is followed</td>
<td>5</td>
<td>5</td>
<td></td>
<td>To maintain the full points in this category, consider sending one of the free RUBA trainings each year.</td>
<td>❏</td>
</tr>
<tr>
<td></td>
<td>Utility has no fee structure or collection policy</td>
<td>0</td>
<td>0</td>
<td></td>
<td>The utility is performing all required activities and the fee schedule is current and in compliance.</td>
<td>❏</td>
</tr>
<tr>
<td>Worker’s Compensation Insurance</td>
<td>Utility has had a worker’s compensation policy for all employees for the past two years and has a current policy in place</td>
<td>5</td>
<td>5</td>
<td>No proof of worker’s comp insurance was available to RUBA staff.</td>
<td>Full points have been awarded. Maintain active Worker’s Compensation policy to continue receiving these points.</td>
<td>❏</td>
</tr>
<tr>
<td></td>
<td>Utility has a current worker’s compensation policy in place for all employees</td>
<td>2</td>
<td>2</td>
<td></td>
<td>To receive additional points in this category, the utility must either become current on all outstanding reports and tax liabilities, or must enter into a repayment agreement for outstanding tax liability, and remain current on payments.</td>
<td>❏</td>
</tr>
<tr>
<td></td>
<td>Utility has no worker’s compensation policy</td>
<td>0</td>
<td>0</td>
<td></td>
<td>To receive additional points in this category, the utility must either become current on all outstanding reports and tax liabilities, or must enter into a repayment agreement for outstanding tax liability, and remain current on payments.</td>
<td>❏</td>
</tr>
<tr>
<td>Payroll Liability Compliance</td>
<td>Utility has no past due tax liabilities and is current with all tax obligations</td>
<td>5</td>
<td>5</td>
<td>The city is non-compliant with State of Alaska ESC taxes.</td>
<td>To receive additional points in this category, the utility must either become current on all outstanding reports and tax liabilities, or must enter into a repayment agreement for outstanding tax liability, and remain current on payments.</td>
<td>❏</td>
</tr>
<tr>
<td></td>
<td>Utility owes back taxes, but has a signed payment agreement, is current on that agreement, and is up to date with all other tax obligations</td>
<td>2</td>
<td>2</td>
<td></td>
<td>To receive additional points in this category, the utility must either become current on all outstanding reports and tax liabilities, or must enter into a repayment agreement for outstanding tax liability, and remain current on payments.</td>
<td>❏</td>
</tr>
<tr>
<td></td>
<td>Utility is not current with its tax obligations and/or does not have a signed repayment agreement for back taxes owed</td>
<td>0</td>
<td>0</td>
<td></td>
<td>To receive additional points in this category, the utility must either become current on all outstanding reports and tax liabilities, or must enter into a repayment agreement for outstanding tax liability, and remain current on payments.</td>
<td>❏</td>
</tr>
</tbody>
</table>

| CIP O&M Score | 0 | SDS O&M Score | 3 | TOTAL SCORE | 20 |