COMPONENT	DESIRED OUTCOME	ADEQUACY ASSESSMENT RATING						VALUE	PRIORITY
TECHNICAL CAPACITY	Technical Capacity: Physical ability of a water system to meet regulatory requirements and customer satisfaction, including the adequacy of physical infrastructure (e.g., treatment, distribution, and facilities), and the adequacy of the source water.	0 Don't Know	1 Very Poor	2 Poor	3 Fair	4 Good	5 Very Good	Input Number	Rating (A, B, C, D)
(A) **Source Protection**	Source is adequately protected from contamination	( )	( )	( )	( )	( )	( )	[ ]	[ ]
(B) **Source Quantity**	Have sufficient quantity to meet current & future demands (*Average day, Peak day, Fire flow*)	( )	( )	( )	( )	( )	( )	[ ]	[ ]
(C) **Source Quality**	Best available water quality source being used - one with limited treatment challenges. *(VG = source with no health related parameters of concern ; VP = source with many health related parameters of concern)*	( )	( )	( )	( )	( )	( )	[ ]	[ ]
(D) **Treatment Infrastructure**	**Treatment** in place that removes and/or neutralize hazards, that is in good condition & has not exceeded its useful life. *(Need in place chemical conditioning, filtration & disinfection barriers are appropriate for both health & non-health related parameters).*	( )	( )	( )	( )	( )	( )	[ ]	[ ]
(E) **Distribution Infrastructure**	**Distribution** system (*piping, pumping & storage*) that is: (1) in good condition, (2) has not exceeded its useful life, (3) prevents recontamination & water quality degradation after treatment, and (4) delivers sufficient water quantity and pressure. *(i.e. Desire: stable water quality & pressure; backflow & cross contamination prevention means & safeguards; minimal water loss)*	( )	( )	( )	( )	( )	( )	[ ]	[ ]
(F) **Alarming & Security Devices.**	Real time pressure, level & water quality monitoring & illegal entry alarming	( )	( )	( )	( )	( )	( )	[ ]	[ ]
		(G) **Point Total** *(out of 30 maximum possible)*							
		(H) **Percentage Tally** = (Point Total / 30) X 100%							

OPERATIONAL CAPACITY	Operational Capacity: Operational and maintenance management ability of a water system to meet regulatory requirements including knowledge and capability of personnel, routine aspects of system operation (e.g., testing, monitoring, and routine maintenance adequacy), and procedures in place to allow consistent and safe operation of the system and ability to handle non-routine situations.	0 Don't Know	1 Very Poor	2 Poor	3 Fair	4 Good	5 Very Good	Input Number	Rating (A, B, C, D)
(A) **Operating Staff**	Have operators with appropriate knowledge, skills & training to operate the system. *(1= Volunteer with No training; 2= Volunteer with some Training 3= Trained volunteer with DRC oversight by Certified Operator, 4= Have DRC certified operator - part time availability, 5 - Have DRC certified operator - full time availability*	( )	( )	( )	( )	( )	( )	[ ]	[ ]
(B) **Water testing & Monitoring**	Water quality testing & monitoring in accordance with regulatory requirements & best practices	( )	( )	( )	( )	( )	( )		
(C) **Data Recording and Logging**	Detailed monitoring & recording of operating conditions (water quality, daily production, repairs or maintenance undertaken, chemical usage, storage tank levels, water pressure, pump run hours, instrumentation readings, customer complaints)	( )	( )	( )	( )	( )	( )	[ ]	[ ]
(D) **Routine checks, adjustments, maintenance & calibration**	Thorough checks to assess condition & ensure system is operating properly. Make operational adjustments as needed to ensure effective operation. Maintain inventories (treatment chemicals, testing equipment supplies etc.). Inspect clean, maintain, calibrate and adjust chemical feed equipment and instrumentation as needed.	( )	( )	( )	( )	( )	( )	[ ]	[ ]
(E) **Facility Maintenance**	Facilities & grounds kept clean and equipment accessibility maintained at all times	( )	( )	( )	( )	( )	( )	[ ]	[ ]
(F) **On-going Training**	Receive ongoing up-to-date training to stay current on regulations, standards and best practices	( )	( )	( )	( )	( )	( )	[ ]	[ ]
		(G) **Point Total** *(out of 30 maximum possible)*							
		(H) **Percentage Tally** = (Point Total / 30) X 100%							

COMPONENT	DESIRED OUTCOME	ADEQUACY ASSESSMENT RATING						VALUE	PRIORITY
MANAGERIAL CAPACITY	Managerial capacity: Can be thought of as the structured organization in place and the ability of a water system to conduct its affairs (e.g., decision making, planning, and interactions with customers, regulators, and other entities) in a manner enabling the system to achieve and maintain compliance with regulatory requirements, and administrative capabilities.	0 Don't Know	1 Very Poor	2 Poor	3 Fair	4 Good	5 Very Good	Input Number	Rating (A, B, C, D)
(A) **Accountability, Staffing, Organization**	We have clear plan of organization, control and duties among the people responsible for management and operation of the system.	( )	( )	( )	( )	( )	( )	[ ]	[ ]
(B) **Management Programs & Procedures**	Have adequate plans that are actively used to operate and manage the water system: (1) Operation & Maintenance SOP's, (2) Asset Inventory & Condition Assessment (includes up to date distribution map); (3) Emergency Response Plan, (4) Source-to-tap Assessment; (5) Regulatory Compliance Program (e.g. records, procedures, actions); (6) 5 Yr Operating Plan	( )	( )	( )	( )	( )	( )	[ ]	[ ]
(C) **Effective External Linkages & Communication**	We have an active communication & education outreach program to help our customer and stakeholders understand issues and promote the value of clean & safe water. Have built effective relationships with customers, technical assistance providers & regulatory agencies to help solve problems and address planning needs.	( )	( )	( )	( )	( )	( )	[ ]	[ ]
(D) **Staff Knowledge & Training**	Basic water system literacy. Have knowledge and training to manage operations and understand regulatory requirements. Commitment to on-going training for management & operations staff to stay current on new regulatory requirements and best practices	( )	( )	( )	( )	( )	( )	[ ]	[ ]
		(E) **Point Total** *(out of 20 maximum possible)*							
		(F) **Percentage Tally** = (Point Total / 20) X 100%							

FINANCIAL CAPACITY	Financial Capacity can be thought of as the ability of a water system to acquire and manage sufficient financial resources (i.e., revenue sufficiency) to allow the system to achieve and maintain regulatory compliance , customer satisfaction requirements and be sustainable.	0 Don't Know	1 Very Poor	2 Poor	3 Fair	4 Good	5 Very Good	Input Number	Rating (A, B, C, D)
(A) **Annual Budget**	Preparation of annual budget which includes: Operating expenses , Operating Cash Reserve, Emergency Reserve, Short-Live Asset Replacement Reserve, Capital Improvements Reserve	( )	( )	( )	( )	( )	( )	[ ]	[ ]
(B) **Asset Management Plan**	Have a basic asset inventory, a priority list for repair or replacement of assets, an annual budget, including estimates for replacement reserves, and a schedule for implementation	( )	( )	( )	( )	( )	( )	[ ]	[ ]
(C) **Financial Plan**	Have plan that forecasts revenue & expenses over 10 years into the future including asset replacement & renewal, regulatory driven changes / costs, proposed financing & projected reserves. Includes planning ahead for reasonable, gradual rate increases when necessary.	( )	( )	( )	( )	( )	( )	[ ]	[ ]
(D) **Water Rate Structure**	Rates and other system charges cover the full cost of providing service. Water Rates and fees set to adequately cover all costs to pay bills, put some funds away for the future, and maintain, repair and replace equipment and infrastructure as needed	( )	( )	( )	( )	( )	( )	[ ]	[ ]
(E) **Fiscal Management**	System personnel know and can measure all costs and revenues. System personnel keep adequate books, records , use appropriate budgeting, accounting and financial planning methods and manage revenues effectively.	( )	( )	( )	( )	( )	( )	[ ]	[ ]
(F) **Insurance**	We are adequately insured to cover claims against injury or damage caused by errors, omissions and accidents, typically including Liability Insurance, Directors and Officers Insurance, Property Insurance, and Boiler and Machinery Insurance.	( )	( )	( )	( )	( )	( )	[ ]	[ ]
		(F) **Point Total** *(out of 30 maximum possible)*							
		(G) **Percentage Tally** = (Point Total / 25) X 100%							