# Financial Managerial

## Payroll Liability

- Utility has no past due tax liabilities and is current with all tax obligations: 5 points
- 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: 2 points
- Utility is not current with its tax obligations and/or does not have a signed repayment agreement for back taxes owed: 0 points

## Compliance

- Utility has a fee schedule and a collection policy that is followed: 2 points
- Utility has no fee structure or collection policy: 0 points
- Utility has one or more operators certified at some level in water treatment or distribution: 3 points
- Utility has no certified operators: 0 points

## Preventive Maintenance Plan

- Utility had no Monitoring and Reporting violation during the past year: 0 points
- Utility had up to five Monitoring and Reporting violations during the past year: 5 points
- Utility had more than five Monitoring and Reporting violations during the last year: 0 points
- Utility has a written PM plan; PM is performed on schedule; records of completion are submitted to a quarterly basis and have been verified: 15 points
- Utility has had no Monitoring and Reporting violations during the past year: 10 points
- Utility has had more than five Monitoring and Reporting violations during the last year: 0 points

## Budget

- Either the Utility or the Utility owner has adopted and implemented a budget, the other has not: 13 points
- Either the Utility or the Utility owner has adopted a budget, but it is not being implemented: 10 points
- 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: 15 points
- Utility owner and the Utility have not adopted a budget: 0 points

## Revenue

- Utility is collecting revenue sufficient to cover the Utility’s operating expenses and to contribute to a repair and replacement account: 20 points
- Utility has a fee schedule and a collection policy that is followed: 5 points
- Utility has a fee structure or collection policy: 0 points
- Utility is collecting revenue sufficient to cover expenses: 15 points
- Utility has no fee structure or collection policy: 0 points

## Worker’s Compensation Insurance

- Utility has a worker’s compensation policy for all employees for the past two years and has a current policy in place: 5 points
- Utility has a current worker’s compensation policy in place for all employees: 5 points
- Utility has no worker’s compensation policy: 0 points

## Best Practices Score

<table>
<thead>
<tr>
<th>Category</th>
<th>O&amp;M Scoring Criteria</th>
<th>Possible</th>
<th>Score</th>
<th>Explanation of Score</th>
<th>How to Improve Score</th>
<th>Contact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial</td>
<td>System Classification: Small Treated Primary Operator: John Frank</td>
<td>10</td>
<td>5</td>
<td>John Frank needs 1.0 CEU to renew in 2021. Curtis Frank needs to take and pass the Small Treated exam. Please see the enclosed flier with more information about certification.</td>
<td>John Frank needs 1.0 CEU to renew in 2021. Curtis Frank needs to take and pass the Small Treated exam. Please see the enclosed flier with more information about certification.</td>
<td>ADEC Operator Certification Program 465-1139</td>
</tr>
<tr>
<td>Technical</td>
<td>Preventative Maintenance Plan</td>
<td>25</td>
<td>10</td>
<td>The utility has had 16 Drinking Water Monitoring and Reporting violations in 2018. 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>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>Lee Meckel TCC RMW 452-8251 ext. 3265</td>
</tr>
<tr>
<td>Meetings of the Governing Body</td>
<td>Utility had up to five Monitoring and Reporting violation during the past year</td>
<td>5</td>
<td>0</td>
<td>The community meets according to their bylaws but no operator report was given at the meetings.</td>
<td>To maintain full points in this category, consider sending someone to one of the free RUBA trainings each year.</td>
<td>Teslyn Visscher ADEC Drinking Water Program 451-3038</td>
</tr>
<tr>
<td>Compliance</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>10</td>
<td>The utility has an adopted budget but it has not been implemented.</td>
<td>Provide RUBA with monthly financial reports and meeting minutes that demonstrate the council is reviewing the monthly financial reports.</td>
<td>Brendan Smyth DCRA RUBA Program 451-2744</td>
</tr>
<tr>
<td>Budget</td>
<td>Utility owner and the Utility have not adopted a budget</td>
<td>5</td>
<td>0</td>
<td>The community currently spends more than they receive.</td>
<td>To receive additional points, the utility needs to provide monthly financial reports to RUBA and demonstrate sufficient revenue and subsidy to cover the utility’s expenses.</td>
<td></td>
</tr>
<tr>
<td>Financial</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>5</td>
<td>RUBA has verified that the utility has had a current Worker’s Compensation Policy in place for all employees for at least two years.</td>
<td>Full points have been awarded. Maintain active Worker’s Compensation Policy to continue receiving these points.</td>
<td></td>
</tr>
<tr>
<td>Revenue</td>
<td>Utility has a fee schedule and a collection policy that is followed</td>
<td>5</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Worker’s Compensation Insurance</td>
<td>Utility has 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>0</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Payroll Liability Compliance</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>5</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>CIP O&amp;M Score</td>
<td>0</td>
<td>SDS O&amp;M Score</td>
<td>8</td>
<td>TOTAL SCORE</td>
<td>52</td>
<td></td>
</tr>
</tbody>
</table>

- **Contact Information**
  - Brendan Smyth
    - DCRA RUBA Program
    - Phone: 451-2744
  - Teslyn Visscher
    - ADEC Drinking Water Program
    - Phone: 451-3038
  - Lee Meckel
    - TCC RMW
    - Phone: 452-8251 ext. 3265

- **Explanation of Score**
  - 0 points: Full points have been awarded. Maintain active Worker’s Compensation Policy to continue receiving these points.
  - 1 points: To receive additional points, the utility needs to provide monthly financial reports to RUBA and demonstrate sufficient revenue and subsidy to cover the utility’s expenses.
  - 2 points: To maintain the full points in this category, consider sending someone to one of the free RUBA trainings each year.
  - 3 points: To receive additional points, provide RUBA with meeting minutes that demonstrate that the operator is providing a report to the council.
  - 5 points: Full points have been awarded. Continue to submit timely reports and payments to maintain these points.