### Best Practices Score

**Ruby**  
**Fall 2020**

<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>
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</thead>
<tbody>
<tr>
<td><strong>Operator Certification</strong></td>
<td>Utility has more than one operator certified to the level of the water system</td>
<td>10</td>
<td>7</td>
<td>System Classification: Water Treatment 1</td>
<td>Wayne Captain needs to take and pass the WT 1 exam. A backup operator needs to be identified and take and pass the WT 1 exam. Please see the enclosed flyer 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></td>
<td>Primary Operator: Wayne Captain Certification Level: Operator holds no current certification</td>
<td></td>
<td></td>
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<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></td>
<td>Backup Operator: No record of a backup operator Certification Level: N/A</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></td>
<td>Wayne Captain holds no certification. There is no backup operator identified.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Utility has no certified operators</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| **Preventive Maintenance Plan** | Utility has a written PM plan; PM is performed on schedule; records of completion are submitted on a quarterly basis and have been verified | 25             | 15    | The utility is not performing the required maintenance or isn’t keeping records of maintenance. | 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. | Lee Meckel  
TCC RMW 452-8251 ext. 3265 |
|                               | Utility has a written PM plan; performance of PM and record keeping are not consistent | 15             |       |                                                                                      |                                                                                      |                             |
|                               | Utility has no PM plan or performs no PM                                             | 0              |       |                                                                                      |                                                                                      |                             |
| **Compliance**                | Utility had no Monitoring and Reporting violations during the past year               | 10             |       | The utility had 3 Drinking Water Monitoring and Reporting violations in 2019.        | 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. | Mike Sharp  
ADEC Drinking Water Program 451-2178 |
|                               | Utility had up to five Monitoring and Reporting violation during the past year         | 5              |       |                                                                                      |                                                                                      |                             |
|                               | Utility had more than five Monitoring and Reporting violation during the last year     | 0              |       |                                                                                      |                                                                                      |                             |
| **Utility Management Training** | 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 | 5              | 5     | Elizabeth Captain attended Financial Management for Rural Utilities training on 4/8/2019. | To maintain the full points in this category, consider sending someone to one of the free RUBA trainings each year. | Andy Durny  
DCRA RUBA Program 451-2756 |
| **Meetings of the Governing Body** | The utility owner’s governing body meets routinely consistent with the local ordinance/bylaw requirements and receives a current report from the operator | 5              | 5     | Governing body meets regularly but RUBA staff has not received meeting minutes for this reporting period as of 6/30/2020. | 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. | Andy Durny  
DCRA RUBA Program 451-2756 |
|                               | The utility owner’s governing body meets routinely consistent with the local ordinance/bylaw requirements | 2              |       |                                                                                      |                                                                                      |                             |
|                               | The utility owner’s governing body does not meet                                    | 0              |       |                                                                                      |                                                                                      |                             |
| **Budget**                    | 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             | 10    | Utility has provided a budget, but RUBA staff has not received documentation for this reporting period that would confirm budget is being implemented. | Provide RUBA with monthly financial reports and meeting minutes that demonstrate the council is consistently reviewing accurate monthly financial reports. | Andy Durny  
DCRA RUBA Program 451-2756 |
|                               | Either the Utility or the Utility owner has adopted and implemented a budget, the other has not | 13             |       |                                                                                      |                                                                                      |                             |
|                               | Either the Utility or the Utility owner has adopted a budget, but it is not being implemented | 10             |       |                                                                                      |                                                                                      |                             |
| **Revenue**                   | Utility owner and the Utility have not adopted a budget                              | 0              |       |                                                                                      |                                                                                      |                             |
| **Worker’s Compensation Insurance** | Utility is collecting revenue sufficient to cover the Utility’s operating expenses and to contribute to a repair and replacement account | 20             |       | Utility receives revenue from watering point and washeteria user fees, and also from subsidies, but has not provided sufficient documentation to confirm it is receiving adequate funds. | 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. | Andy Durny  
DCRA RUBA Program 451-2756 |
|                               | Utility is collecting revenue sufficient to cover expenses                           | 15             |       |                                                                                      |                                                                                      |                             |
|                               | Utility has a fee schedule and a collection policy that is followed                  | 5              |       |                                                                                      |                                                                                      |                             |
|                               | Utility has no fee structure or collection policy                                     | 0              |       |                                                                                      |                                                                                      |                             |
| **Financial**                 | Utility has had a worker’s compensation policy for all employees for the past two years and has a current policy in place | 5              | 5     | Policy verified on 6/30/2020                                                         | Full points have been awarded. Maintain active Worker’s Compensation policy to continue receiving these points. | Andy Durny  
DCRA RUBA Program 451-2756 |
|                               | Utility has a current worker’s compensation policy in place for all employees         | 2              |       |                                                                                      |                                                                                      |                             |
|                               | Utility has no worker’s compensation policy                                          | 0              |       |                                                                                      |                                                                                      |                             |
| **Payroll Liability Compliance** | Utility has no past due tax liabilities and is current with all tax obligations      | 5              |       | City is compliant with DOL. Still awaiting response from IRS                         | To receive additional points in this category, the utility must either become current on all outstanding tax liabilities, or must enter into a repayment agreement for outstanding tax liability, and remain current on payments. | Andy Durny  
DCRA RUBA Program 451-2756 |
|                               | 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              |       |                                                                                      |                                                                                      |                             |
|                               | Utility is not current with its tax obligations and/or does not have a signed repayment agreement for back taxes owed | 0              |       |                                                                                      |                                                                                      |                             |
| **CIP O&M Score**             | 0                                                                                    | SDS O&M Score  | Totals | 7                                                                                     | 45                                                               |                             |

**O&M Scoring Criteria**

- **Utility Management Training**
- **Meetings of the Governing Body**
- **Budget**
- **Revenue**
- **Worker’s Compensation Insurance**
- **Payroll Liability Compliance**

**Explanation of Score**

- System Classification: Water Treatment 1
- Primary Operator: Wayne Captain Certification Level: Operator holds no current certification
- Backup Operator: No record of a backup operator Certification Level: N/A
- Wayne Captain holds no certification. There is no backup operator identified.
- The utility is not performing the required maintenance or isn’t keeping records of maintenance.
- The utility had 3 Drinking Water Monitoring and Reporting violations in 2019.
- The utility had more than five Monitoring and Reporting violation during the last year
- 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
- The utility owner’s governing body meets routinely consistent with the local ordinance/bylaw requirements and receives a current report from the operator
- The utility owner’s governing body meets routinely consistent with the local ordinance/bylaw requirements
- The utility owner’s governing body does not meet
- 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
- Either the Utility or the Utility owner has adopted and implemented a budget, the other has not
- Either the Utility or the Utility owner has adopted a budget, but it is not being implemented
- Utility owner and the Utility have not adopted a budget
- Utility is collecting revenue sufficient to cover the Utility’s operating expenses and to contribute to a repair and replacement account
- Utility is collecting revenue sufficient to cover expenses
- Utility has a fee schedule and a collection policy that is followed
- Utility has no fee structure or collection policy
- Utility has had a worker’s compensation policy for all employees for the past two years and has a current policy in place
- Utility has a current worker’s compensation policy in place for all employees
- Utility has no worker’s compensation policy
- Utility has no past due tax liabilities and is current with all tax obligations
- 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
- Utility is not current with its tax obligations and/or does not have a signed repayment agreement for back taxes owed

**How to Improve Score**

- The utility needs to adopt a Preventative Maintenance plan and implement it. The plan must be submitted to RUBA staff each quarter.
- The utility needs to ensure that the governing body is meeting on a regular basis and submit minutes to RUBA. The meeting minutes should document that a report was made by the operator to the governing board.
- The utility needs to maintain a realistic budget and provide monthly financial reports to RUBA staff to demonstrate sufficient revenue.
- The utility needs to adopt a worker’s compensation policy and ensure it is current.
- The utility needs to address any past due tax liabilities or enter into a repayment agreement with the IRS.

**Contact**

- Wayne Captain
- Andy Durny  
DCRA RUBA Program 451-2756
- Andy Durny  
DCRA RUBA Program 451-2756