<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>Operator Certification</td>
<td>Utility has more than one operator certified to the level of the water system</td>
<td>7</td>
<td>10</td>
<td>System Classification: Water Treatment 1 Primary Operator: Arthur Sheldon Certification Level: WT 2 Backup Operator: Gilbert Snell Certification Level: Small Treated</td>
<td>Arthur Sheldon needs 1.75 CEUs before 12/31/22 to renew his WT 2 certificate. Gilbert Snell has the required CEUs to renew his ST certificate in 2021 and needs to take and pass the WT 1 exam. Makary Tickett needs 1.0 CEUs before 12/31/22 to renew his ST certification, and needs to take and pass the WT 1 exam. Please see the enclosed flyer with more information about certification.</td>
<td>Bruce Nelson 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>5</td>
<td>5</td>
<td></td>
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</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>3</td>
<td>3</td>
<td></td>
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<tr>
<td></td>
<td>Utility has one or more operators certified at some level in water treatment or distribution</td>
<td>0</td>
<td>0</td>
<td></td>
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</tr>
<tr>
<td></td>
<td>Utility has no certified operators</td>
<td></td>
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</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>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>Teslyn Visscher ADEC Drinking Water Program 451-3038</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>15</td>
<td></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 has no plan PM or performs no PM</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Compliance</td>
<td>Utility had no Monitoring and Reporting violations during the past year</td>
<td>10</td>
<td>10</td>
<td>The utility had 0 Drinking Water Monitoring and Reporting violations in 2019. Excellent job - keep up the good work!</td>
<td>The utility owner’s governing body meets routinely consistent with the local ordinance/b/ bylaw requirements and demonstrates the council is reviewing the monthly financial reports.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>&quot;Utility had up to five Monitoring and Reporting violation during the past year&quot;</td>
<td>5</td>
<td>5</td>
<td></td>
<td></td>
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</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>
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</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>Polly Commack attended Personnel Management for Rural Utilities training on 6/15/2018.</td>
<td>To maintain the full points in this category, consider sending someone to one of the free RUBA trainings each year.</td>
<td></td>
</tr>
<tr>
<td>Meetings of the Governing Body</td>
<td>The utility owner’s governing body meets consistently 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 owner’s governing body does not meet the ordinance/ bylaw requirements.</td>
<td>Fred Smith DCRA RUBA Program 442-3699</td>
</tr>
<tr>
<td></td>
<td>The utility owner’s governing body meets consistently with the local ordinance/ bylaw requirements</td>
<td>2</td>
<td>2</td>
<td></td>
<td></td>
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</tr>
<tr>
<td></td>
<td>The utility owner’s governing body does not meet the ordinance/ bylaw requirements</td>
<td>0</td>
<td>0</td>
<td></td>
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</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>15</td>
<td>No budget was provided.</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>
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</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></td>
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</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>
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</tr>
<tr>
<td></td>
<td>Utility owner and the Utility have not adopted a budget</td>
<td>0</td>
<td>0</td>
<td></td>
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<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>In 2019 the City of Shungnak fell out of compliance related to its partnership with ARUC and the Northwest Arctic Borough.</td>
<td>To receive additional points, the utility needs to create a balanced and realistic budget, and provide monthly financial reports in cash basis to RUBA staff to demonstrate sufficient revenue and/or subsidy to cover the utility’s expenses.</td>
<td>Polly Commack ADEC Drinking Water Program 451-3038</td>
</tr>
<tr>
<td></td>
<td>Utility is collecting revenue sufficient to cover expenses</td>
<td>15</td>
<td>15</td>
<td></td>
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<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>
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<tr>
<td></td>
<td>Utility has no fee structure or policy</td>
<td>0</td>
<td>0</td>
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<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>5</td>
<td>Lack of policy verified on 6/1/2020</td>
<td>The utility must obtain worker’s compensation insurance to receive additional points.</td>
<td>Teslyn Visscher ADEC Drinking Water Program 451-3038</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>
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</tr>
<tr>
<td></td>
<td>Utility has no worker’s compensation policy</td>
<td>0</td>
<td>0</td>
<td></td>
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</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>No response from community. Not compliant with ESC</td>
<td>Provide RUBA with a completed authorization form so they may confirm compliance with tax liabilities.</td>
<td>Polly Commack ADEC Drinking Water Program 451-3038</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>
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</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>
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<tr>
<td>CIP O&amp;M Score</td>
<td>0</td>
<td></td>
<td></td>
<td>TOTAL SCORE 42</td>
<td></td>
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</tr>
</tbody>
</table>