

SELF ASSESSMENT WORKSHEET

Step 1 - Rating Areas

Assess your utility by rating your current level of achievement for each management area. Consider how effectively your current management efforts support each of the areas, and note that each management area has several dimensions (represented by the bullet points listed for each). Your rating should reflect the dimension with the lowest level of achievement.

Scale from low achievement to high achievement:

- Select **Low** if your system has no workable practices in place for addressing this area – very low capacity and performance.
- Select **Medium** if your system has some workable practices in place with moderate achievement, but could improve – some capacity in place.
- Select **High** if your system has effective, standardized, and accepted practices in place. It either usually or consistently achieves goals – capacity is high and in need of very little or no further development.

Step 2 - Ranking Areas

Rank the importance of each management area to your utility. Base this ranking on your goals and the specific needs of your community. Your ranking may be influenced by current or expected challenges (e.g., if your community is experiencing elevated population growth rates, Water Resource Adequacy may be ranked as a high priority area to address). Again, note that each management area has multiple dimensions (represented by the bullet points listed) – your ranking should represent the highest priority of all of the points listed, and should be ranked independently of the achievement level (i.e., an area can remain, and therefore be ranked, as a high priority even if the utility is already undertaking needed improvement efforts).

Scale from low priority to high priority, keeping in mind the following:

- Current or expected challenges
- Customer or stakeholder impact (reliability, quality, timeliness)
- Consequences of not improving (non-compliance, increased cost, lost credibility, impacts to health and safety)
- Urgency (near or long term needs)
- Community priorities

Example:

| Key Management Area | Management Area Description | Step 1: Rate Achievement (Low – High) | Step 2: Rank Priority (Low – High) |
|--|--|---------------------------------------|------------------------------------|
| 1. Water Resource Adequacy (e.g., water quantity) | <ul style="list-style-type: none"> • My system is able to meet the water or sanitation needs of its customers now and for the reasonable future. • My utility or community has performed a long-term water supply and demand analysis. (Applies to drinking water systems only.) • My system understands its relationship to local water availability. (Drinking water utilities should focus on utilization rates relative to any local water stress conditions, wastewater utilities should focus on return flows.) | Low | High |
| 2. Product Quality (e.g., clean & safe water) | <ul style="list-style-type: none"> • My system is in compliance with permit requirements and other regulatory or reliability requirements. • My utility meets local community expectations for the potable water and/or treated effluent and process residual that it produces. | Medium | High |
| 3. Customer Satisfaction | <ul style="list-style-type: none"> • Customers are satisfied with the services my system provides. • My system has procedures in place to receive and respond to customer feedback in a timely fashion. | High | Medium |
| 4. Community Sustainability & Economic Development | <ul style="list-style-type: none"> • My utility is aware of and participating in local and regional community and economic development planning activities. • My utility's goals also help to support overall watershed and source water protection, and community economic goals. | Low | Low |
| 5. Employee & Leadership Development | <ul style="list-style-type: none"> • Training programs are in place to retain and improve institutional knowledge. • Opportunities exist for employee skills development and career enhancement • Job descriptions, performance expectations, and codes of conduct are established. | High | Medium |
| 6. Financial Viability | <ul style="list-style-type: none"> • The rates that my utility charges are adequate to pay our bills, put some funds away for the future, and maintain, repair, and replace our equipment and infrastructure as needed. (O&M, debt servicing, and other costs are covered) • My utility discusses rate requirements with our customers, board members, and other key stakeholders. | Low | High |
| 7. Operational Optimization (energy/water) | <ul style="list-style-type: none"> • My utility has assessed its current energy usage and performed an energy audit. • My utility has maximized resource use and resource loss (e.g., | Medium | Low |

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| 7. Operational Optimization (energy/water efficiency) | <ul style="list-style-type: none"> • My utility has assessed its current energy usage and performed an energy audit. • My utility has maximized resource use and resource loss (e.g., water loss, treatment chemical use). • My utility understands, has documented, and monitors key operational aspects of the system (e.g., pressure, flow, quality). | | |
| 8. Infrastructure Stability (e.g., asset management) | <ul style="list-style-type: none"> • My utility has inventoried its current system components, condition, and cost. • My system has a plan in place for repair and replacement of system components. | | |
| 9. Operational Resiliency | <ul style="list-style-type: none"> • My utility has conducted an all hazards vulnerability assessment (safety, natural disasters, environmental risks, etc.). • My utility has prepared an all hazards emergency response plan. | | |
| 10. Stakeholder Understanding & Support | <ul style="list-style-type: none"> • My system actively engages with local decision makers, community, watershed (where relevant), and regulatory representatives to build support for its goals, resources, and the value of the services it provides. • My utility performs active customer and stakeholder outreach and education to understand concerns and promote the value of clean and safe water. | | |

Step 3 - Plot Results

To compare your results for each management area, you will plot each pair (rating, ranking) in the grid on the next page. For each management area, identify your high/medium/low rating in the green Step 1 box, and find the corresponding row in the table. Then, for the same management area, identify your high/medium/low ranking in the blue Step 2 box, and find the corresponding column in the table. The box where the row and column intersect is where you should place that management area (note the abbreviations for use in the self assessment plot). The example below shows how the plotting exercise in Step 3 should be completed. The ranking and rating for each management area should be paired and placed into the corresponding box in the grid, based on the low/medium/high determinations in Steps 1 and 2.

| | | | |
|----|---|----|-------------------------------------|
| WA | Water Resource Adequacy | FV | Financial Viability |
| PQ | Product Quality | OO | Operational Optimization |
| CS | Customer Satisfaction | IS | Infrastructure Stability |
| CE | Community Sustainability & Economic Development | OR | Operational Resiliency |
| ED | Employee & Leadership Development | SS | Stakeholder Understanding & Support |

Example:

| Key Management Area | | Management Area Description | Step 1: Rate Achievement (Low – High) | Step 2: Rank Priority (Low – High) |
|---|--|--|---------------------------------------|------------------------------------|
| 1. Water Resource Adequacy (e.g., water quantity) | | <ul style="list-style-type: none"> My system is able to meet the water or sanitation needs of its customers now and for the reasonable future. My utility or community has performed a long-term water supply and demand analysis. (Applies to drinking water systems only) My system understands its relationship to local water availability. (Drinking water utilities should focus on utilization rates relative to any local water stress conditions, wastewater utilities should focus on return flows) | Low | High |
| 2. Product Quality (e.g., clean & safe water) | | <ul style="list-style-type: none"> My system is in compliance with permit requirements and other regulatory or reliability requirements. My utility meets local community expectations for the potable water and/or treated effluent and process residual that it produces. | Medium | High |
| 3. Customer Satisfaction | | <ul style="list-style-type: none"> Customers are satisfied with the services my system provides. My system has procedures in place to receive and respond to customer feedback in a timely fashion. | High | Medium |

| | | | | |
|----------------------|--------|-----|--------|------|
| Rating (Achievement) | High | | CS | |
| | Medium | | | PQ |
| | Low | | | WA |
| | | Low | Medium | High |
| Ranking (Priority) | | | | |

WA Water Resource Adequacy
 PQ Product Quality
 CS Customer Satisfaction
 CE Community Sustainability & Economic Development
 ED Employee & Leadership Development

FV Financial Viability
 OO Operational Optimization
 IS Infrastructure Stability
 OR Operational Resiliency
 SS Stakeholder Understanding & Support

| | | | | |
|---------------------------------|-------------------------------|------------|---------------|-------------|
| Rating (Achievement) | High | | | |
| | Medium | | | |
| | Low | | | |
| | | Low | Medium | High |
| | Ranking (Priority) | | | |