

Part B. MANAGERIAL CAPACITY ASSESSMENT

1. Operations			SCORE
147	a.	Are operators certified by the State at levels required by certification standards for your system, in distribution and/or treatment? +/- Weight: 8	UNKNOWN 0.00
		What level is required:	
		What level is achieved:	
148	b.	Does your operator(s) receive additional training on an ongoing basis to keep current on certification requirements and new developments in the field? +/- Weight: 6	UNKNOWN 0.00
149	c.	Do operators work under a well developed and organized work order system? +/- Weight: 4	UNKNOWN 0.00
150	d.	Are operations staff equipped with the necessary tools and equipment to fulfill their job responsibility? +/- Weight: 6	UNKNOWN 0.00
151	e.	Do you have a planned maintenance management system or a system for scheduling routine preventive maintenance? +/- Weight: 6	UNKNOWN 0.00
152	f.	Do you have a system for assuring adequate inventory of essential spare parts and back-up equipment? +/- Weight: 4	UNKNOWN 0.00
153	g.	Is the water system remotely monitored with a SCADA or similar computer telemetry system to insure safe operation and alarming of operations personnel when a problem arises? +/- Weight: 5	UNKNOWN 0.00
154	h.	Are "As-Built" drawings and O&M manuals of all components and facilities in the water system maintained, updated, and available to operations staff as needed? +/- Weight: 4	UNKNOWN 0.00
155	i.	Does your water system obtain any regular or occasional technical assistance from outside sources, such as the state, other utilities, or organizations specifically dedicated to providing technical assistance? +/- Weight: 6	UNKNOWN 0.00
		If so - who:	

2. Administration			SCORE
156	a.	Is there a clear plan of organization and control among the people responsible for management and operation of the system? +/- Weight: 7	UNKNOWN 0.00
157	b.	Are regular staff meetings held with managers and are staff properly trained in operational matters? +/- Weight: 6	UNKNOWN 0.00
158	c.	Are the limits of the operators authority clearly known? +/- Weight: 5	UNKNOWN 0.00
159	d.	Does the governing board of the system resist the temptation to "micro-manage" the utility, and do they likewise empower management to perform and follow board policy? +/- Weight: 5	UNKNOWN 0.00
160	e.	Are all the specific functional areas of operations and management assigned? +/- Weight: 6	UNKNOWN 0.00
161	f.	Does everyone involved in operations know who is responsible for each area? +/- Weight: 5	UNKNOWN 0.00
162	g.	Is someone responsible for scheduling work? +/- Weight: 5	UNKNOWN 0.00
163	h.	Is there a clear 2-way flow of information, communication, and respect in the organization? +/- Weight: 7	UNKNOWN 0.00
164	i.	Do you have records, files, and data management systems for system operating and maintenance data, for regulatory compliance data, and for system management and administration? +/- Weight: 6	UNKNOWN 0.00
165	j.	Are you getting the outside services and technical assistance you need? Do you have adequate legal counsel, insurance, engineering advice, technical/operations assistance, rate case preparation, and financial advice? +/- Weight: 6	UNKNOWN 0.00

166	k.	Does the organization have access to the internet and to any other technical or computer resources needed to fulfill the missions and goals of the system?	UNKNOWN	0.00
		+/- Weight: 5		
167	l.	Does administrative staff receive necessary continuing education and training in their responsibilities?	UNKNOWN	0.00
		+/- Weight: 7		
3. Rules, Policies, and Standards				SCORE
168	a.	Do you have an adopted and implemented personnel policies and procedures manual?	UNKNOWN	0.00
		+/- Weight: 8		
169	b.	Do you have explicit rules and standards for system modifications?	UNKNOWN	0.00
		+/- Weight: 7		
170	c.	Do you have rules and regulations governing new hook-ups and development in your system?	UNKNOWN	0.00
		+/- Weight: 6		
171	d.	Do you have a water main extension policy?	UNKNOWN	0.00
		+/- Weight: 5		
172	e.	Do you have standard construction specifications and drawings that must be followed?	UNKNOWN	0.00
		+/- Weight: 5		
173	f.	Do you have an inspection program, to insure that improvements comply with your standards?	UNKNOWN	0.00
		+/- Weight: 6		
174	g.	Do you have measures to assure cross-connection control and backflow prevention in your standards?	UNKNOWN	0.00
		+/- Weight: 7		
175	h.	Do you have policies or rules describing customer service procedures, rights, and responsibilities?	UNKNOWN	0.00
		+/- Weight: 5		

176	i.	Do you have an adopted and implemented water conservation plan and drought strategy?	UNKNOWN	0.00
		+/- Weight: 7		
177	j.	Do you have a long range strategic plan, describing the company goals and implementation strategies to achieve the goals?	UNKNOWN	0.00
		+/- Weight: 6		
178	k.	Do you have a clear and concise vision and/or mission statement?	UNKNOWN	0.00
		+/- Weight: 6		
179	l.	Do you know what source, storage, and distribution capacity your system has, and do you accurately account for the demands on this capacity as development is approved?	UNKNOWN	0.00
		+/- Weight: 7		
180	m.	Do you know what an average equivalent residential unit or connection (ERC) is in you system and how to apply it to the future planning and development of your water system?	UNKNOWN	0.00
		+/- Weight: 6		
181	n.	Have you adopted board governance policies and procedures?	UNKNOWN	0.00
		+/- Weight: 5		
182	o.	Do you have organization by-laws that are followed and updated as needed?	UNKNOWN	0.00
		+/- Weight: 5		
183	p.	Do you have a public relations or media communication policy?	UNKNOWN	0.00
		+/- Weight: 4		
184	q.	Do you have a records access and management policy?	UNKNOWN	0.00
		+/- Weight: 4		
4. Regulatory Compliance Programs				SCORE
185	a.	Do you fully understand monitoring requirements and have a scheduling mechanism to assure compliance?	UNKNOWN	0.00
		+/- Weight: 8		
186	b.	Do you have a mechanism to obtain the most recent information on regulatory requirements?	UNKNOWN	0.00
		+/- Weight: 6		

187	c.	Do you know how to obtain clarification or explanation of regulatory requirements?		UNKNOWN	0.00
			+/- Weight: 6		
188	d.	Do you know what to do in the event of a violation?		UNKNOWN	0.00
			+/- Weight: 9		
5. Emergencies and System Security					SCORE
189	a.	Do you have an Emergency Response Plan and do you use it?		UNKNOWN	0.00
			+/- Weight: 8		
190	b.	Is there a contingency for making emergency interconnections to neighboring systems, and do you know they will work if needed?		UNKNOWN	0.00
			+/- Weight: 6		
191	c.	Does everyone involved in operations know what they are to do in the event of contamination from a toxic hazardous waste spill in your source water or a main break or a tank failure?		UNKNOWN	0.00
			+/- Weight: 8		
192	d.	Do you have a clear chain-of-command protocol (including a call down list) for emergency action?		UNKNOWN	0.00
			+/- Weight: 6		
193	e.	Is someone responsible for emergency operations, for communications with state regulators, for customer relations, and for media relations?		UNKNOWN	0.00
			+/- Weight: 6		
				If so - who:	
194	f.	Do you have a completed system vulnerability and security assessment, and is it reviewed and updated regularly?		UNKNOWN	0.00
			+/- Weight: 7		
195	g.	Is staff trained regularly in emergency response and security procedures and response?		UNKNOWN	0.00
			+/- Weight: 7		
196	h.	Does the system have any electronic security systems installed on infrastructure or at the office?		UNKNOWN	0.00
			+/- Weight: 5		
197	i.	Are local law enforcement agencies apprised regularly of system operations and how to respond to suspicious activities?		UNKNOWN	0.00
			+/- Weight: 4		

6. Safety			SCORE
198	a.	Do you have a safety program or policy, and does it define measures to be taken if someone is injured? +/- Weight: 7	UNKNOWN 0.00
199	b.	Does everyone understand the risks and safety measures involved in handling water treatment chemicals? +/- Weight: 6	UNKNOWN 0.00
200	c.	Do you have written operating procedures for both routine and emergency system operations? +/- Weight: 5	UNKNOWN 0.00
201	d.	Are you fully aware of Occupational Safety and Health Administration (OSHA) confined space (such as trenches/manholes) regulations? +/- Weight: 5	UNKNOWN 0.00
202	e.	Is regular safety training provided to operational staff? +/- Weight: 7	UNKNOWN 0.00