


**COMMONWEALTH OF KENTUCKY
BEFORE THE PUBLIC SERVICE COMMISSION**

IN THE MATTER OF:

ELECTRONIC ALLEGED FAILURE OF)	
SHARPSBURG WATER DISTRICT AND ITS)	
OFFICERS, ALFRED BAILEY, CECIL DUNCAN,)	CASE NO. 2023-00125
JUDY HARMON, RANDY WARNER, BILLY)	
MARTIN, AND ITS MANAGER, GAYLE HANEY)	
TO COMPLY WITH A COMMISSION ORDER)	

**RESPONSES TO COMMISSION STAFF’S SECOND REQUEST
FOR INFORMATION TO SHARPSBURG WATER DISTRICT
DATED DECEMBER 13TH, 2023**


Respectfully submitted,



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Counsel for Sharpsburg Water District

CERTIFICATE OF SERVICE

The undersigned certifies that the electronic filing has been transmitted to the Commission on December 19th, 2023; and that there are currently no parties that the Commission has excused from participation by electronic means in this proceeding.



Earl Rogers III
Counsel for Sharpsburg Water District

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JUDY HARMON, RANDY WARNER, BILLY)
MARTIN, AND ITS MANAGER, GAYLE HANEY)
TO COMPLY WITH A COMMISSION ORDER)**

CASE NO. 2023-00125

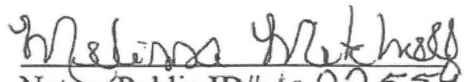
CERTIFICATE

Gayle Haney, being duly sworn, states that she has supervised the preparation of the responses of Sharpsburg Water District to the Commission Staff's First Request for Information in the above-referenced case dated December 13th, 2023, and that the matters and things set forth therein are true and accurate to the best of her knowledge, information and belief, formed after reasonable inquiry



GAYLE HANEY

Subscribed and sworn before me on this the 19th day of December, 2023.


Notary Public ID#: 622559
Commission Expires: May 9 2027

**SHARPSBURG WATER DISTRICT
PSC CASE NO. 2023-00125
SECOND REQUEST FOR INFORMATION RESPONSE
REQUEST NO. 1**

COMMISSION STAFF'S REQUEST FOR INFORMATION DATED 12/13/2023

RESPONSIBLE PERSON: Gayle Haney

COMPANY: Sharpsburg Water District

REQUEST 1: Provide a copy of the minutes from the Sharpsburg Water District's Board of Commissioners' meetings for the calendar year 2023.

RESPONSE 1: Sharpsburg Water District Board of Commissioner's meeting minutes for 2023 calendar year attached.

January 12, 2023

The Sharpsburg Water District board of commissioners met at the water office in regular session at 7:00 pm. Members present: Randy Warner, Judy Harmon, Alfred Bailey, Billy Martin, and Cecil Duncan. Also present, Gayle Haney.

The meeting was called to order at 7:00 pm.

Last month's minutes were read. Alfred made a motion to approve minutes, Billy seconded. All in favor.

No new business.

Judy made a motion to adjourn the meeting at 7:30 pm. Cecil seconded. All in favor.

Meeting adjourned.

A handwritten signature in blue ink, appearing to read "Cecil Duncan", written over a horizontal line.

Cecil Duncan, Secretary

March 8, 2023

The Sharpsburg Water District board of commissioners met at the water office in regular session. Members present: Judy Harmon, Billy Martin, Alfred Bailey, and Cecil Duncan. Also present, Gayle Haney and Charlie Thompson.

The February meeting was cancelled. The January minutes were read. Billy made a motion to approve minutes, Alfred seconded. All in favor.

Charlie was here to see about putting equipment on the Reynoldsville tower, and a building which will require electric. After discussion; as long as their equipment doesn't interfere with ours there wouldn't be a problem. We will need an agreement drawn up and signed by both parties.

Cecil made a motion to adjourn at 7:30 pm. Bill seconded. All in favor.

Meeting adjourned.

A handwritten signature in blue ink that reads "Cecil Duncan". The signature is written in a cursive style with a horizontal line underneath the name.

Cecil Duncan

April 12, 2023

The Sharpsburg Water District board of commissioners met at the office at 7:00 pm in regular session. Members present: Randy Warner, Judy Harmon, Cecil Duncan, Alfred Bailey, and Billy Martin. Also present Gayle Haney.

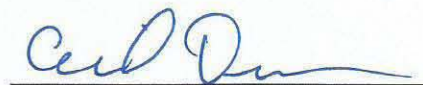
The meeting was called to order at 7:00 pm.

Last months' minutes were read. Judy made a motion to approve minutes, Alfred seconded. All in favor.

No new business.

Cecil made a motion to adjourn at 7:15 pm. Billy seconded. All in favor.

Meeting adjourned.

A handwritten signature in blue ink, appearing to read "Cecil Duncan", is written over a horizontal line.

Cecil Duncan, Secretary

May 14, 2023

The Sharpsburg Water District board met at the water office at 7:00 pm in regular session. Members present: Randy Warner, Judy Harmon, Billy Martin, Cecil Duncan, and Alfred Bailey. Also present, Gayle Haney.

The meeting was called to order at 7:00 pm. Last month's minutes were read.

Cecil made a motion to approve minutes, Billy seconded. All in favor.

No new business.

Billy made a motion to adjourn at 7:15 pm. Cecil seconded. All in favor.

Meeting adjourned.



Cecil Duncan, Secretary

June 14, 2023

The Sharpsburg Water District board of commissioners met at the water office in regular session at 7:00 pm. Members present: Randy Warner, Judy Harmon, and Billy Martin. Also present, Gayle Haney and Matthew Vice with the Bath County Fire Board.

The meeting was called to order at 7:00 pm. Last month's minutes were read. Judy made a motion to approve minutes, Billy seconded. All in favor.


Matthew was present to execute an agreement between the Fire Board and the District to install equipment on the Reynoldsville tower, including a building to house equipment. Judy made a motion to approve agreement, Billy seconded. All in favor.

The board was given a copy of the PSC order Case No. 2023-00125 regarding failure to file an alternative rate case. Earl Rogers will make an appearance and response filing on the district's behalf.

For future reference, the commissioners will be given a copy of all PSC Orders.

Judy made a motion to adjourn at 7:30pm. Billy seconded. All in favor.

Meeting adjourned.



Randy Warner, Chairman

July 12, 2023

The Sharpsburg Water District board of commissioners met at the water office at 7:pm in regular session. Members present: Randy Warner, Billy Martin, Judy Harmon, Cecil Duncan, and Alfred Bailey. Also present, Gayle Haney.

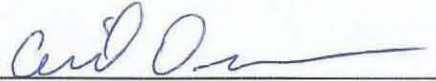
The meeting was called to order at 7:00pm.

Last month's minutes were read. Judy made a motion to approve minutes, Billy seconded. All in favor.

The board discussed checking in to possibly getting a grant or loan to go to touch read meters. Gayle will research this with Gateway ADD and RD.

Cecil made a motion to adjourn at 7:15pm. Alfred seconded. All in favor.

Meeting adjourned.

A handwritten signature in blue ink, appearing to read "Cecil Duncan", is written over a horizontal line.

Cecil Duncan, Secretary

August 9, 2023

The Sharpsburg Water District board of commissioners met at the water office in Regular session. Members present: Alfred Bailey, Billy Martin, Judy Harmon, Randy Warner, and Cecil Duncan. Also present, Gayle Haney.

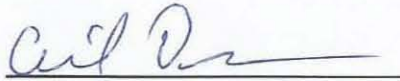
The meeting was called to order at 7:00 pm. Last month's minutes were read. Alfred made a motion to approve minutes as read, Judy seconded. All in favor.

In old business, the bid documents for the Sharpsburg Water District Tank Rehab Project should be ready to advertise next week.

In new business, Shania asked to increase her hourly wage \$2.00 more. Judy made a motion to approve the \$2.00 raise, Cecil seconded. All in favor.

Cecil made a motion to adjourn the meeting at 7:20. Billy seconded. All in favor.

Meeting adjourned.

A handwritten signature in blue ink, appearing to read "Cecil Duncan", is written over a horizontal line.

Cecil Duncan, Secretary

September 13, 2023

The Sharpsburg Water District board of commissioners met at the water office in regular session at 7:00 p.m. Members present: Judy Harmon, Cecil Duncan, and Alfred Bailey. Also present, Gayle Haney.

Last month's minutes were read. Judy made a motion to approve minutes, Cecil seconded. All in favor.

Randy Warner, Chairman, was not present at the meeting; but gave his recommendation (via phone) for the board to approve a PWA, due to increase cost from supplier, Bath County Water District. The increase is .15 cents per 1,000 gallons. Judy made a motion to approve the PWA, Alfred seconded, all in favor.

A motion was made by Cecil to make it a policy that all PSC orders are distributed to each board member. Judy seconded. All in favor.

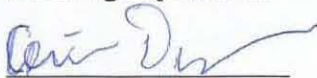
A motion was made by Judy, that the minutes should reflect that the board accepts the annual Audit. Alfred seconded. All in favor.

In other business, the board put a policy in place that would not allow a customers' account to exceed a \$200.00 credit balance. According to the customers' annual usage the credit balance should not exceed 20% of that amount or \$200.00. Alfred made a motion to adopt this policy, Cecil seconded. All in favor.

The board was copied on a letter from the City of Carlisle dated Aug. 17, 2023, regarding a substantial increase. Alfred made a motion to authorize Earl Rogers to draft a letter in response to the City's proposal. Judy seconded. All in favor.

Judy made a motion to adjourn the meeting at 7:30 p.m. Alfred seconded. All in favor.

Meeting adjourned.



Cecil Duncan, Secretary

October 11, 2023

The Sharpsburg board of commissioners met at the water office at 7:00 p.m. in regular session. Members present: Randy Warner, Judy Harmon, Billy Martin, and Alfred Bailey. Also present, Gayle Haney.

Last months' minutes were read. Alfred made a motion to approve minutes, Judy seconded. All in favor.

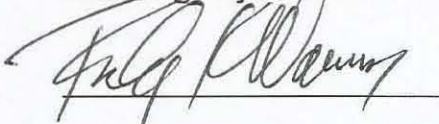
The board was given a copy of an inspection done by Division of Water on September 12, 2023. There were no violations.

The board was given a copy of Earl Rogers response letter regarding the Aug. 17, 2023 letter from the City of Carlisle.

An update on the Sharpsburg tank rehab project: The advertisement for the tank project was retracted because the Gateway ADD could not answer all the questions the bidders had regarding paint specifications and other issues. Another advertisement will run in this weeks paper to procure an engineer that will draw up the contract documents. Those bids will be received by 10:00 a.m. on Oct. 20, 2023.

Judy made a motion to adjourn the meeting at 7:30 p.m. Alfred seconded. All in favor.

Meeting adjourned

A handwritten signature in black ink, appearing to read "Randy Warner", written over a horizontal line.

Randy Warner, Chairman

November 8, 2023

The Sharpsburg Water District board met at the water office in regular session at 7:00 p.m. Members present: Randy Warner, Judy Harmon, Cecil Duncan, Billy Martin, and Alfred Bailey. Also present, Gayle Haney.

Last months' minutes were read. Judy made a motion to approve minutes as read. Alfred seconded. All in favor.

The board was given a copy of the PSC order regarding failure to file an alternative rate case on time. There will be a hearing in Frankfort on Jan. 18, 2024.

In other business, proposals for engineering services for the Sharpsburg tank rehab project were given to the board for review and discussion. After ranking the two engineering firms based on criteria provided from Gateway ADD; Judy made a motion to select Kentucky Engineering Group, Alfred seconded. All in favor. (See attached minutes and ranking process)

The 2024 proposed Budget was given to the board for approval. Cecil made a motion to approve the budget. Billy seconded. All in favor.

Judy made a motion to increase Christmas bonuses by \$200.00. Billy seconded. All in favor.

Bonus for 2023 as follows:

George	\$2000.00
Gayle	\$1700.00
Ricky	\$1700.00
Shania	\$1700.00
Charlie	\$1000.00
Sierra	\$1000.00
Amos	\$ 500.00 (one year part time meter reader)

Alfred made a motion to adjourn at 7:30 p.m. Cecil seconded. All in favor.

Meeting adjourned



Cecil Duncan, Secretary

December 13, 2023

The Sharpsburg Water District board of commissioners met at the water office in regular session at 7:00 p.m. Members present: Randy Warner, Judy Harmon, Cecil Duncan, Billy Martin, and Alfred Bailey. Also present, Gayle Haney, Earl Rogers, David and Kim McCarty, and Debbie Gulley.

The meeting was called to order at 7:00 p.m. Last month's minutes were read. Cecil made a motion to approve minutes, Judy seconded. All in favor.

Debbie Gulley was here concerned about her water usage going up a little each month since September 2023. The meter was due to be tested in 2011, so we will pull the meter to be tested and put in a new meter. The \$89.00 meter test charge will not apply since the meter was overdue to be tested.

David and Kim McCarty had a leak, and the November 2023 bill was \$1294.45. The board explained that the District does not make adjustments, due to we purchase all of our water. Shania had already told them that the 10% penalty would be waived due to the penalty being applied before the board meeting. The McCarty's agreed to make \$100.00 payments on this bill every month in addition to their current bill.

Earl Rogers attended the meeting to discuss the hearing on 1/18/2024 in Frankfort, regarding the failure to file an alternative rate case on time. He stressed the importance of all board members and the manager to be present for the hearing.

The board was given a copy of the PSC inspection done on 9/20/23. Also provided was a copy of the response regarding deficiencies.

Judy made a motion to pass a resolution for RD Loan/Grant application and procurement resolution for the Reynoldsville and Whetstone Road Tank Rehab Project. Alfred seconded, all in favor.

Cecil made a motion to approve the Cleaner Water Grant increase request for an additional 10% funding for the Sharpsburg Rehab Project. Billy seconded. All in favor.

The Transportation Cabinet will be working on the intersection of KY 36 and Cane Run Road in Nicholas County. Our water line will have to be relocated approximately 260 ft. It will also require an easement from Linda Peterson. The Transportation Cabinet will reimburse the District for all cost associated with the work. Judy made a motion to authorize Gayle to sign a letter to the Transportation Cabinet, requesting to use Kentucky Engineering for this project. Alfred seconded. All in favor.

The board was given a copy of KY Open Records and Open Meetings Act. The Bath County Judge requested that each member sign a receipt acknowledging that the information has been distributed.

In other business, someone (we don't know the name) requested that the District extend a waterline on Pecks Pike 900 ft. He has bought 100 acres of land and needs water. George will be doing the work, but we will need an engineer to draw up plans and submit to DOW for approval. The estimated cost is \$9370.50 less the cost of the first 50 ft. The customer will be required to put the money up for the estimated cost before any construction can begin. Kentucky Engineering's cost is \$1500.00. Judy made a motion to approve this extension, Cecil seconded. All in favor.

Alfred made a motion to adjourn the meeting at 8:00 p.m. Billy seconded. All in favor.

Meeting adjourned.

Cecil Duncan, Secretary

**SHARPSBURG WATER DISTRICT
PSC CASE NO. 2023-00125
SECOND REQUEST FOR INFORMATION RESPONSE
REQUEST NO. 2**

COMMISSION STAFF'S REQUEST FOR INFORMATION DATED 12/13/2023

RESPONSIBLE PERSON: Gayle Haney

COMPANY: Sharpsburg Water District

REQUEST 2: Provide a copy of any packets or documentation that was prepared in advance of the Sharpsburg District's Board of Commissioners' meeting for calendar years 2021, 2022, and 2023.

RESPONSE 2: Documents provided to Commissioners in advance of 2022 and 2023 meetings attached. No meetings occurred in 2021 due to Covid.

JOHN T. LANE AND ASSOCIATES, LLC
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219 YOUNG LANE, SUITE 2
MT. STERLING, KY 40353
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SHARPSBURG WATER DISTRICT
Sharpsburg, Kentucky

**REPORT ON EXAMINATION OF BASIC FINANCIAL STATEMENTS
AND SUPPLEMENTARY INFORMATION**
for the year ended December 31, 2021

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INDEPENDENT AUDITOR'S REPORT

Board of Commissioners
Sharpsburg Water District
Sharpsburg, Kentucky

We have audited the accompanying financial statements of the business-type activities of the Sharpsburg Water District as of and for the year ended December 31, 2021, and the related notes to the financial statements, which comprise the District's basic financial statements as listed in the table of contents.

Management's Responsibility

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express opinions on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the business-type activities of the Sharpsburg Water District, as of December 31, 2021, and the respective changes in financial position and cash flows thereof for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Other Matters

Required Supplementary Information

Management has omitted the Management's Discussion and Analysis that accounting principles generally accepted in the United States of America require to be presented to supplement the basic financial statements. Such missing information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board and is considered by us to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic and historical context. Our opinion on the basic financial statements is not affected by this missing information.

Other Information

Our audit was conducted for the purpose of forming an opinion on the financial statements that collectively comprise Sharpshurg Water District's basic financial statements. The comparative statement of revenues and expenses is presented for purposes of additional analysis and is not a required part of the basic financial statements.

The comparative statement of revenues and expenses is the responsibility of management and was derived from and has been subjected to the auditing procedures applied in the audit of the basic financial statements. Such information has been subjected to the auditing procedures applied in the audit of the basic financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the basic financial statements or to the basic financial statements themselves, and other procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the comparative statement of revenues and expenses and the schedule of expenditures of federal awards are fairly stated in all material respects in relation to the basic financial statements as a whole.

Other Reporting Required by Government Auditing Standards

In accordance with *Government Auditing Standards*, we have also issued our report dated May 19, 2022, on our consideration of the Sharpshurg Water District's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the Sharpshurg Water District's internal control over financial reporting and compliance.

Lane & Company LLC

Mount Sterling, Kentucky

May 19, 2022

This report contains 15 pages.

SHARPSBURG WATER DISTRICT
Statement of Net Position
Proprietary Fund
December 31, 2021

ASSETS

Current Assets	
Cash and cash equivalents - unrestricted	\$ 242,793
Cash and cash equivalents - restricted (note 7)	161,337
Accounts receivable - net of allowance for doubtful accounts (note 1)	80,964
Prepaid expenses	<u>69,609</u>
Total Current Assets	<u>554,703</u>
Noncurrent Assets	
Capital assets: (note 1)	
Plant, equipment and lines	7,207,492
Less accumulated depreciation	<u>(3,065,317)</u>
Total Noncurrent Assets	<u>4,142,175</u>
Total Assets	<u><u>\$ 4,696,878</u></u>

LIABILITIES

Current Liabilities	
Accrued expenses	\$ 59,191
Bonds payable	50,600
Payable from restricted assets	<u>53,273</u>
Total Current Liabilities	<u>163,064</u>
Noncurrent Liabilities	
Bonds payable	<u>1,033,200</u>
Total Liabilities	<u>1,196,264</u>

NET POSITION

Net investment in capital assets	3,058,375
Restricted	108,064
Unrestricted	<u>334,175</u>
Total Net Position	<u><u>\$ 3,500,614</u></u>

The accompanying notes to the basic financial statements are an integral part of these statements.

SHARPSBURG WATER DISTRICT
Statement of Revenues, Expenses and Changes in Net Position
Proprietary Fund
For the year ended December 31, 2021

Revenues	
User fees	\$ 866,577
Utility tax income	23,803
Other income	<u>15,159</u>
Total Revenues	<u>905,539</u>
Expenses	
Water purchased	372,328
Salaries	211,091
Office expense	34,790
Insurance	22,265
Taxes	44,008
Utilities	20,824
Miscellaneous	41,291
Contractual services	6,450
Depreciation	133,792
Supplies & repairs	<u>101,047</u>
Total Operating Expenses	<u>1,011,318</u>
Operating Income (Loss)	<u>(105,779)</u>
Nonoperating Revenues (Expenses)	
Tap fees	24,500
Interest expense	(37,564)
Interest income	<u>191</u>
Net Nonoperating Revenues (Expenses)	<u>(12,873)</u>
Change in Net Position	(118,652)
Total Net Position - beginning	<u>3,619,266</u>
Total Net Position - ending	<u><u>\$ 3,500,614</u></u>

The accompanying notes to the basic financial statements are an integral part of these statements.

SHARPSBURG WATER DISTRICT
Statement of Cash Flows
Proprietary Fund
For the year ended December 31, 2021

CASH FLOWS FROM OPERATING ACTIVITIES:	
Operating revenues	\$ 906,743
Cash paid to employees	(211,091)
Cash paid for general and administrative expenses	<u>(732,233)</u>
Net Cash provided / (used) by operating activities	<u>(36,581)</u>
CASH FLOWS FROM INVESTING ACTIVITIES:	
Interest earned	191
Interest paid	(37,564)
Customer deposits	<u>(2,487)</u>
Net Cash provided / (used) by investing activities	<u>(39,860)</u>
CASH FLOWS FROM CAPITAL AND FINANCING ACTIVITIES:	
Tap fees	24,500
Bond payments	<u>(48,300)</u>
Net cash provided / (used) in capital and financing activities	<u>(23,800)</u>
NET INCREASE / (DECREASE) IN CASH AND CASH EQUIVALENTS	(100,241)
CASH AND CASH EQUIVALENTS - BEGINNING OF YEAR	<u>504,371</u>
CASH AND CASH EQUIVALENTS - END OF THE YEAR	<u><u>\$ 404,130</u></u>
RECONCILIATION OF NET CASH PROVIDED BY OPERATING ACTIVITIES:	
Change in Net Position	\$ (105,779)
Adjustments to Reconcile Change in Net Position to Net Cash Provided by Operating Activities:	
depreciation	133,792
(increase) / decrease in accounts receivable	1,204
(increase) / decrease in prepaid expenses	(69,379)
increase / (decrease) in accounts payable	<u>3,581</u>
Net cash provided / (used) by operating activities	<u><u>\$ (36,581)</u></u>

The accompanying notes to the basic financial statements are an integral part of these statements.

SHARPSBURG WATER DISTRICT
Notes to the Financial Statements
December 31, 2021

The Sharpsburg Water District is a water utility which services areas of Bath County including Sharpsburg, Bethel, Reynoldsville and parts of Nicholas County. Its sales are primarily to residential customers. The District is a corporate body set forth in Kentucky Revised Statutes (KRS) 74.070 which was created in November 1961. The District began operations in 1963. The District is subject to the regulatory authority of the Kentucky Public Service Commission pursuant to KRS 278.040.

Note 1 - Summary of Significant Accounting Policies

The accounting policies of the District conform to accounting principles generally accepted in the United States of America as applicable to governments. The following is a summary of the more significant policies.

The Reporting Entity

The District, for financial purposes, includes all of the funds relevant to the operations of the District. The financial statements presented herein do not include agencies which have been formed under applicable state laws or separate and distinct units of government apart from the Sharpsburg Water District.

The financial statements of the District would include those of separately administered organizations that are controlled by or dependent on the District. Control or dependence is determined on the basis of financial interdependency, selection of governing authority, designation of management, ability to significantly influence operations, accountability of fiscal matters, scope of public service, and financing relations.

Based on the foregoing criteria there are no other organizations included in these financial statements.

Depreciation Reserve Fund - Monthly transfers are required to be made into this fund in the amount of \$120. Only expenditures for capital improvements or extraordinary expenses are permitted to be paid from this fund. The required balance of the fund on December 31, 2021 was \$67,755. The District had set aside \$91,055 into this fund on December 31, 2021.

Bond and Interest Sinking Fund - Monthly transfers are required to be made into this account in an amount equal to one-sixth (1/6) of the interest becoming due on the next succeeding interest due date for all outstanding bonds and one-twelfth (1/12) of the principal of all such bonds maturing on the next succeeding due date. The required balance of the fund on December 31, 2021 was \$-0-. The District had set aside \$14,818.

Enterprise Funds

An enterprise fund distinguishes operating revenues and expenses from non-operating items. Operating revenues and expenses generally result from providing services and producing and delivering goods in connection with the Authority's principal ongoing operations. The principal operating revenues of the Authority are operating grants and tenant rental revenue. Operating expenses of the Authority include the cost of producing the revenue and services, administrative expenses, and depreciation on capital assets. All revenues and expenses not meeting this definition are reported as non-operating revenues and expenses.

Enterprise Funds are used to account for operations (a) that are financed and operated in a manner similar to private business enterprise where the intent of the governing body is that the costs (expenses, including depreciation) of providing goods or services to the general public on a continuing basis be financed or recovered primarily through user charges or (b) where the governing body has decided that periodic determination of revenues earned, expenses incurred, and/or net income is appropriate for capital maintenance, public policy, management control, accountability, or other purposes.

The accounting and financial reporting treatment applied to the District is determined by its measurement focus. The transactions of the District are accounted for on a flow of economic resources measurement focus. With this measurement focus, all assets and all liabilities associated with the operations are included on the balance sheet. Net position (i.e., total assets net of total liabilities) are segmented into invested in capital assets, net of related debt, restricted and unrestricted components. When both restricted and unrestricted resources are available for use, it is the District's policy to use restricted resources first, and then unrestricted resources as they are needed.

Basis of Accounting
 The records of the District are maintained, and the budgetary process is based on the cash basis method of accounting. Adjustments have been made to conform to the accrual basis of accounting.

Inventory
 The cost of inventory is recorded as a disbursement at the time of payment for the purchase.

Cash
 For purposes of the statement of cash flows, the District considers all highly liquid debt instruments purchased with a maturity of one year or less to be cash equivalents. On December 31, 2021, the carrying amount of the District's deposits was \$404,130 and the bank balance was \$413,757. Of the bank balance 100% was covered by federal deposit insurance or collateralized with securities held by the pledging financial institution's trust department or agent in the entity's name.

Capital Assets
 Capital assets purchased are capitalized at the time of purchase. Such assets are recorded at cost. Donated assets are recorded at fair market value at the date of donation. Depreciation of property and equipment is computed by the straight-line method based upon the estimated useful lives of the assets as follows:

<u>Class</u>	<u>Life</u>
Lines and tanks	50 years
Equipment	5-10 years
Computers	3 years
Meters	15 years

The District's capitalization policy is as follows: expenditures costing more than \$1,000 with an estimated useful life greater than one year are capitalized: all others are expensed.

Net Position
 Net position represents the difference between assets and liabilities. Invested in capital assets- net of related debt consists of capital assets, net of accumulated depreciation, reduced by the outstanding balance of any borrowing used for the acquisition, construction or improvement of those assets. Net position is recorded as restricted when there are limitations imposed on their use by external restrictions.

Accounts Receivable
 The receivable reflected in the statements in the amount of \$80,964 is net of allowance for uncollectibles in the amount of \$5,444.

Use of Estimates
 The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities at the date of the financial statements and reported amounts of revenues and expenditures during the reporting period. Actual results could differ from those estimates.

Note 2 - Notes Payable

The amount shown in the accompanying financial statements as notes payable represents the District's future obligation to make loan payments from future revenues. On December 31, 2021, five separate loans had outstanding balances. Details of each of these issues are summarized as follows:

Note A
 Lender – Rural Development
 Original loan amount - \$171,000
 Balance of loan - \$36,000
 Rate – 7.125%
 Principal due January 1
 Interest due January and July 1
 Prepayment provision - subject to payment prior to its stated maturity without penalty or premium, at any time upon ten (10) days notice.

	Maturities		
	Principal	Interest	Total Payment
2022	\$ 11,000	\$ 2,173	\$ 13,173
2023	12,000	1,354	13,354
2024	13,000	463	13,463
Total	\$ 36,000	\$ 3,990	\$ 39,990

Note B

Lender – Rural Development

Original Loan Amount – 335,000

Balance of loan - \$140,000

Rate - 5%

Principal due January 1

Interest due January and July 1

Prepayment provision - subject to payment prior to its stated maturity without penalty or premium, at any time upon ten (10) days notice.

	Maturities		
	Principal	Interest	Total Payment
2022	\$ 13,000	\$ 6,675	\$ 19,675
2023	13,000	6,025	19,025
2024	14,000	5,350	19,350
2025	15,000	4,625	19,625
2026	15,000	3,875	18,875
2027-2030	70,000	7,250	77,250
Total	\$ 140,000	\$ 33,800	\$ 173,800

Note C

Lender – Rural Development

Original loan amount - \$289,000

Balance of loan - \$163,800

Rate – 4.5%

Principal due January 1

Interest due January 1 and July 1

Prepayment provision - subject to payment prior to its stated maturity without penalty or premium, at any time upon ten (10) days notice.

	Maturities		
	Principal	Interest	Total Payment
2022	\$ 8,600	\$ 7,178	\$ 15,778
2023	9,000	6,782	15,782
2024	9,400	6,368	15,768
2025	9,900	5,933	15,833
2026	10,300	5,479	15,779
2027-2031	58,900	19,838	78,738
2032-2035	57,700	5,357	63,057
Total	\$ 163,800	\$ 56,935	\$ 220,735

Note D
 Lender – Rural Development
 Original loan amount - \$258,000
 Balance of loan - \$207,000
 Rate – 4.125%
 Principal due January 1
 Interest due January 1 and July 1
 Prepayment provision - subject to payment prior to its stated maturity without penalty or premium, at any time upon ten (10) days notice.

Maturities

	Principal	Interest	Total Payment
2022	\$ 5,000	\$ 8,436	\$ 13,436
2023	5,000	8,229	13,229
2024	5,500	8,013	13,513
2025	5,500	7,786	13,286
2026	6,000	7,549	13,549
2027-2031	34,000	33,763	67,763
2032-2036	42,000	21,471	63,471
2037-2041	52,500	16,242	68,742
2042-2045	51,500	4,383	55,883
Total	\$ 207,000	\$ 115,872	\$ 322,872

Note E
 Lender – Rural Development
 Original loan amount - \$642,000
 Balance of loan - \$537,000
 Rate – 2.250%
 Principal due January 1
 Interest due January 1 and July 1
 Prepayment provision - subject to payment prior to its stated maturity without penalty or premium, at any time upon ten (10) days notice.

Maturities

	Principal	Interest	Total Payment
2022	\$ 13,000	\$ 11,936	\$ 24,936
2023	13,500	11,638	25,138
2024	13,500	11,334	24,834
2025	14,000	11,025	25,025
2026	14,500	10,704	25,204
2027-2031	77,000	48,465	125,465
2032-2036	87,000	32,186	119,186
2037-2041	97,500	28,884	126,384
2042-2046	110,000	17,213	127,213
2047-2050	97,000	4,421	101,421
Total	\$ 537,000	\$ 187,806	\$ 724,806

The following is a summary of changes in long-term obligations for the year:

	Outstanding 1/1/2021	Issued	Retired	Outstanding 12/31/2021	Due Within One Year
Rural Development	\$ 1,132,100	\$ -	\$ 48,300	\$ 1,083,800	\$ 50,600

Total interest paid during the year on long-term debt totaled \$39,747.

Note 3 - Pension Plan

The District's employees are not covered by a retirement plan.

Note 4 - Leave Policies

Annual and Sick Leave

All full-time employees shall be entitled to sick leave with pay at a rate of twelve days per year. Maximum accumulation is 60 days. No pay upon termination.

All full-time employees are entitled to vacation time as follows:

- Completion of one year – 1 week
- Completion of ten years – 2 weeks
- Completion of 15 years – 3 weeks
- Completion of 20+ years – 4 weeks

Note 5 - Changes in Capital Assets

The following is a summary of changes in capital assets for the year:

	Balance 1/1/2020	Transfers/ Additions	Deletions	Balance 12/31/2020
Utility plant and equipment	\$ 7,207,492	\$ -	\$ -	\$ 7,207,492
Accumulated depreciation	\$ 2,931,525	\$ 133,792	\$ -	\$ 3,065,317
Capital assets, net of accumulated depreciation	\$ 4,275,967			\$ 4,142,175

Note 6 - Revenue Bonds

Water and Revenue Bonds constitute special obligations of the District solely secured by a lien on and pledge of the net revenues of the water system. The revenue bonds are collateralized by the revenue of the water system and the various special funds established by the bond ordinances. The ordinances provide that the revenue of the system is to be used first to pay operating and maintenance expenses of the system and second to establish and maintain the revenue bond funds. Any remaining revenues may then be used for any lawful purpose. The ordinances also contain certain provisions, which require the District to maintain pledged revenues. The District must transfer monthly 1/6 of the next succeeding interest payment and 1/12 of the next succeeding principal payment from the operations and maintenance account into the bond and interest sinking account.

Note 7 - Restricted Cash

Restricted cash is composed of the following:

Depreciation reserve fund	\$ 91,055
Sinking fund	14,818
Water Meter	55,464
	\$ 161,337

Note 8 – Contingencies

The District is subject to possible examinations made by Federal and State authorities who determine compliance with terms, conditions, laws, and regulations governing other grants given to the District in the current and prior years. There were no examinations for the year ended December 31, 2021. Areas of noncompliance, if any, as a result of examinations would be included as a part of the *Schedule of Findings* section of this report.

Note 9 – Risk Management

The District is exposed to various risks of losses related to torts; theft of, damage to and destruction of assets; errors and omissions; injuries to employees; and natural disasters. The District carries commercial insurance coverage for the risks to the extent deemed prudent by District management.

Note 10 – Subsequent Events

The District has evaluated subsequent events through May 19, 2022, and that is the date that the financial statements were available to be issued.

Subsequent Event - Coronavirus Pandemic:

In December 2019, an outbreak of a novel strain of coronavirus (COVID-19) originated in Wuhan, China and has since spread to other countries, including the U.S. On March 11, 2020, the World Health Organization characterized COVID-19 as a pandemic. In addition, multiple jurisdictions in the U.S. have declared a state of emergency. It is anticipated that these impacts will continue for some time. There has been no immediate impact to the entity's operations. Future potential impacts may include disruptions or restrictions on our employees' ability to work. Changes to the operating environment may increase operating costs. The future effects of these issues are unknown.

SUPPLEMENTARY INFORMATION



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American Institute of CPAs
Kentucky Society of CPAs

INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS

Board of Commissioners
Sharpsburg Water District
Sharpsburg, Kentucky

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the financial statements of the business-type activities of the Sharpsburg Water District, as of and for the year ended December 31, 2021, and the related notes to the financial statements, which collectively comprise the Sharpsburg Water District's basic financial statements, and have issued our report thereon dated May 19, 2022.

Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered the Sharpsburg Water District's internal control over financial reporting (internal control) as a basis for designing audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the Sharpsburg Water District's internal control. Accordingly, we do not express an opinion on the effectiveness of the Sharpsburg Water District's internal control.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies and therefore, material weaknesses or significant deficiencies may exist that were not identified. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. We did identify a certain deficiency in internal control, described in the accompanying schedule of findings and responses that we consider to be a significant deficiency. [2021-001]

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the Sharpsburg Water District's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of the financial statements. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

Sharpsburg Water District's Response to Findings

Sharpsburg Water District's response to the finding identified in our audit is described in the accompanying schedule of findings and responses. Sharpsburg Water District's response was not subjected to the auditing procedures applied in the audit of the financial statements and, accordingly, we express no opinion on it.

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the entity's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the entity's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

Lane & Company LLC

Mount Sterling, Kentucky

May 19, 2022

SHARPSBURG WATER DISTRICT
 COMPARATIVE STATEMENT OF REVENUES, EXPENSES AND CHANGES IN NET POSITION
 For the years ended December 31, 2020 and December 31, 2021

	2020	2021
Revenues	\$ 831,429	\$ 866,577
User fees	24,345	23,803
Utility tax	15,438	15,159
Miscellaneous	<u> </u>	<u> </u>
Total Revenues	<u>871,212</u>	<u>905,539</u>
Expenses	343,748	372,328
Water purchased	205,762	211,091
Salaries	32,256	23,432
Employee benefits	33,724	34,790
Office expense	15,908	22,265
Insurance	40,773	44,008
Taxes	18,183	20,824
Utilities	36,962	41,291
Miscellaneous	6,450	6,450
Contractual services	133,791	133,792
Depreciation	37,266	101,047
Supplies & repairs	<u> </u>	<u> </u>
Total Operating Expenses	<u>904,823</u>	<u>1,011,318</u>
Operating Income (Loss)	<u>(33,611)</u>	<u>(105,779)</u>
Nonoperating Revenues (Expenses)		
Tap fees	16,225	24,500
Interest expense	(39,747)	(37,564)
Interest income	<u>185</u>	<u>191</u>
Net Nonoperating Revenues (Expenses)	<u>(23,337)</u>	<u>(12,873)</u>
Change in Net Position	<u>\$ (56,948)</u>	<u>\$ (118,652)</u>

The accompanying notes to the basic financial statements are an integral part of these statements.

SHARPSBURG WATER DISTRICT
Schedule of Findings and Responses
December 31, 2021

PRIOR YEAR FINDINGS

2020-001: Lack of Segregation of Duties – Repeated as 2021-001

CURRENT YEAR FINDINGS

2021-001: Lack of Segregation of Duties

Condition: The District has an inadequate segregation of duties within its internal control process.

Criteria: All governmental entities should design their internal control to provide an adequate segregation of duties.

Cause: The District does not have sufficient employees to adequately design its internal control.

Effect or Potential Effect: Inadequate segregation of duties can cause transaction cycles to be susceptible to abuse and fraud.

Recommendation: The District should continue to design and implement its internal control policies to provide the maximum segregation of duties possible.

Response: We will do as recommended.

Sharpsburg Water District
Profit & Loss
March 2022

	Mar 22
Ordinary Income/Expense	
Income	
Connection Fees Income	1,050.00
Meter Deposits	1,054.44
Sewer Admin. & Maintenance	400.00
Truck Sales Income	157.59
Water Sales Income	76,486.66
Total Income	79,148.69
Expense	
Back Hoe	700.00
Bank Service Charges	11.50
Depreciation Expense	220.00
garbage pick up	70.38
Insurance	3,754.73
Miscellaneous	2,079.84
Office Supplies	489.73
Payroll Expenses	
Officer Salary	3,510.64
Payroll Expenses - Other	20,068.34
Total Payroll Expenses	23,578.98
Postage and Delivery	933.77
Refund Meter Deposit	160.18
Repairs	300.00
return check	208.24
Sinking Fund	7,320.00
Supplies	
Maintenance	664.81
Supplies - Other	137.53
Total Supplies	802.34
Telephone	592.12
Uniform Rental	632.00
Utilities	
Gas and Electric	1,818.56
Total Utilities	1,818.56
Utility Tax	2,053.43
Water Purchase	31,404.26
Water Sample	1,049.70
Total Expense	78,179.76
Net Ordinary Income	968.93
Net Income	968.93

Sharpsburg Water District
Profit & Loss
April 2022

	Apr 22
Ordinary Income/Expense	
Income	
Connection Fees Income	3,150.00
Meter Deposits	230.88
Returned Check Service Charges	543.05
Sewer Admin. & Maintenance	400.00
Truck Sales Income	126.72
Water Sales Income	76,054.29
Total Income	80,504.94
Expense	
Bank Service Charges	6.50
Depreciation Expense	220.00
Dues and Subscriptions	810.00
Insurance	3,754.73
Licenses and Permits	1,079.71
Miscellaneous	1,923.93
Office Supplies	713.52
Payroll Expenses	
Officer Salary	5,123.85
Payroll Expenses - Other	24,500.37
Total Payroll Expenses	29,624.22
Postage and Delivery	1,008.50
Printing and Reproduction	84.00
Refund Meter Deposit	115.39
Repairs	
Equipment Repairs	1,755.67
Total Repairs	1,755.67
return check	134.21
sales tax	198.25
Sinking Fund	7,320.00
Supplies	
Maintenance	3,005.34
Supplies - Other	1,754.78
Total Supplies	4,760.12
Telephone	587.15
Uniform Rental	822.85
Utilities	
Gas and Electric	1,815.57
Total Utilities	1,815.57
Utility Tax	2,112.64
Water Purchase	31,336.09
Water Sample	253.70
Total Expense	90,436.75
Net Ordinary Income	-9,931.81
Net Income	-9,931.81

Sharpsburg Water District
Profit & Loss
June 2022

	Jun 22
Ordinary Income/Expense	
Income	
Connection Fees Income	2,100.00
Meter Deposits	425.42
Re-connect fees	285.00
Sewer Admin. & Maintenance	400.00
Truck Sales Income	358.23
Water Sales Income	77,508.70
Total Income	81,077.35
Expense	
Back Hoe	3,000.00
Bank Service Charges	11.50
Depreciation Expense	220.00
garbage pick up	50.43
Insurance	2,095.65
Miscellaneous	3,275.90
Office Supplies	561.71
Payroll Expenses	
Officer Salary	3,510.64
Payroll Expenses - Other	22,683.30
Total Payroll Expenses	26,193.94
Postage and Delivery	
Professional Fees	1,008.50
Legal Fees	
	2,797.50
Total Professional Fees	2,797.50
Refund Meter Deposit	
Repairs	522.58
	140.98
return check	
Sinking Fund	126.74
Supplies	7,320.00
Maintenance	
	6,203.71
Total Supplies	6,203.71
Telephone	
Uniform Rental	829.77
Utilities	632.00
Gas and Electric	
	1,968.16
Total Utilities	1,968.16
Utility Tax	
Water Purchase	2,194.59
Total Expense	34,076.50
Net Ordinary Income	93,230.16
Net Income	-12,152.81
	<u>-12,152.81</u>

Sharpsburg Water District
Profit & Loss
August 2022

	Aug 22
Ordinary Income/Expense	
Income	
Connection Fees Income	6,300.00
Meter Deposits	613.13
Re-connect fees	225.00
Returned Check Service Charges	307.30
Sewer Admin. & Maintenance	400.00
Truck Sales Income	335.37
Water Sales Income	77,655.22
Total Income	85,836.02
Expense	
Bank Service Charges	1.50
Depreciation Expense	220.00
garbage pick up	24.22
Insurance	3,762.57
Miscellaneous	2,446.76
Office Supplies	877.39
Payroll Expenses	
Officer Salary	3,510.64
Payroll Expenses - Other	19,510.38
Total Payroll Expenses	23,021.02
Postage and Delivery	1,439.18
Printing and Reproduction	420.00
Refund Meter Deposit	76.41
Repairs	
Computer Repairs	293.86
Repairs - Other	250.00
Total Repairs	543.86
return check	123.06
Sinking Fund	7,320.00
Supplies	
Maintenance	2,599.40
Total Supplies	2,599.40
Telephone	609.10
Uniform Rental	665.31
Utilities	
Gas and Electric	2,029.71
Total Utilities	2,029.71
Utility Tax	2,288.77
Water Purchase	43,954.50
Water Sample	285.84
Total Expense	92,708.60
Net Ordinary Income	-6,872.58
Net Income	-6,872.58

Sharpsburg Water District
Profit & Loss
October 2022

	Oct 22
Ordinary Income/Expense	
Income	
Meter Deposits	610.19
Re-connect fees	200.00
Returned Check Service Charges	89.96
Sewer Admin. & Maintenance	400.00
Truck Sales Income	284.88
Water Sales Income	82,911.94
Total Income	84,496.97
Expense	
Back Hoe	600.00
Bank Service Charges	11.50
Depreciation Expense	220.00
Dues and Subscriptions	938.46
garbage pick up	20.09
Insurance	3,762.57
Licenses and Permits	1,209.96
Miscellaneous	1,931.93
Office Supplies	43.61
Payroll Expenses	
Officer Salary	3,510.64
Payroll Expenses - Other	20,512.35
Total Payroll Expenses	24,022.99
Postage and Delivery	1,008.50
Printing and Reproduction	352.00
Refund Meter Deposit	166.01
Repairs	
Computer Repairs	105.00
Total Repairs	105.00
return check	201.32
sales tax	181.74
Sinking Fund	7,320.00
Supplies	
Maintenance	1,632.07
Total Supplies	1,632.07
Telephone	604.40
Uniform Rental	589.95
Utilities	
Gas and Electric	1,766.70
Total Utilities	1,766.70
Utility Tax	2,301.05
Water Purchase	34,436.17
Total Expense	83,426.02
Net Ordinary Income	1,070.95
Net Income	1,070.95

Sharpsburg Water District
Profit & Loss
November 2022

	<u>Nov 22</u>
Ordinary Income/Expense	
Income	
Meter Deposits	750.26
Sewer Admin. & Maintenance	400.00
Truck Sales Income	160.06
Water Sales Income	74,701.46
	<hr/>
Total Income	76,011.78
Expense	
Amortization Expense	-623.62
Bank Service Charges	1.50
garbage pick up	20.19
Insurance	
Liability Insurance	1,666.92
Insurance - Other	2,108.90
	<hr/>
Total Insurance	3,775.82
Miscellaneous	1,933.93
Office Supplies	2,064.27
Payroll Expenses	
Officer Salary	3,510.64
Payroll Expenses - Other	21,965.87
	<hr/>
Total Payroll Expenses	25,476.51
Postage and Delivery	1,439.18
Printing and Reproduction	704.00
Refund Meter Deposit	119.66
Sinking Fund	7,320.00
Telephone	604.75
Uniform Rental	471.96
Utilities	
Gas and Electric	1,698.19
	<hr/>
Total Utilities	1,698.19
Utility Tax	2,185.38
Water Purchase	32,197.41
Water Sample	1,701.33
	<hr/>
Total Expense	81,090.46
Net Ordinary Income	-5,078.68
Net Income	<hr/> <hr/> -5,078.68

Sharpsburg Water District
Profit & Loss
December 2022

	Dec 22
Ordinary Income/Expense	
Income	
Returned Check Service Charges	186.45
Truck Sales Income	123.86
Water Sales Income	83,049.82
	<hr/>
Total Income	83,360.13
Expense	
Bank Service Charges	1.50
garbage pick up	19.59
Insurance	3,775.82
Miscellaneous	1,929.93
Office Supplies	6,379.08
Payroll Expenses	
Officer Salary	3,510.64
Payroll Expenses - Other	29,994.35
	<hr/>
Total Payroll Expenses	33,504.99
Postage and Delivery	1,008.50
Professional Fees	
Legal Fees	200.00
	<hr/>
Total Professional Fees	200.00
Refund Meter Deposit	424.54
Repairs	6,000.00
Sinking Fund	7,320.00
Supplies	
Maintenance	33.97
	<hr/>
Total Supplies	33.97
Telephone	604.38
Uniform Rental	471.96
Utilities	
Gas and Electric	2,319.55
	<hr/>
Total Utilities	2,319.55
Utility Tax	2,432.22
Water Purchase	37,354.84
Water Sample	1,002.95
	<hr/>
Total Expense	104,783.82
	<hr/>
Net Ordinary Income	-21,423.69
	<hr/>
Net Income	<u><u>-21,423.69</u></u>

Budget Summary of Sharpsburg Water District

Reporting Period from 01/01/2023 To 12/31/2023

	Actual	Budget 2022	Estimate 2023
<u>Utility Operating Income</u>			
Operating Revenues	\$ _____	\$ 890,000	\$ 920,000
Operation and Maintenance Expenses	_____	669,000	679,000
Depreciation Expense	_____	133,791	133,792
Amortization Expense	_____	_____	_____
Taxes Other Than Income	_____	_____	_____
Income from Utility Plant Leased to Others	_____	_____	_____
Gains (Losses) from Disposition of Utility Property	_____	_____	_____
Net Utility Operating Expenses	_____	802,791	812,792
Utility Operating Income (Loss)	\$ _____	\$ 87,209	\$ 107,208
<u>Other Income and Deductions</u>			
Net Results/Merchandising, Jobbing & Contract Work	\$ _____	\$ _____	\$ _____
Interest and Dividend Income	_____	_____	_____
Allowance for Funds Used During Construction	_____	_____	_____
Nonutility Income	_____	_____	_____
Miscellaneous Nonutility Expenses	_____	_____	_____
Taxes Other Than Income	_____	_____	_____
Interest Expense	_____	35,238	32,818
Total Other Income and Deductions	_____	{35,238}	{32,818}
Income Before Contributions & Extraordinary Items	\$ _____	\$ _____	\$ _____
Proceeds from Capital Contributions	_____	_____	_____
Net Extraordinary Items	_____	_____	_____
Change in Net Assets	\$ _____	\$ 51,971	\$ 74,390

		2022	2023
USoA	Actual	Budget	Estimate
Acct #			
<u>Operating Revenues</u>			
<u>Sales of Water (sub-category)</u>			
460	Unmetered Water Revenue	890,000	920,000
461.1	Metered Water Revenue - Residential		
461.2	Metered Water Revenue - Commercial		
461.3	Metered Water Revenue - Industrial		
461.4	Metered Water Revenue - Public Authorities		
461.5	Metered Water Revenue - Multiple Family Dwellings		
461.6	Metered Water Revenue - Bulk Loading Stations		
462	Fire Protection Revenue		
465	Sales to Irrigation Customers		
466	Sales for Resale		
	Subtotal Sales of Water		
<u>Other Water Revenues (sub-category)</u>			
470	Forfeited Discounts		
471	Miscellaneous Service Revenues		
472	Rents from Water Property		
473	Interdepartmental Rents		
474	Other Water Revenues		
	Subtotal Other Water Revenues		
	Total Operating Revenues		
<u>Operation and Maintenance Expenses</u>			
601	Salaries and Wages - Employees	220,000	230,000
603	Salaries and Wages - Commissioners		
604	Employee Pensions and Benefits		
	Medical/Life Insurance		
	Retirement Benefits		
	Other		

USoA Acct #		2022		2023
		Actual	Budget	Estimate
Subtotal Employee Pensions and Benefits				
610	Purchased Water		365,000	370,000
615	Purchased Power			
616	Fuel for Power Production			
618	Chemicals		2000	2000
620	Materials and Supplies		80,000	75,000
631	Contractual Services - Engineering			
632	Contractual Services - Accounting			
633	Contractual Services - Legal			
634	Contractual Services - Management Fees			
635	Contractual Services - Testing			
636	Contractual Services - Other			
641	Rental of Building/Real Property			
642	Rental of Equipment			
650	Transportation Expenses			
656	Insurance - Vehicle			
657	Insurance - General Liability			
658	Insurance - Workers' Compensation			
659	Insurance - Other			
660	Advertising Expense			
665/667	Regulatory Commission Expense			
668	Water Resource Conservation Expense			
670	Bad Debt Expense			
675	Miscellaneous Expenses		2000	2000
Total Operation and Maintenance Expenses			669,000	679,000
<u>Depreciation Expense</u>				
403	Depreciation Expense on Utility Plant		133,791	133,792
<u>Amortization Expense</u>				
406	Amortization of Utility Plant Acquisition Adjustments			

USoA Acct #		2022		2023
		Actual	Budget	Estimate
407	Amortization Expense			
	Total Amortization Expense			
	<u>Taxes Other Than Income</u>			
408.10	Utility Regulatory Assessment Fees			
408.11	Property Taxes			
408.12	Payroll Taxes			
408.13	Other Taxes and Licenses			
	Total Taxes Other Than Income			
	<u>Income from Utility Plant Leased to Others</u>			
413	Income from Utility Plant Leased to Others			
	<u>Gains (Losses) from Disposition of Utility Property</u>			
414	Gains (Losses) from Disposition of Utility Property			
	Net Utility Operating Expenses		802,791	812,792
	Utility Operating Income (Loss)		87,209	107,208
	<u>Other Income and Deductions</u>			
	<u>Net Results of Merchandising, Jobbing and Contract Work</u>			
415	Revenues from Merchandising, Jobbing and Contract Work			
416	Costs & Expenses of Merchandising, Jobbing & Contract Work			
	Net Merchandising, Jobbing and Contract Work			
	<u>Interest and Dividend Income</u>			
419	Interest and Dividend Income			
	<u>Allowance for Funds Used During Construction</u>			
420	Allowance for Funds Used During Construction			
	<u>Nonutility Income</u>			
421	Nonutility Income			
	<u>Miscellaneous Nonutility Expenses</u>			

USoA Acct #		2022	2023
		Actual	Budget Estimate
426	Miscellaneous Nonutility Expenses		
	<u>Taxes Other Than Income</u>		
408.20	Taxes Other Than Income (Other Income and Deductions)		
	<u>Interest Expense</u>		
427.1	Interest on Debt to Associated Companies		
427.2	Interest on Short-Term Debt		
427.3	Interest on Long-Term Debt	35,238	32,818
427.4	Interest on Customer Deposits		
427.5	Interest - Other		
428	Amortization of Debt Discount and Expense		
429	Amortization of Premium on Debt		
	Total Interest Expense		
	Income Before Contributions & Extraordinary Items	87,209	107,208
	<u>Proceeds from Capital Contributions</u>		
432	Proceeds from Capital Contributions		
	Federal Grants		
	State Grants		
	Other Grants		
	Customer Contributions		
	Subtotal Proceeds from Capital Contributions		
	<u>Net Extraordinary Items</u>		
433	Extraordinary Income		
434	Extraordinary Deductions		
	Net Extraordinary Items		
	Change in Net Assets		

Abbreviated Projected Cash Flow

	Estimate
Income (Loss) Before Contributions & Extraordinary Items	\$ 107,208
Items in Operations Not Requiring Cash:	
Depreciation	133,792
Amortization	
Others (define)	
Results Projected from Operations	\$ 241,000
Cash to be Received from Loans	
Proceeds from Capital Contributions	
Cash to be Received - Other (define)	
Total Cash to be Received Other Than From Operations	\$
Cash to be Expended for Purchase/Construction of Utility Plant	
Cash to be Expended for Principal Payments	55,400
Cash to be Expended - Other (define)	
Total Cash to be Expended Other Than From Operations	\$
Projected Change in Cash	\$ 185,600
Projected Beginning Cash Balance	\$ 380,000
Projected Ending Cash Balance	\$ 565,600

SCHEDULE OF LONG-TERM DEBT

Long-Term Debt	Original Issue Amount	Projected Beginning Balance	Projected Principal Payments	Projected Ending Balance
			55,400	
Total Long-Term Debt				

RESERVE FUNDING REQUIREMENTS

	Projected Beginning Balance	Required Funding for Budget Year	Projected Ending Balance
Bond & Interest Sinking Fund			
Depreciation Reserve Fund		0	92,160
Debt Service Fund			
Other:			

The district is in compliance with all reserve funding requirements established by long-term debt agreements as of the date of completion of this form.

YES _____ NO _____

WATER STATISTICS

	In Gallons		
	Actual 2007	Budget 2008	Estimate 2009
Water Produced & Purchased			
Total Water Sales			
Other Water Used			
Water Loss			
Water Loss Percentage			

Sharpsburg Water District Summary Financial Statement

For Period Beginning 01/01/2023 and Ending 12/31/2023

Cash Balance at <u>01/01/2023</u>	\$ <u>380,000</u>
Cash Flows from Operating Activities:	
Add Total Operating Revenues	\$ <u>920,000</u>
Less Operation and Maintenance Expenses	\$ <u>679,000</u>
Add Non-Cash Item Included in O & M	
Expense: Bad Debt Expense	\$ <u>133,792</u>
Less Taxes Other Than Income	\$ _____
Less Interest Expense	\$ _____
(Increase)/Decrease in Accounts Receivable	\$ _____
(Increase)/Decrease in All Other Current and Accrued Assets	\$ _____
Increase/(Decrease) in Accounts Payable	\$ _____
Increase/(Decrease) in All Other Current and Accrued Liabilities	\$ _____
Net Cash Flows from Operating Activities	\$ <u>241,000</u>
Cash Flows from Investing Activities:	
Cash Used to Purchase/Construct Plant	\$ _____
Other	\$ _____
Net Cash Flows from Investing Activities	\$ _____
Cash Flows from Financing Activities	
Cash Received from Grants/Contributions	\$ _____
Cash Used for Principal Payments	\$ <u>55,400</u>
Other	\$ _____
Net Cash Flows from Financing Activities	\$ _____
Net Increase/(Decrease) in Cash	\$ <u>185,600</u>
Cash Balance at <u>12/31/2023</u>	\$ <u>565,600</u>

This statement is published pursuant to the requirements of KRS 65.070.
Supporting documentation for this statement is located at:

This budget is ~~true~~ and accurate to the best of my knowledge and belief.

Signed *Kathy Howard*

District Chief Financial Officer

(Date) 11-9-22

Received by _____ County

(Signed) _____ County Fiscal Court Clerk

(Date) _____

Received by the Department for Local Government (date) _____

District mailing address:

(Street or P O Box) _____

(City & zip code) _____

Sharpsburg Water District		District Board Membership	
Designated Meeting Date, Time, & Place 2nd Wed. each month @ 7:00 pm @ water office			
President/Chair: Randy Warner		Term Expires (Mo/Day/Yr): 6/01/2026	
P. O. Box/Street 2717 Rattliff Road		First Full Term	
City: Sharpsburg		Second Full Term	
Zip Code: 40374		Third or more Full Term	X
Telephone:		Filling Unexpired Term	
Vice President:		Term Expires (Mo/Day/Yr):	
P. O. Box/Street		First Full Term	
City:		Second Full Term	
Zip Code:		Third or more Full Term	
Telephone:		Filling Unexpired Term	
Secretary: Cecil Duncan		Term Expires (Mo/Day/Yr): 6/01/2026	
P. O. Box/Street 5521 Moorefield Road		First Full Term	
City: Carlisle		Second Full Term	
Zip Code: 40311		Third or more Full Term	X
Telephone:		Filling Unexpired Term	
Treasurer: Judy Harmon		Term Expires (Mo/Day/Yr): 2/13/2026	
P. O. Box/Street 1779 Little Flat Ledford Road		First Full Term	
City: Sharpsburg		Second Full Term	
Zip Code: Sharpsburg, KY 40374		Third or more Full Term	X
Telephone:		Filling Unexpired Term	
Member Alfred Bailey		Term Expires (Mo/Day/Yr): 6/28/2025	
P. O. Box/Street 7518 West Tunnel Hill Road		First Full Term	
City: Sharpsburg		Second Full Term	X
Zip Code: 40374		Third or more Full Term	
Telephone:		Filling Unexpired Term	

Member: Billy Martin	Term Expires (Mo/Day/Yr): 6/28/2025	
P. O. Box/Street P O Box 172	First Full Term	
City: Sharpsburg	Second Full Term	X
Zip Code: 40374	Third or more Full Term	
Telephone:	Filling Unexpired Term	
Member:	Term Expires (Mo/Day/Yr):	
P. O. Box/Street	First Full Term	
City:	Second Full Term	
Zip Code:	Third or more Full Term	
Telephone:	Filling Unexpired Term	
Member:	Term Expires (Mo/Day/Yr):	
P. O. Box/Street	First Full Term	
City:	Second Full Term	
Zip Code:	Third or more Full Term	
Telephone:	Filling Unexpired Term	
Member:	Term Expires (Mo/Day/Yr):	
P. O. Box/Street	First Full Term	
City:	Second Full Term	
Zip Code:	Third or more Full Term	
Telephone:	Filling Unexpired Term	
Member:	Term Expires (Mo/Day/Yr):	
P. O. Box/Street	First Full Term	
City:	Second Full Term	
Zip Code:	Third or more Full Term	
Telephone:	Filling Unexpired Term	

EXHIBIT 4

RESOLUTION

RESOLUTION OF THE SHARPSBURG WATER DISTRICT ACCEPTING THE GRANT, APPROVING THE GRANT ASSISTENCE AGREEMENT, AUTHORIZING THE AMENDMENT OF THE SHARPSBURG WATER DISTRICT'S ANNUAL BUDGET, AND AUTHORIZING A REPRESENTATIVE TO SIGN ALL RELATED DOCUMENTS

WHEREAS, the Kentucky General Assembly has appropriated funds for infrastructure projects in Senate Bill 36 of the 2021 Regular Session of the Kentucky General Assembly for the Cleaner Water Program; and

WHEREAS, the Sharpsburg Water District (the "Grantee") has previously determined that it is in the public interest to acquire and construct certain facilities and improvements to the Grantee's utility system (the "Project"); and

WHEREAS, the Grantee desires funding from the Kentucky Infrastructure Authority (the "Authority") for the purpose of acquisition and construction of the Project; and

WHEREAS, in order to obtain a grant from the Cleaner Water Program for the Project, and administered by the Authority, the Grantee is required to enter into an assistance agreement (the "Agreement") with the Authority.

NOW, THEREFORE, BE IT RESOLVED by the governing body of the Sharpsburg Water District as follows:

SECTION 1. The Grantee hereby accepts the grant award and approves the Agreement between the Grantee and the Authority to provide the necessary funds to the Grantee for the Project.

SECTION 2. That Randy Warner is hereby designated to be the Grantee's "Authorized Official" for this Project and is hereby directed and empowered by the Grantee to execute the Agreement, related documents and agreements, and to otherwise act on behalf of the Grantee to effect such grant award.

SECTION 3. That the Grantee hereby agrees and commits to include, by amendment to its annual budget and audit process, the receipts and expenditures of funds subject to the Agreement up to and including the date of Project closeout.

SECTION 4. That this resolution shall take effect at the earliest time provided by law.

ADOPTED on 11-9, 2022.

SHARPSBURG WATER DISTRICT



Authorized Signatory

CERTIFICATE OF RECORDING OFFICER

I, the undersigned, hereby certify that I am the duly qualified and acting Secretary/Clerk of the Grantee, and that the foregoing is a full, true and correct copy of a Resolution adopted by the governing body of said Grantee at a meeting duly held on November 9, 2022; and that this official action appears as a matter of public record in the official records or journal of the Grantee; and that said meeting was held in accordance with all applicable requirements of Kentucky law, including Sections 61.810, 61.815, 61.820 and 61.823 of the Kentucky Revised Statutes; and that a quorum was present at the meeting; and that this official action has not been modified, amended, revoked or repealed and is now in full force and effect.

IN TESTIMONY WHEREOF, witness my signature, below, on November 9, 2022.


Secretary/Clerk

GRANT ASSISTANCE AGREEMENT

This Grant Assistance Agreement (the "Agreement") is made and entered into by and between the Kentucky Infrastructure Authority (the "Authority"), a body corporate and politic, constituting a public corporation and governmental agency and instrumentality of the Commonwealth of Kentucky, and the Sharpsburg Water District (the "Grantee"), acting herein through its Authorized Official, each a party to this Agreement, which shall be effective upon the date of signing by the Executive Director of the Authority,

WITNESSETH:

WHEREAS, the General Assembly of the Commonwealth of Kentucky, being the duly and legally constituted legislature of Kentucky at its 1988 Regular Session, enacted House Bill 217 amending Chapter 224A of the Kentucky Revised Statutes (the "Act"), creating the "Kentucky Infrastructure Authority" to serve the public purposes identified in the Act; and

WHEREAS, the Authority, attached to the Governor's Office, is charged pursuant to Section 224A.300 of the Act with coordinating the funding and implementation of infrastructure projects and to this end maintains the Water Resource Information System (the "WRIS") a comprehensive database of community water and wastewater projects across Kentucky; and

WHEREAS, Senate Bill 36 of the 2021 Regular Session of the Kentucky General Assembly approved a \$250,000,000 allocation in Federal Funds for Fiscal Year 2021 from the American Rescue Plan Act of 2021/Coronavirus State Fiscal Recovery Fund to the Authority for the Drinking Water and Wastewater Grant Program, known as the Kentucky Cleaner Water Program (the "CWP"), a portion of which funds are the subject of this Agreement; and

WHEREAS, the Grantee now seeks to acquire and construct a project as described in the Grantee's Project Profile in the WRIS (the "Project") and the Authority has determined that the Project meets the guidelines of the Cleaner Water Program and the directives of the General Assembly; and

WHEREAS, the Grantee and the Authority desire to enter into this Agreement which sets forth their respective duties, rights, covenants, and obligations with respect to the acquisition and construction of the Project and the application of the proceeds of a grant from the Cleaner Water Program as administered by the Authority.

NOW THEREFORE, in consideration of the mutual covenants and conditions contained herein, the grant hereby effected, and for other good and valuable consideration, the receipt, mutuality and sufficiency of which is hereby acknowledged by the parties hereto, the Authority and the Grantee each agree as follows:

SECTION 1 – DEFINITIONS

All terms utilized herein shall have the same definitions and meaning as ascribed to them in the Act, which Act is hereby incorporated in this Agreement by reference, the same as if set forth herein verbatim; provided, however, that those definitions utilized in the Act having general application are hereby modified in certain instances to apply specifically to the Grantee and its Project.

Act shall mean Chapter 224A of the Kentucky Revised Statutes, as amended (the “KRS”).

Agreement shall mean this Grant Assistance Agreement made and entered into by and between the Grantee and the Authority, as authorized by the Act, providing for a Grant to be made to the Grantee or its approved agent, subject to approval by the Authority.

Area Water Management Council shall mean the entity designated as the regional planning body for the respective counties within an Area Development District in Kentucky, which shall prepare and maintain an **Area Water Management Plan**, listing and prioritizing Project Profiles for water and wastewater projects within that region.

Engineer(s) shall mean the professional engineer or firm of professional engineers properly procured in accord with Chapter 45A of the KRS, as amended, by the Grantee in connection with the Project, as identified in the WRIS Cleaner Water Program Database.

Exhibit shall refer to a specific document, or to the completion of a process or procedure to be accomplished as a prerequisite to release of funds to the Grantee by the Authority.

Grant shall mean that portion of the Kentucky CWP funds made available to the Commonwealth by the American Recovery Program Act and allocated by the Kentucky General Assembly in its 2021 Regular Session, which shall be incrementally transferred under this Agreement from the Commonwealth to the Grantee through Grant Number 21CWW010 in the principal amount of \$76,513 for the purpose of defraying the costs incidental to the Project.

Grantee shall mean any unit of local government, or its designated agent, as approved by the Authority, or any special purpose governmental entity within the Commonwealth eligible for funds under the CWP in accordance with the Act, now having been or hereafter being granted the funds for the Project; and for the purposes of this Agreement shall mean the Grantee identified on the front page of this Agreement.

Project shall mean, when used generally, a water, wastewater or other infrastructure project authorized pursuant to the Act, and when used in specific reference to the Grantee’s Project funded by the Authority through the CWP, it shall refer to that

project as described in the Grantee's Project Profile in the WRIS, which has an 8 digit number following the designation WX or SX.

Project Administrator shall mean that individual designated in the Project Profile by that title, who has the capacity and responsibility of supervising the Project and coordinating the preparation of all related documentation on behalf of the Grantee with respect to the Project.

Project Budget shall mean a list of Project expenses and funding sources, in the form set forth in the current Project Profile as set forth in the WRIS.

Project Profile shall mean those specific details of the Project, presented by the Grantee to the respective Area Water Management Council for review and incorporation into the Area Water Management Plan and the WRIS.

System shall mean the utility system owned and operated by the Grantee or the agent of the Grantee, as approved by the Authority, to which the Project shall become a part, and any revenues generated by the Project, which are used to operate and maintain the utility system in the typical manner of a local public utility in Kentucky.

SECTION 2 - OBLIGATIONS OF THE AUTHORITY

The Authority covenants and agrees, conditioned upon the timely performance by the Grantee of its respective obligations, to undertake the following obligations:

- A. The Authority shall review and approve Project related documentation provided by the Grantee. Once the Project is under construction, the Authority shall review requests for payment submitted for payment of costs of the Project. Any deficiencies found in said requests will be reported immediately to the Grantee. If there are no deficiencies in said requests or deficiencies have been resolved satisfactorily by the Grantee, the Authority will approve the requests and disburse grant funds to the Grantee in an amount not to exceed, cumulatively, the approved grant amount for the Project.
- B. The Authority will communicate and cooperate with the Grantee to best assist the Grantee in meeting its obligations set out in this Agreement.

SECTION 3 - OBLIGATIONS OF THE GRANTEE

The Grantee covenants and agrees to undertake the following obligations:

- A. The Grantee shall complete and submit executed copies of all required Exhibits to the Authority, in accordance with the Conditional Commitment Letter instructions.

- B. The Grantee may consider utilizing the option for partial funding set out in Section 6, below. Over the course of the acquisition and construction of the Project, the Grantee shall provide such status reports as may be requested by the Authority, and once the Project is under construction submit periodic requests for payment to the Authority accompanied by copies of invoices for costs incurred in accordance with the Authority's standard draw-down request format.
- C. The Grantee shall perform and/or cause to be performed all necessary acts consistent with all federal and state labor and procurement laws in connection with the planning, design, acquisition and construction of the Project, including: the proper procurement of land, easements and rights of way; professional services, including but not limited to architectural and engineering services; construction contractor(s) services; and the acquisition of necessary equipment and/or materials.
- D. The Grantee shall obtain and keep on file all required permits, licenses and approvals from the appropriate federal, state, and/or local governmental agencies prior to starting construction of the Project.
- E. The Grantee shall comply with all applicable federal and state statutes, executive orders, regulatory requirements, and policies relating to the planning and construction of the Project.
- F. The Grantee shall cooperate fully with the Authority and provide any documentation requested by the Authority in order to facilitate completing the obligations set out in this Agreement.
- G. The Grantee will proceed expeditiously to complete the Project in accordance with the approved final engineering plans and specifications or amendments thereto, prepared by the Project Engineer for the Grantee, if required and as approved by the Authority and other state and federal agencies, as appropriate.
- H. The Grantee agrees that throughout the reasonable life of the infrastructure facilities developed under the Project it will retain ownership of, operate, and maintain these facilities, and all appurtenances thereto, keeping them in good and sound repair and good operating condition at its own expense so that the completed Project will continue to provide the services for which it was designed. Change of ownership or disposal of the Project facilities during their useful life may occur only with written approval of the Authority.
- I. If the Grantee is a local unit of government, city or county, and determines that it is in the best interest of its citizens, it may enter into a memorandum of agreement with a Kentucky corporation to serve as its agent for the implementation and long term operation and management of the Project, subject to the Agreement. The form and content of such a memorandum of agreement is subject to the prior approval of the Authority.

- J. General Compliance with all Duties. The Grantee shall faithfully and punctually perform all duties with reference to the System required by the American Rescue Plan Act of 2021, and by the terms and provisions of the Act, and this Assistance Agreement.
- K. Further Covenants under the American Rescue Plan Act of 2021. The Grantee shall comply with all further requirements or conditions which may arise from time to time in order to assure compliance with the American Rescue Plan Act of 2021, including but not limited to the following:
1. Records Retention. The Grantee shall provide to the Authority access to all records related to the Project for review in determining compliance with this Agreement and all applicable laws and regulations, including the American Rescue Plan Act of 2021/Coronavirus State Fiscal Recovery Fund. The Grantee shall retain all records, including all invoices, relating to the Project for five (5) years after full execution of the Certificate of Completion.
 2. Single Audit Requirements. Grantees that expend more than \$750,000 in Federal awards during their fiscal year will be subject to an audit under the Single Audit Act and its implementing regulation at 2 CFR Part 200, Subpart F regarding audit requirements. Grantees may also refer to the Office of Management and Budget (OMB) Compliance Supplements for audits of federal funds and related guidance and the Federal Audit Clearinghouse to see examples and single audit submissions.
 3. Civil Rights Compliance. The Grantee is required to meet legal requirements relating to nondiscrimination and nondiscriminatory use of Federal funds. Those requirements include ensuring that entities receiving Federal financial assistance from the U.S. Department of the Treasury do not deny benefits or services, or otherwise discriminate on the basis of race, color, national origin (including limited English proficiency), disability, age, or sex (including sexual orientation and gender identity), in accordance with the following authorities: Title VI of the Civil Rights Act of 1964 (Title VI) Public Law 88-352, 42 U.S.C. 2000d-1 et seq., and the Department's implementing regulations, 31 CFR part 22; Section 504 of the Rehabilitation Act of 1973 (Section 504), Public Law 93-112, as amended by Public Law 93-516, 29 U.S.C. 794; Title IX of the Education Amendments of 1972 (Title IX), 20 U.S.C. 1681 et seq., and the Department's implementing regulations, 31 CFR part 28; Age Discrimination Act of 1975, Public Law 94-135, 42 U.S.C. 6101 et seq., and the Department implementing regulations at 31 CFR part 23.
- L. General. The Grantee shall do and perform or cause to be done and performed all acts and things required to be done or performed by or on behalf of the Grantee under the provisions of the American Rescue Plan Act of 2021 and this Assistance Agreement in accordance with the terms of such provisions.

SECTION 4 - MUTUALITY OF OBLIGATIONS

- A. The parties agree that the funds granted by the Commonwealth to the Grantee are to be used solely for the purposes of the acquisition and construction of the Project. Further, the parties agree that the obligations imposed upon them are for their respective benefit and the timely fulfillment of the obligations set herein are necessary for the Project.
- B. Except as may otherwise be provided herein, the parties to this Agreement shall be solely responsible for any incidental costs incurred in fulfilling their respective obligations under this Agreement and neither party shall have any claim against the other party for reimbursement of incidental costs whether or not a party is in default.

SECTION 5 - TERMS OF AGREEMENT

- A. This Agreement shall be valid only after both parties have duly signed and provided the executed document to the other.
- B. This Agreement may be terminated by either party at any time for cause and may be terminated by either party without cause upon 30 days written notice to the other party. Termination of this Agreement shall not diminish or in any other manner affect any other remedy that may be available to the parties for any breach of the Agreement that occurs prior to the termination.
- C. If, after execution of this Agreement, additional financial assistance is found to be required for the acquisition and construction of the Project and the required additional assistance does or does not become available to the Grantee from any source, the Project may be modified so long as any change in scope and budget is mutually agreed to by the parties to this Agreement, and clearly documented in a revision of the Project Budget within the Project Profile.

SECTION 6 - ADVANCE FUNDING FOR PROJECT PLANNING AND DESIGN

- A. The Grantee may request, in writing, that a portion of the grant funds be disbursed prior to Project bidding to pay up to 50% of the budgeted engineering fee for Project planning and design to the Project Engineer to expedite submission of the Project plans and specifications for review by the Kentucky Division of Water. The balance of the budgeted engineering fee for project planning and design may be paid only after approval of the plans by the Kentucky Division of Water.
- B. It is specifically understood and agreed by the Grantee in the event that the Project has not been advertised for bids within twenty-four (24) months from the date of

signing of this Agreement, for whatever reason, any funds disbursed for Project planning and design are subject to full and immediate repayment by the Grantee to the Authority.

- C. No funds shall be released under this Section until the requirements of Exhibits 1 through 7 of this Agreement have been completed.

SECTION 7. - EVENTS OF DEFAULT AND REMEDIES.

Section 7.1. Events of Default Defined.

The following will be "Events of Default" under this Agreement and the term "Event of Default" or "Default" will mean, whenever it is used in this Agreement, any one or more of the following events:

- A. Any unauthorized or improper expenditure of funds by the Grantee, or expenditure of funds by the Grantee other than in accordance with the terms of this Agreement.
- B. Failure by the Grantee to observe or perform any covenant, condition or agreement on its part to be observed or performed, other than as referred to in subsection (A) of this Section, for a period of thirty (30) days after written notice specifying such failure and requesting that it be remedied will have been given to the Grantee by the Authority unless the Authority agrees in writing to an extension of such time prior to its expiration; provided, however, if the failure stated in the notice cannot be corrected within the applicable period, the Authority will not unreasonably withhold its consent to an extension of such time if corrective action is instituted by the Grantee within the applicable period and diligently pursued until such failure is corrected.
- C. The dissolution or liquidation of the Grantee, or the voluntary initiation by the Grantee of any proceeding under any federal or Kentucky law relating to bankruptcy, insolvency, arrangement, reorganization, readjustment of debt or any other form of debtor relief, or the initiation against the Grantee of any such proceeding which remain undismissed for sixty (60) days, or the entry by the Grantee into an agreement of composition with creditors or the failure generally by the Grantee to pay its debts as they become due.
- D. A default by the Grantee under the provisions of any agreements relating to its debt obligations.

Section 7.2. Remedies on Default.

Whenever any Event of Default referred to in Section 7.1 has occurred and is continuing, the Authority may, without any further demand or notice, take one or any combination of the following remedial steps:

- A. Declare this Agreement void from the beginning without further obligation to the Grantee and may commence appropriate legal action to enforce its rights under this Agreement including action for recovery of funds expended hereunder.
- B. Terminate any remaining grant payments to the Grantee.
- C. Exercise all the rights and remedies of the Authority set forth in the Act.
- D. Take whatever action at law or in equity may appear necessary or desirable to enforce its rights under this Agreement.
- E. Submit a formal referral to the appropriate federal agency.

Section 7.3. No Remedy Exclusive.

No remedy herein conferred upon or reserved to the Authority is intended to be exclusive, and every such remedy will be cumulative and will be in addition to every other remedy given hereunder and every remedy now or hereafter existing at law or in equity. No delay or omission to exercise any right or power accruing upon any default will impair any such right or power and any such right and power may be exercised from time to time and as often as may be deemed expedient.

Section 7.4. Consent to Powers of Authority Under Act.

The Grantee hereby acknowledges to the Authority its understanding of the provisions of the Act, vesting in the Authority certain powers, rights and privileges in respect of the Project upon the occurrence of an Event of Default, and the Grantee hereby covenants and agrees that if the Authority should in the future have recourse to said rights and powers, the Grantee shall take no action of any nature whatsoever calculated to inhibit, nullify, void, delay or render nugatory such actions of the Authority in the due and prompt implementation of this Agreement.

Section 7.5. Waivers.

In the event that any agreement contained herein should be breached by either party and thereafter waived by the other party, such waiver will be limited to the particular breach so waived and will not be deemed to waive any other breach hereunder.

Section 7.6. Agreement to Pay Attorneys' Fees and Expenses.

In the event that either party hereto defaults under any of the provisions hereof and the non-defaulting party employs attorneys or incurs other expenses for the enforcement of

performance or observance of any obligation or agreement on the part of the defaulting party herein contained, the defaulting party agrees that it will pay on demand therefor to the non-defaulting party the fees of such attorneys and such other expenses so incurred by the non-defaulting party.

SECTION 8 - MISCELLANEOUS PROVISIONS

- A. The Grantee may sign this Agreement electronically via a program subject to the approval by the Authority, or manually on a paper copy that is scanned to the portable document format (.pdf) and emailed to the Authority. Transmittal of all other correspondence or documentation, including the required Exhibits identified in the Attachment shall be scanned and attached as a file to email. The Authority and the Grantee, working through the Project Administrator, shall assist each other in securing and maintaining a complete, current Project document file for reference, records, and audit purposes.
- B. The headings set forth in this Agreement are for convenience and the terms contained therein shall in no way be held to explain, modify, amplify or aid in the interpretation, construction or meaning of the provisions of this Agreement.
- C. The terms and conditions of this Agreement shall be binding upon and shall inure to the benefit of the successor and assigns, respectively, of the parties. Except for the limited use of a memorandum of agreement (as provided in Section 3 herein), this provision shall not be construed to permit an assignment by any party of any of its rights and duties under this Agreement which assignment shall be prohibited except with the prior written consent of the parties hereto.
- D. This Agreement sets forth the entire understanding of the parties with respect to the subject matter hereof and may be modified only by a written instrument duly executed by each of the parties hereto.
- E. Timely and accurate performance of all actions by the respective parties are mutually recognized by the parties of this Agreement to be of importance to the citizens of the Commonwealth generally, and particularly to those citizens directly affected by the Project.
- F. This Agreement will be governed by and construed in accordance with the laws of the Commonwealth of Kentucky.
- G. The Authority may audit or review all documentation and records of the Grantee relating to this Project pursuant to the provisions of Section 45A.150 of the KRS or any other applicable federal or state law.
- H. The Grantee agrees that the Authority, the Finance and Administration Cabinet, the Auditor of Public Accounts, and the Legislative Research Commission, or their duly authorized representatives, shall have access to any books, documents, papers, records, or other documentation or evidence, which are directly pertinent to this Agreement for the purpose of financial audit or program review.

Furthermore, any books, documents, papers records, or other evidence provided to the Commonwealth, the Finance and Administration Cabinet, the Auditor of Public Accounts, or the Legislative Research Commission, which are directly pertinent to this Agreement, shall be subject to public disclosure regardless of the proprietary nature of the information, unless specific information is identified and exempted and agreed to by the Secretary of the Finance and Administration Cabinet as meeting the provisions of KRS 61.878(1)(c) prior to the execution of this Agreement. The Secretary of the Finance and Administration Cabinet shall not restrict the public release of any information which would otherwise be subject to public release if a state government agency was providing the services.

[Signature Page Follows]

IN WITNESS WHEREOF, the parties have caused this Agreement to be executed by their respective duly authorized officials as of the day and year above written.

**KENTUCKY INFRASTRUCTURE
AUTHORITY**

By: _____
Sandy Williams, Executive Director

Date: _____

SHARPSBURG WATER DISTRICT

By:  _____
Authorized Official

**THIS AGREEMENT HAS BEEN EXAMINED
BY:**

By: _____
**LEGAL COUNSEL TO THE KENTUCKY
INFRASTRUCTURE AUTHORITY**

CWP GRANT CONDITIONS – COMPLIANCE FORMS & EXHIBITS

Note A: Exhibits 1 through 3 must be completed, scanned, and emailed to the Authority on or before the date the Grantee signs the Conditional Commitment Letter. The Conditional Commitment Letter may be signed electronically or manually, then scanned and emailed to the Authority.

- Exhibit 1 Notification to the Authority of completed Review / Update of Project Profile
- Exhibit 2 Confirmation of Grantee Vendor Number – via KY Finance Cabinet Application
- Exhibit 3 Copy of the Transparency Act Reporting Information Form

Note B: Upon receipt of the signed Conditional Commitment Letter and the Authority's verification of Exhibits 1-3, the Authority will forward to the Grantee the Grant Assistance Agreement. The Grantee should proceed to complete Exhibits 4 through 7, scan and send each Exhibit to the Authority by email; and then the Authorized Official may sign the Assistance Agreement, either electronically or by scanning and send attached to email.

- Exhibit 4 A) Grantee Resolution (Accepting Grant, Approving Agreement, Amending Budget, Designating an Authorized Official)
B) Certificate of Recording Officer
- Exhibit 5 Opinion of Legal Counsel Relating to the Grantee Resolution
- Exhibit 6 A) Copy of the Engineering Services Contract; and
B) Grantee & Engineer Fee Confirmation

Note C: The Grantee may request 50% of the engineering design fee (as budgeted in the Project Profile) at this point and may request the balance of the engineering design fee once Exhibit 8 has been sent to the Authority.

- Exhibit 7 Copy of the Kentucky eClearinghouse Endorsement Letter with Comments.
- Exhibit 8 Copy of the DOW Approval Letter of Project Engineering Plans & Specifications.
- Exhibit 9 Copy of the bid package signed by (A) Engineer, (B1) Authorized Official, and (B2) Title Attorney, as appropriate.
- Exhibit 10 Certification Regarding Utility Accounting, Cost-Based Rates and Auditing.
- Exhibit 11 Certificate of Project Completion.

Bath County Water District

POST OFFICE BOX 369
SALT LICK, KENTUCKY 40371
TELEPHONE: (606) 683-6363
TDD/TTY 1-800-648-6056

July 31, 2022

Ms. Gayle Haney
Sharpsburg Water District
Post Office Box 248
Sharpsburg, Kentucky 40374

Re: Adjustment of Wholesale Water Rate

Dear Gayle:

Due to a rate increase from the Mt. Sterling Water & Sewer System, please accept this as formal notice that the Bath County Water District has filed an Application for a Purchased Water Adjustment with the Public Service Commission for the purpose of adjusting its water rates. The new proposed wholesale rate will be \$3.89 per 1,000 gallons purchased. This proposed change will be effective for all service rendered on and after August 15, 2022.

Current Rate	Proposed Rate
\$3.88	\$3.89

The rate in this notice is the rate proposed by the Bath County Water District. However, the Public Service Commission may order rates to be charged that differ from this rate. Such action may result in rates other than the rate included in this notice.

The application submitted to the Public Service Commission is on file in our office and is available for your inspection.

If you have questions or need additional information please call our office.

Sincerely,



Sarah Price
Co-Manager

Bath County Water District

POST OFFICE BOX 369
SALT LICK, KENTUCKY 40371
TELEPHONE: (606) 683-6363
TDD/TTY 1-800-648-6056

February 28, 2022

Ms. Gayle Haney
Sharpsburg Water District
Post Office Box 248
Sharpsburg, Kentucky 40374

Re: Adjustment of Wholesale Water Rate

Dear Gayle:

Due to a rate increase from the Morehead Utility Plant Board, please accept this as formal notice that the Bath County Water District has filed an Application for a Purchased Water Adjustment with the Public Service Commission for the purpose of adjusting its water rates. The new proposed wholesale rate will be \$3.88 per 1,000 gallons purchased. This proposed change will be effective for all service rendered on and after February 15, 2022.

Current Rate	Proposed Rate
\$3.82	\$3.88

The rate in this notice is the rate proposed by the Bath County Water District. However, the Public Service Commission may order rates to be charged that differ from this rate. Such action may result in rates other than the rate included in this notice.

The application submitted to the Public Service Commission is on file in our office and is available for your inspection.

If you have questions or need additional information please call our office.

Sincerely,



Sherri Greene
Co-Manager

Budget Summary of Sharpsburg Water District

Reporting Period from 01/01/2024 To 12/31/2024

	Actual	Budget 2023	Estimate 2024
<u>Utility Operating Income</u>			
Operating Revenues	\$ _____	\$920,000	\$1,212,000
Operation and Maintenance Expenses		679,000	795,500
Depreciation Expense		133,792	133,783
Amortization Expense			
Taxes Other Than Income			
Income from Utility Plant Leased to Others			
Gains (Losses) from Disposition of Utility Property			
Net Utility Operating Expenses		812,792	929,283
Utility Operating Income (Loss)	\$ _____	\$ 107,208	\$ 282,717
<u>Other Income and Deductions</u>			
Net Results/Merchandising, Jobbing & Contract Work	\$ _____	\$ _____	\$ _____
Interest and Dividend Income			
Allowance for Funds Used During Construction			
Nonutility Income			
Miscellaneous Nonutility Expenses			
Taxes Other Than Income			
Interest Expense		32,818	31,528
Total Other Income and Deductions		(32,818)	(31,528)
Income Before Contributions & Extraordinary Items	\$ _____	\$ _____	\$ _____
Proceeds from Capital Contributions			
Net Extraordinary Items			
Change in Net Assets	\$ _____	\$ 74,390	\$ 251,189

USoA Acct #		Actual	Budget 2023	Estimate 2024
	Subtotal Employee Pensions and Benefits			
610	Purchased Water		370,000	450,000
615	Purchased Power			
616	Fuel for Power Production			
618	Chemicals		2000	2500
620	Materials and Supplies		75,000	90,000
631	Contractual Services - Engineering			
632	Contractual Services - Accounting			
633	Contractual Services - Legal			
634	Contractual Services - Management Fees			
635	Contractual Services - Testing			
636	Contractual Services - Other			
641	Rental of Building/Real Property			
642	Rental of Equipment			
650	Transportation Expenses			
656	Insurance - Vehicle			
657	Insurance - General Liability			
658	Insurance - Workers' Compensation			
659	Insurance - Other			
660	Advertising Expense			
665/667	Regulatory Commission Expense			
668	Water Resource Conservation Expense			
670	Bad Debt Expense			
675	Miscellaneous Expenses		2000	3000
	Total Operation and Maintenance Expenses		679,000	795,500
	<u>Depreciation Expense</u>			
403	Depreciation Expense on Utility Plant		133,792	133,783
	<u>Amortization Expense</u>			
406	Amortization of Utility Plant Acquisition Adjustments			

USoA Acct #		Actual	Budget 2023	Estimate 2024
407	Amortization Expense			
	Total Amortization Expense			
	<u>Taxes Other Than Income</u>			
408.10	Utility Regulatory Assessment Fees			
408.11	Property Taxes			
408.12	Payroll Taxes			
408.13	Other Taxes and Licenses			
	Total Taxes Other Than Income			
	<u>Income from Utility Plant Leased to Others</u>			
413	Income from Utility Plant Leased to Others			
	<u>Gains (Losses) from Disposition of Utility Property</u>			
414	Gains (Losses) from Disposition of Utility Property			
	Net Utility Operating Expenses		812,792	929,283
	Utility Operating Income (Loss)		107,208	282,717
	<u>Other Income and Deductions</u>			
	<u>Net Results of Merchandising, Jobbing and Contract Work</u>			
415	Revenues from Merchandising, Jobbing and Contract Work			
416	Costs & Expenses of Merchandising, Jobbing & Contract Work			
	Net Merchandising, Jobbing and Contract Work			
	<u>Interest and Dividend Income</u>			
419	Interest and Dividend Income			
	<u>Allowance for Funds Used During Construction</u>			
420	Allowance for Funds Used During Construction			
	<u>Nonutility Income</u>			
421	Nonutility Income			
	<u>Miscellaneous Nonutility Expenses</u>			

USoA			2023	2024
Acct #		Actual	Budget	Estimate
426	Miscellaneous Nonutility Expenses			
	<u>Taxes Other Than Income</u>			
408.20	Taxes Other Than Income (Other Income and Deductions)			
	<u>Interest Expense</u>			
427.1	Interest on Debt to Associated Companies			
427.2	Interest on Short-Term Debt			
427.3	Interest on Long-Term Debt		32,818	31,528
427.4	Interest on Customer Deposits			
427.5	Interest - Other			
428	Amortization of Debt Discount and Expense			
429	Amortization of Premium on Debt			
	Total Interest Expense			
	Income Before Contributions & Extraordinary Items		107,208	251,189
	<u>Proceeds from Capital Contributions</u>			
432	Proceeds from Capital Contributions			
	Federal Grants			
	State Grants			
	Other Grants			
	Customer Contributions			
	Subtotal Proceeds from Capital Contributions			
	<u>Net Extraordinary Items</u>			
433	Extraordinary Income			
434	Extraordinary Deductions			
	Net Extraordinary Items			
	Change in Net Assets			

Abbreviated Projected Cash Flow

**2024
Estimate**

Income (Loss) Before Contributions & Extraordinary Items	\$ <u>282,717</u>
Items in Operations Not Requiring Cash:	
Depreciation	<u>133,783</u>
Amortization	<u> </u>
Others (define)	<u> </u>
Results Projected from Operations	\$ <u>416,500</u>
Cash to be Received from Loans	<u> </u>
Proceeds from Capital Contributions	<u> </u>
Cash to be Received - Other (define)	<u> </u>
Total Cash to be Received Other Than From Operations	\$ <u> </u>
Cash to be Expended for Purchase/Construction of Utility Plant	<u> </u>
Cash to be Expended for Principal Payments	<u>55,400</u>
Cash to be Expended - Other (define)	<u> </u>
Total Cash to be Expended Other Than From Operations	\$ <u> </u>
Projected Change in Cash	\$ <u>361,100</u>
Projected Beginning Cash Balance	\$ <u>509,000</u>
Projected Ending Cash Balance	\$ <u><u>870,100</u></u>

SCHEDULE OF LONG-TERM DEBT

Long-Term Debt	Original Issue Amount	Projected Beginning Balance	Projected Principal Payments	Projected Ending Balance
			55,400	
Total Long-Term Debt				

RESERVE FUNDING REQUIREMENTS

	Projected Beginning Balance	Required Funding for Budget Year	Projected Ending Balance
Bond & Interest Sinking Fund			
Depreciation Reserve Fund		0	92,160
Debt Service Fund			
Other:			

The district is in compliance with all reserve funding requirements established by long-term debt agreements as of the date of completion of this form.

YES _____ NO _____

WATER STATISTICS

	in Gallons		
	Actual 2007	Budget 2008	Estimate 2009
Water Produced & Purchased			
Total Water Sales			
Other Water Used			
Water Loss			
Water Loss Percentage			

Sharpsburg

Water District Summary Financial Statement

For Period Beginning 01/01/24 and Ending 12/31/24

Cash Balance at <u>01/01/24</u>	\$ <u>509,000</u>
Cash Flows from Operating Activities:	
Add Total Operating Revenues	\$ <u>1,212,000</u>
Less Operation and Maintenance Expenses	\$ <u>795,500</u>
Add Non-Cash Item Included in O & M	
Expense: Bad Debt Expense	\$ _____
Less Taxes Other Than Income	\$ _____
Less Interest Expense	\$ _____
(Increase)/Decrease in Accounts Receivable	\$ _____
(Increase)/Decrease in All Other Current and Accrued Assets	\$ _____
Increase/(Decrease) in Accounts Payable	\$ _____
Increase/(Decrease) in All Other Current and Accrued Liabilities	\$ _____
Net Cash Flows from Operating Activities	\$ <u>416,500</u>
Cash Flows from Investing Activities:	
Cash Used to Purchase/Construct Plant	\$ _____
Other	\$ _____
Net Cash Flows from Investing Activities	\$ _____
Cash Flows from Financing Activities	
Cash Received from Grants/Contributions	\$ _____
Cash Used for Principal Payments	\$ <u>55,400</u>
Other	\$ _____
Net Cash Flows from Financing Activities	\$ _____
Net Increase/(Decrease) in Cash	\$ <u>361,100</u>
Cash Balance at <u>12/31/24</u>	\$ <u>870,100</u>

This statement is published pursuant to the requirements of KRS 65.070.
Supporting documentation for this statement is located at:

Sharpsburg Water District		District Board Membership	
Designated Meeting Date, Time, & Place <u>2nd Wed. each month @ 7:00 pm @ water office</u>			
President/Chair Randy Warner		Term Expires (Mo/Day/Yr): 6/01/2026	
P. O. Box/Street 2717 Ratliff Road		First Full Term	
City: Sharpsburg		Second Full Term	
Zip Code: 40374		Third or more Full Term	X
Telephone:		Filling Unexpired Term	
Vice President:		Term Expires (Mo/Day/Yr):	
P. O. Box/Street		First Full Term	
City		Second Full Term	
Zip Code:		Third or more Full Term	
Telephone:		Filling Unexpired Term	
Secretary: Cecil Duncan		Term Expires (Mo/Day/Yr) 6/01/2026	
P. O. Box/Street 5521 Moorefield Road		First Full Term	
City: Carlisle		Second Full Term	
Zip Code: 40311		Third or more Full Term	X
Telephone:		Filling Unexpired Term	
Treasurer: Judy Harmon		Term Expires (Mo/Day/Yr): 2/13/2026	
P. O. Box/Street 1779 Little Flat Ledford Road		First Full Term	
City: Sharpsburg		Second Full Term	
Zip Code: Sharpsburg, KY 40374		Third or more Full Term	X
Telephone:		Filling Unexpired Term	
Member: Alfred Bailey		Term Expires (Mo/Day/Yr): 6/28/2025	
P. O. Box/Street 7518 West Tunnel Hill Road		First Full Term	
City Sharpsburg		Second Full Term	X
Zip Code: 40374		Third or more Full Term	
Telephone:		Filling Unexpired Term	

Member Billy Martin	Term Expires (Mo/Day/Yr) 6/28/2025
P. O. Box/Street P O Box 172	First Full Term
City: Sharpsburg	Second Full Term <input checked="" type="checkbox"/>
Zip Code: 40374	Third or more Full Term
Telephone	Filling Unexpired Term
Member:	Term Expires (Mo/Day/Yr):
P. O. Box/Street	First Full Term
City:	Second Full Term
Zip Code:	Third or more Full Term
Telephone:	Filling Unexpired Term
Member:	Term Expires (Mo/Day/Yr):
P. O. Box/Street	First Full Term
City:	Second Full Term
Zip Code:	Third or more Full Term
Telephone:	Filling Unexpired Term
Member:	Term Expires (Mo/Day/Yr):
P. O. Box/Street	First Full Term
City:	Second Full Term
Zip Code:	Third or more Full Term
Telephone:	Filling Unexpired Term
Member:	Term Expires (Mo/Day/Yr):
P. O. Box/Street	First Full Term
City:	Second Full Term
Zip Code:	Third or more Full Term
Telephone:	Filling Unexpired Term

This budget is true and accurate to the best of my knowledge and belief.

Signed Tally K. Wainwright

District Chief Financial Officer

(Date) 11-8-2023

Received by _____ County

(Signed) _____ County Fiscal Court Clerk

(Date) _____

Received by the Department for Local Government (date) _____

<p>District mailing address:</p> <p>(Street or P O Box) _____</p> <p>(City & zip code) _____</p>
--

es 8/13

RIGHT OF WAY EASEMENT

KNOW ALL MEN BY THESE PRESENTS:

That for and in consideration of the sum of one dollar (\$1.00), cash in hand paid, the receipt of which is hereby acknowledged, mutual covenants and other good and valuable consideration paid to the SHARPSBURG WATER DISTRICT, Sharpsburg, Kentucky 40374, GRANTOR and THE BATH COUNTY FISCAL COURT, by and through Bath County Judge Executive, Forrest McKenzie, of P.O. Box 39, Owingsville, Kentucky, 40360, GRANTEE, the GRANTOR has bargained and sold and, by these presents, does grant, bargain, transfer, and convey unto the said GRANTEE, its successor and assigns forever, a perpetual nonexclusive easement for a section or sections of the land belonging to the Grantors located in Bath County, Kentucky, said land being described as follows:

BEGINNING at an iron pin with a cap in the field of Lester Shrout, said iron pin being located N 35 deg. 09' 31" W, 247.3 feet from the intersection of the centerline of Kentucky route 36 and the centerline of Lester Shrout's farm entrance; thence S 78 deg. 00' 50" E, 100 feet to an iron pin with a cap, said iron pin being located N 3 deg. 47' 09" W, 31.7 feet from a fence corner post, corner with Nathan and Billy T. Manley (now or formerly); thence S 11 deg. 59' 10" W, 100 feet to an iron pin with a cap; thence N 78 deg. 00' 50" W, 100 feet to an iron pin with a cap; thence N 11 deg. 59' 10" E, 100 feet to the point of beginning and containing 0.23 acres. (10,000 sq. ft.)

TOGETHER WITH an easement and necessary rights of ingress and egress over the existing farm entrance driveway near the above tract and continuing across the adjacent lands of Douglas B. Wells, formerly Lester Shrout, so as to form a continuous easement or right of way from Route 36 to the said site for purposes of access for construction, use, maintenance and operation of a building to house radio equipment and said equipment.

BEING THE PROPERTY conveyed to Sharpsburg Water District by deed of conveyance from Lester Shrout, dated the 9th day of February 1984, and recorded in Deed Book 154, Page 475, Bath County Clerk's Office.

That consideration hereinabove recited shall constitute payment in full for this easement across the land of the Grantor, its successors and assigns. The Grantee covenants to maintain the property in good repair so that no unreasonable damage will result from its use to the land of the Grantor, its successors or assigns.

By the signatures below the parties further agree that:

2. The Grantee shall maintain liability insurance on the radio communication building and equipment and its accessories for any loss caused by the use or failure of the building and equipment.
3. GRANTEE shall also be entitled to install any utilities necessary for the operation of the radio communication equipment.
4. The Grantee is responsible for any damage to the Grantors property caused during the construction or maintenance of the radio communication equipment building or its accessories.
5. The easement and agreement shall terminate if the easement is not used for its intended purpose.

The grant and other provisions of this easement shall constitute a covenant running with the land for the benefit of the Grantee, its successors and assigns.

IN WITNESS WHEREOF, the Parties have executed this instrument, this 14th day of June, 2023.

GRANTOR:

SHARPSBURG WATER DISTRICT

Randy K. Warner
BY *Randy K. Warner*, CHAIRMAN

GRANTEE:

BATH COUNTY FISCAL COURT

Forrest McKenzie
BY **FORREST MCKENZIE**
BATH COUNTY JUDGE EXECUTIVE

STATE OF KENTUCKY)

(SCT.

COUNTY OF BATH)

I, the undersigned Notary Public, for the County and State aforesaid certify that the foregoing was, on this day produced before me in said County and State and was duly sworn to, signed, and acknowledged by _____, in his capacity as Chairman as the Bath County Water District, Grantor to be its voluntary act and deed on this the 14th day of

STATE OF KENTUCKY)
(SCT.
COUNTY OF BATH)

I, the undersigned Notary Public, for the County and State aforesaid certify that the foregoing was, on this day produced before me in said County and State and was duly sworn to, signed, and acknowledged by Forrest McKenzie, in his capacity as Bath County Judge Executive, Grantee to be his voluntary act and deed on this the 14th day of June, 2023.

My commission expires 06/08/2024.

Kelene Judd
NOTARY PUBLIC, STATE AT LARGE
ID# KYNP8464

29 JUN '23 PM 2:28

THIS INSTRUMENT PREPARED BY:

Kim Hunt Price

BATH COUNTY ATTORNEY

KIM HUNT PRICE

100 North Court Street

P.O. Box 1189

Owingsville, KY 40360

Phone: (606) 674-2454

Fax: (606) 674-2259

Book: 8

Pages: 73-75 (3)

Name: ES

Deed Tax: \$0.00

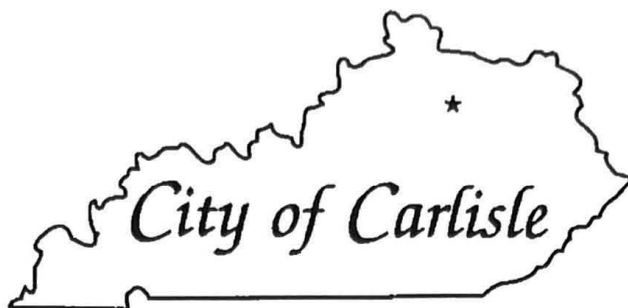
ROGER COYLE

BATH COUNTY

6/29/2023 2:35 PM



107 E. CHESTNUT ST.
CARLISLE, KENTUCKY 40311



RONNIE CLARK, MAYOR

PH. 859/289-3700
FAX: 859/289-7704

August 17, 2023

Mr. Cy Cleaver, Chairman
Nicholas County Water District
1639 Old Paris Pike
Carlisle, Kentucky 40311

Mr. Randy E. Warner, Chairman
Sharpsburg Water District
P.O. Box 248
Sharpsburg, Kentucky 40374

Also, via email: ncwd@bellsouth.net, gayleh12@windstream.net

Re: City of Carlisle to Nicholas County Water District and Sharpsburg
Water District, Finished Water Supply

Dear Chairman Cleaver and Chairman Warner:

The purpose of this letter is three-fold: to continue address the PSC's exhortation that we negotiate over both terms of delivery of finished water as well as a future rate increase to the eighty-seven (87%) percent factor found to be both justified and needed in PSC Case 2021-0382, to provide the "lost" Cost of Service Study mentioned in that case but which was unavailable to be produced in evidence, and finally to impose a "surcharge" for extraordinary costs necessitated by an interruption in the raw water supply to Carlisle from the Licking River.

Accordingly, enclosed is Ordinance 2023-2, given a first reading at the City Council meeting of 10 JUL 2023, and which will be enacted prior to the effective date of the new tariff, also provided. It is hoped this rate increase can be by agreement, as at our last rate case the evidence presented warranted such, as does the recently located Cost of Service Study from 2011. It cannot be argued that if

such rate increase was justified in 2011 that twelve (12) years later its required rate increase should be in question.

As far as going forward with this rate increase, Carlisle has simplified its next tariff into a cost per gallon for the first fifty thousand (50,000) gallons, and a cost per gallon for all over that baseline. This will retain the current scheme that decreases costs as volumes increase and also simplify the tariff. In calculating this rate as the PSC has authorized in its last Order, we simply reduced the old 2019 tariff to a price per thousand gallons for the first fifty thousand (50,000) gallons, \$109.95, or \$2.20 per thousand, increased it by one hundred eighty seven (187%) percent, to get \$4.11 per thousand for the first fifty thousand (50,000) gallons, or \$0.00411 per gallon.

All over the first fifty thousand (50,000) gallons was at \$1.52 per thousand, increased by one hundred eighty seven (187%) percent, to get \$2.84 per thousand for all over fifty thousand (50,000) gallons, or \$0.00284 per gallon.

The “surcharge” is a requirement of the Energy and Environment Cabinet, Division of Water, in our ongoing case DOW 21-3-0242, half of which is aimed at the lack of a back-up plan should the intake pump at the Licking River again fail. It is to be borne by all of the customers of Carlisle Water Treatment Plant, in direct proportion to the use of finished water over the duration of the emergency, as set out in the ordinance.

Again, we cannot understate the absolute necessity of the coordination of the drawing of finished water from the city towers by your districts, the wholesale customers. All the City can do in its operations to produce finished water is to so do until its towers are full, as further production has nowhere to go and will be wasted. This cannot be accomplished on a fixed schedule basis, as our city needs and your customers’ needs constitute a movable feast that has to be managed, based on weather, the number of livestock watering operations, the turbidity of the raw water being finished by Carlisle, and a number of other factors, including emergencies no one can forecast like floods and tornados.

The withdrawal of potable water by your districts has to be done continuously on the basis of not waiting until you are nearly out before you start to pump to fill your tanks. If you are filling your tanks at the same time Carlisle is continuing to produce there should be a time when all towers and storage facilities are full, and the city can then cease to produce. This cannot be a “nine-to-five” operation, and will require intense coordination, which by implication will require an intricate means of communication that does not now exist as well as the willingness to cooperate.

The City has completed the rehabilitation of its two (2) clarifying wells, which should cut both time and effort for backwashing the filters medium. We did not note any disruption in service to your customers and maintained an adequate supply for public safety purposes.

The recent and on-going construction of a water service line from the NCWD distribution facilities to the under construction industrial meat processing plant in rural western Nicholas County is of concern to the City of Carlisle, as NCWD continues to exceed by drastic amounts its contracted for supply of potable water from CWTP on an ongoing monthly basis. Its consumption of water in July 2023 exceeded seven million (7,000,000) gallons, a near one hundred (100%) percent over what is contractually obligated by the City of Carlisle. While we are aware the long-term supply of water to this new facility is to be by Kentucky American Water Company, no construction has begun by KAWC, and it seems inevitable that Carlisle will be expected to provide the water needs for the new plant in the immediate term after completion of its construction estimated now to be by the end of this year.

In connection with the potable water supply to the new plant, please be aware that the disinfectant chemicals used by City of Carlisle in supplying NCWD differ drastically with those used by KAWC, and any "switch" from one to the other will require a complete flushing of the plant and its water facilities before operations may resume.


Accordingly, please give us your immediate thoughts, either individually or on a coordinated basis, as the city has concluded there must be progress on these matters sooner than later. We would welcome a meeting of representatives of NCWD and S/BWD to address these concerns, or at a meeting of the Carlisle City Council, or in person between representatives prior to a public meeting. That is up to you, individually or collectively.

Accordingly, attached is the proposed tariff that will be included in an ordinance raising wholesale water rates to be read for the second time and enacted at the August meeting of the City of Carlisle Council. Absent your agreement it will be proposed to the PSC in accordance with its Order regarding another increase, likely in the current case pending, but the city is open to your thoughts on how better to reach the eighty-seven (87%) per cent increase factor called for in the Order.

The elected officials of the City of Carlisle have not taken this action lightly but given the City's recent financial situation, the necessity to seek an adjustment in its wholesale water rates, and in order to comply with the requirements of the PSC, and in the interim this course of action is what was decided to implement.

Please do not hesitate to contact me if you have any questions and thank you for your kind and prompt attention.

Sincerely,



Ronnie Clark, Mayor of Carlisle

HW/sma

Encl: Tariff, COS study, Ordinance

cc: City Council Members

Watson Law Firm, PLLC

Public Service Commission of Kentucky

Damon Talley, Esq., Stoll, Keenon Ogden, PLLC

Earl Rogers III, Esq., Campbell & Rogers

CWP Project Budget

Grant #: 21CWW010 _____

Project Title: Sharpsburg Water Tank Rehab Project _____

WRIS#: WX21011021 _____

Project Budget: Estimated enter date

As Bid enter date

Revised enter date

Cost Classification		KIA GRANT	Funding Source 1	Funding Source 2	Funding Source 3	Funding Source 4	Funding Source 5	Local Funds	Unfunded Costs	Total
1	Administrative Expenses	1148								
2	Legal Expenses	500								
3	Land, Appraisals, Easements									
4	Relocation Expenses & Payments									
5	Planning	3000								
6	Engineering Fees – Design	4651								
7	Engineering Fees – Construction									
8	Engineering Fees – Inspection									
9	Engineering Fees – Other									
10	Construction	66975								
11	Equipment									
12	Miscellaneous									
13	Contingencies	7890								
	Total	\$84,164	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$84,164

Funding Sources		Amount	Date Committed
1	21CWW010	\$76,513	03/17/20
2			
3			
4			
5			
	Total	\$76,513	

Local Funding Sources		Amount	Date Committed
1			
2			
3			
	Total	\$0	

Total Funding \$76,513

Cost Categories	Funding Source	Total Cost
Treatment (DW)		
Transmission and Distribution (DW)		
Transmission and Distribution - Lead Remediation (DW)		
Source (DW)		
Storage (DW)	21CWW010	\$76,513
WWTP Secondary Portion (CW)		
WWTP Advanced Portion (CW)		
Inflow and Infiltration Correction (CW)		
Major Sewer Rehabilitation (CW)		
Collector Sewers (CW)		
Combined Sewer Overflow Correction (CW)		
Interceptor Sewers Including Pump Station (CW)		
Purchase of Systems (DW and CW)		
Restructuring (DW and CW)		
Land Acquisition (DW and CW)		
Total Costs		\$76,513



Andy Beshear
GOVERNOR

ENERGY AND ENVIRONMENT CABINET
DEPARTMENT FOR ENVIRONMENTAL PROTECTION

MOREHEAD REGIONAL OFFICE
525 HECKS PLAZA DRIVE
MOREHEAD, KY, 40351

Rebecca W. Goodman
SECRETARY

Anthony R. Hatton
COMMISSIONER

September 29, 2023

Sharpsburg Water District
Attn: Gayle Hancy
P.O. Box 248
Sharpsburg, KY 40374

RE: Sharpsburg Water District -- 33782
Permit No.: KY0060392
Bath County, Kentucky
Activity ID: CIN20230002

Dear Gayle Hancy:

Attached for your information and records is a copy of the Drinking Water Routine Compliance Inspection for the Purchaser performed at Sharpsburg Water District on September 12, 2023.

If you have any questions or comments concerning this inspection, please contact the Morehead Regional Office at: (606) 783-8655 or email Ashley.Bowen@ky.gov.

Sincerely,

 Recoverable Signature

Ashley Bowen

Ashley Bowen
Environmental Scientist Advisor
Morehead Regional Office
Division of Water

AB
Enclosure:

Inspector:

Ashley Bower

Date: September 29, 2023

Received By: _____ **Title:** _____ **Date:** _____

Delivery Method: Email



CAMPBELL ROGERS & STACY PLLC
ATTORNEYS at LAW

14 September 2023

City of Carlisle
Attn: Ronnie Clark, Mayor
107 E. Chestnut St.
Carlisle, KY 40311
FAX: 859-289-7704

Re: Water Rate Increase

Dear Mayor:

I am responding to your letter of August 17th on behalf of Sharpsburg Water District. Your letter makes reference to certain documents and indicates that they are enclosed. They were not. Can you please provide the proposed tariff, the 2011 Cost of Service Study, and the July 10th Ordinance.

Also, would you please provide the City's profit and loss statement and/or audits relative to the water system for the last three years. Additionally, your letter references a "surcharge." We would ask for a copy of the document you referenced as directing the surcharge from Division of Water, and any calculations you used to determine the amount of the surcharge. To expedite matters you could email the documents to me a earl@campbellrogers.com.

Sharpsburg water understands the situation, but also must conduct its due diligence to ensure its customers are treated fairly. The above information will help the District to review your proposed rates.

Sincerely,

A handwritten signature in blue ink, appearing to be 'ER' with a flourish.

Earl Rogers III
Attorney at Law

c: file



**SHARPSBURG WATER DISTRICT
PROPOSAL FOR ENGINEERING SERVICES**

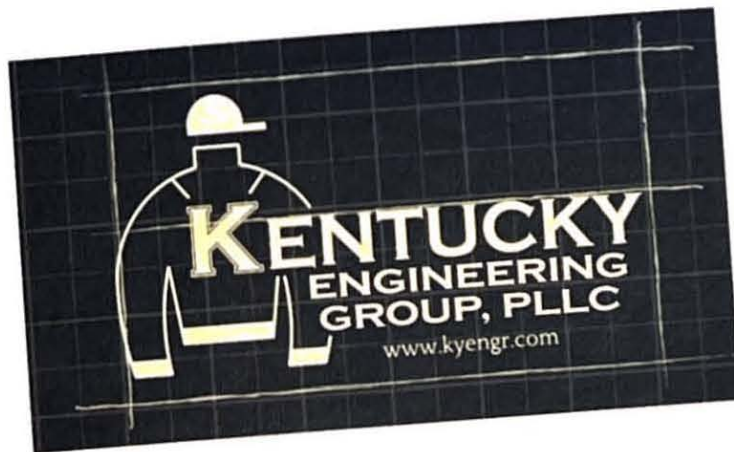
Sharpsburg Water District
Water Tank Rehab Project
October 20, 2023
10:00 am

222 East Main Street, Suite 1 • Georgetown, KY 40324



Statement of Qualifications
for
Engineering Services
for the
SHARPSBURG WATER DISTRICT
Sharpsburg, Kentucky

for the
Water Storage Tank Rehab Project



October 20, 2023

Sharpsburg Water District
Request for Proposals – Water Storage Tank Rehab Project
Scoring Sheet
Bluegrass Engineering PLLC

Name of Firm (Print)

SELECTION RATING SYSTEM

- | | |
|---|----------------------------|
| 1. <u>Project Engineer's Experience & Qualifications</u> | Points: <u>15</u> (Max 20) |
| A. >5 years experience with federal/state programs | 20 Points |
| B. >3 years experience with federal/state programs | 15 Points |
| C. <3 years experience with federal/state programs | 10 Points |
| D. No experience with federal/state programs | 0 Points |
| 2. <u>Project Personnel & Workload</u> | Points: <u>10</u> (Max 10) |
| A. Thoroughly sufficient personnel and workload capacities | 10 Points |
| B. Somewhat sufficient personnel and workload capacities | 5 Points |
| C. Firm has insufficient personnel and workload capacities | 0 Points |
| 3. <u>Firm's Project Completion & Performance</u> | Points: <u>10</u> (Max 20) |
| A. >5 completed similar projects, on time/within budget | 20 Points |
| B. >3 completed similar projects, on time/within budget | 10 Points |
| C. 0 completed similar projects, on time/within budget | 0 Points |
| 4. <u>References from Similar Projects</u> | Points: <u>10</u> (Max 20) |
| A. 3+ previous clients with similar projects and positive reference | 20 Points |
| B. 2 previous clients with similar projects and positive reference | 15 Points |
| C. 1 previous client with similar projects and positive reference | 10 Points |
| D. No previous references | 0 Points |
| 5. <u>Firm's Familiarity with Community & Project Needs</u> | Points: <u>20</u> (Max 20) |
| A. Thoroughly familiar with community and project needs | 20 Points |
| B. Somewhat familiar with community and project needs | 10 Points |
| C. Firm is unfamiliar with community and project needs | 0 Points |
| 6. <u>Minority, Female-Owned, & Small Business Firms</u> | Points: <u>10</u> (Max 10) |
| A. Firm is minority or female-owned | + 5 Points |
| B. Firms is a small business | + 5 Points |

MAXIMUM TOTAL POINTS

Points 75 (Max 100)

Signature



**Sharpsburg Water District
Request for Proposals – Water Storage Tank Rehab Project
Scoring Sheet**

Bluegrass Engineering PLLC

Name of Firm (Print)

SELECTION RATING SYSTEM

- | | |
|---|------------------------|
| 1. <u>Project Engineer's Experience & Qualifications</u> | Points: _____ (Max 20) |
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| A. Thoroughly familiar with community and project needs | 20 Points |
| B. Somewhat familiar with community and project needs | 10 Points |
| C. Firm is unfamiliar with community and project needs | 0 Points |
| 6. <u>Minority, Female-Owned, & Small Business Firms</u> | Points: _____ (Max 10) |
| A. Firm is minority or female-owned | + 5 Points |
| B. Firms is a small business | + 5 Points |

MAXIMUM TOTAL POINTS

Points 60 (Max 100)

Judy Karm
Signature

**Sharpsburg Water District
Request for Proposals – Water Storage Tank Rehab Project
Scoring Sheet**

Bluegrass Engineering PLLC

Name of Firm (Print)

SELECTION RATING SYSTEM

- | | |
|---|------------------------|
| 1. <u>Project Engineer's Experience & Qualifications</u> | Points: _____ (Max 20) |
| A. >5 years experience with federal/state programs | 20 Points |
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| C. <3 years experience with federal/state programs | 10 Points |
| D. No experience with federal/state programs | 0 Points |
| 2. <u>Project Personnel & Workload</u> | Points: _____ (Max 10) |
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| C. Firm has insufficient personnel and workload capacities | 0 Points |
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| B. >3 completed similar projects, on time/within budget | 10 Points |
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| B. 2 previous clients with similar projects and positive reference | 15 Points |
| C. 1 previous client with similar projects and positive reference | 10 Points |
| D. No previous references | 0 Points |
| 5. <u>Firm's Familiarity with Community & Project Needs</u> | Points: _____ (Max 20) |
| A. Thoroughly familiar with community and project needs | 20 Points |
| B. Somewhat familiar with community and project needs | 10 Points |
| C. Firm is unfamiliar with community and project needs | 0 Points |
| 6. <u>Minority, Female-Owned, & Small Business Firms</u> | Points: _____ (Max 10) |
| A. Firm is minority or female-owned | 5 Points |
| B. Firm is a small business | 5 Points |

MAXIMUM TOTAL POINTS

Points 50 (Max 100)

Billy Martin
Signature

**Sharpsburg Water District
Request for Proposals – Water Storage Tank Rehab Project
Scoring Sheet**

Bluegrass Engineering PLLC

Name of Firm (Print)

SELECTION RATING SYSTEM

- | | |
|---|---|
| <p>1. <u>Project Engineer's Experience & Qualifications</u></p> <p>A. >5 years experience with federal/state programs
B. >3 years experience with federal/state programs
C. <3 years experience with federal/state programs
D. No experience with federal/state programs</p> | <p>Points: <u>15</u> (Max 20)</p> <p>20 Points
15 Points
10 Points
0 Points</p> |
| <p>2. <u>Project Personnel & Workload</u></p> <p>A. Thoroughly sufficient personnel and workload capacities
B. Somewhat sufficient personnel and workload capacities
C. Firm has insufficient personnel and workload capacities</p> | <p>Points: <u>10</u> (Max 10)</p> <p>10 Points
5 Points
0 Points</p> |
| <p>3. <u>Firm's Project Completion & Performance</u></p> <p>A. >5 completed similar projects, on time/within budget
B. >3 completed similar projects, on time/within budget
C. 0 completed similar projects, on time/within budget</p> | <p>Points: <u>10</u> (Max 20)</p> <p>20 Points
10 Points
0 Points</p> |
| <p>4. <u>References from Similar Projects</u></p> <p>A. 3+ previous clients with similar projects and positive reference
B. 2 previous clients with similar projects and positive reference
C. 1 previous client with similar projects and positive reference
D. No previous references</p> | <p>Points: <u>20</u> (Max 20)</p> <p>20 Points
15 Points
10 Points
0 Points</p> |
| <p>5. <u>Firm's Familiarity with Community & Project Needs</u></p> <p>A. Thoroughly familiar with community and project needs
B. Somewhat familiar with community and project needs
C. Firm is unfamiliar with community and project needs</p> | <p>Points: <u>10</u> (Max 20)</p> <p>20 Points
10 Points
0 Points</p> |
| <p>6. <u>Minority, Female-Owned, & Small Business Firms</u></p> <p>A. Firm is minority or female-owned
B. Firms is a small business</p> | <p>Points: <u>5</u> (Max 10)</p> <p>+ 5 Points
+ 5 Points</p> |

MAXIMUM TOTAL POINTS

Points: 70 (Max 100)



Signature

Sharpsburg Water District
Request for Proposals – Water Storage Tank Rehab Project
Scoring Sheet
Kentucky Engineering Group PLLC

Name of Firm (Print)

SELECTION RATING SYSTEM

- | | |
|---|------------------------|
| 1. <u>Project Engineer's Experience & Qualifications</u> | Points: _____ (Max 20) |
| A. >5 years experience with federal/state programs | 20 Points |
| B. >3 years experience with federal/state programs | 15 Points |
| C. <3 years experience with federal/state programs | (10) Points |
| D. No experience with federal/state programs | 0 Points |
| 2. <u>Project Personnel & Workload</u> | Points: _____ (Max 10) |
| A. Thoroughly sufficient personnel and workload capacities | (10) Points |
| B. Somewhat sufficient personnel and workload capacities | 5 Points |
| C. Firm has insufficient personnel and workload capacities | 0 Points |
| 3. <u>Firm's Project Completion & Performance</u> | Points: _____ (Max 20) |
| A. >5 completed similar projects, on time/within budget | 20 Points |
| B. >3 completed similar projects , on time/within budget | (10) Points |
| C. 0 completed similar projects, on time/within budget | 0 Points |
| 4. <u>References from Similar Projects</u> | Points: _____ (Max 20) |
| A. 3+ previous clients with similar projects and positive reference | 20 Points |
| B. 2 previous clients with similar projects and positive reference | (15) Points |
| C. 1 previous client with similar projects and positive reference | 10 Points |
| D. No previous references | 0 Points |
| 5. <u>Firm's Familiarity with Community & Project Needs</u> | Points: _____ (Max 20) |
| A. Thoroughly familiar with community and project needs | (20) Points |
| B. Somewhat familiar with community and project needs | 10 Points |
| C. Firm is unfamiliar with community and project needs | 0 Points |
| 6. <u>Minority, Female-Owned, & Small Business Firms</u> | Points: _____ (Max 10) |
| A. Firm is minority or female-owned | + 5 Points |
| B. Firms is a small business | (5) Points |

MAXIMUM TOTAL POINTS

Points 70 (Max 100)

Billy Martin
Signature

Sharpsburg Water District
Request for Proposals – Water Storage Tank Rehab Project
Scoring Sheet
Kentucky Engineering Group PLLC

Name of Firm (Print)

SELECTION RATING SYSTEM

1. Project Engineer's Experience & Qualifications Points: 20 (Max 20)
- A. >5 years experience with federal/state programs 20 Points
 - B. >3 years experience with federal/state programs 15 Points
 - C. <3 years experience with federal/state programs 10 Points
 - D. No experience with federal/state programs 0 Points
2. Project Personnel & Workload Points: 10 (Max 10)
- A. Thoroughly sufficient personnel and workload capacities 10 Points
 - B. Somewhat sufficient personnel and workload capacities 5 Points
 - C. Firm has insufficient personnel and workload capacities 0 Points
3. Firm's Project Completion & Performance Points: 20 (Max 20)
- A. >5 completed similar projects, on time/within budget 20 Points
 - B. >3 completed similar projects, on time/within budget 10 Points
 - C. 0 completed similar projects, on time/within budget 0 Points
4. References from Similar Projects Points: 20 (Max 20)
- A. 3+ previous clients with similar projects and positive reference 20 Points
 - B. 2 previous clients with similar projects and positive reference 15 Points
 - C. 1 previous client with similar projects and positive reference 10 Points
 - D. No previous references 0 Points
5. Firm's Familiarity with Community & Project Needs Points: 20 (Max 20)
- A. Thoroughly familiar with community and project needs 20 Points
 - B. Somewhat familiar with community and project needs 10 Points
 - C. Firm is unfamiliar with community and project needs 0 Points
6. Minority, Female-Owned, & Small Business Firms Points: 5 (Max 10)
- A. Firm is minority or female-owned + 5 Points
 - B. Firm is a small business + 5 Points

MAXIMUM TOTAL POINTS

Points 95 (Max 100)

Curt D.
Signature

**Sharpsburg Water District
Request for Proposals – Water Storage Tank Rehab Project
Scoring Sheet**

Kentucky Engineering Group PLLC

Name of Firm (Print)

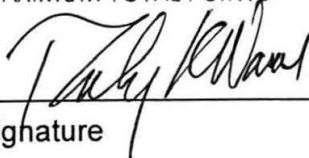
SELECTION RATING SYSTEM

- | | |
|---|----------------------------|
| 1. <u>Project Engineer's Experience & Qualifications</u> | Points: <u>20</u> (Max 20) |
| A. >5 years experience with federal/state programs | 20 Points |
| B. >3 years experience with federal/state programs | 15 Points |
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| B. Somewhat familiar with community and project needs | 10 Points |
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| A. Firm is minority or female-owned | + 5 Points |
| B. Firm is a small business | + 5 Points |

MAXIMUM TOTAL POINTS

Points: 95 (Max 100)

Signature



Sharpsburg Water District
Request for Proposals – Water Storage Tank Rehab Project
Scoring Sheet
Kentucky Engineering Group PLLC

Name of Firm (Print)

SELECTION RATING SYSTEM

- | | |
|---|----------------------------|
| 1. <u>Project Engineer's Experience & Qualifications</u> | Points: <u>20</u> (Max 20) |
| A. >5 years experience with federal/state programs | 20 Points |
| B. >3 years experience with federal/state programs | 15 Points |
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| 2. <u>Project Personnel & Workload</u> | Points: <u>10</u> (Max 10) |
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| D. No previous references | 0 Points |
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| C. Firm is unfamiliar with community and project needs | 0 Points |
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| A. Firm is minority or female-owned | + 5 Points |
| B. Firms is a small business | + 5 Points |

MAXIMUM TOTAL POINTS

Points 85 (Max 100)


Signature

Sharpsburg Water District
Request for Proposals – Water Storage Tank Rehab Project
Scoring Sheet
Kentucky Engineering Group PLLC

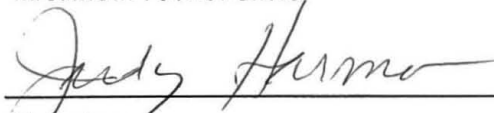
Name of Firm (Print)

SELECTION RATING SYSTEM

1. Project Engineer's Experience & Qualifications Points: _____ (Max 20)
- A. >5 years experience with federal/state programs 20 Points
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MAXIMUM TOTAL POINTS

Points 85 (Max 100)


Signature

**Sharpsburg Water District
Request for Proposals – Water Storage Tank Rehab Project
Scoring Sheet**

Bluegrass Engineering PLLC

Name of Firm (Print)

SELECTION RATING SYSTEM

- | | |
|--|---|
| <p>1. <u>Project Engineer's Experience & Qualifications</u></p> <p>A. >5 years experience with federal/state programs
B. >3 years experience with federal/state programs
<input checked="" type="radio"/> C. <3 years experience with federal/state programs
D. No experience with federal/state programs</p> | <p>Points: <u>10</u> (Max 20)</p> <p>20 Points
15 Points
10 Points
0 Points</p> |
| <p>2. <u>Project Personnel & Workload</u></p> <p><input checked="" type="radio"/> A. Thoroughly sufficient personnel and workload capacities
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C. Firm has insufficient personnel and workload capacities</p> | <p>Points: <u>10</u> (Max 10)</p> <p>10 Points
5 Points
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0 Points</p> |
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15 Points
10 Points
0 Points</p> |
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0 Points</p> |
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B. Firms is a small business</p> | <p>Points: <u>5</u> (Max 10)</p> <p>+ 5 Points
+ 5 Points</p> |

MAXIMUM TOTAL POINTS

Points 75 (Max 100)


Signature

**The Kentucky Open Records
& Open Meetings Acts:**

A guide for the public and public agencies

Office of the Attorney General
Daniel Cameron, Attorney General



September 2023



COMMONWEALTH OF KENTUCKY
OFFICE OF THE ATTORNEY GENERAL

DANIEL CAMERON
ATTORNEY GENERAL

CAPITOL BUILDING, SUITE 118
700 CAPITAL AVENUE
FRANKFORT, KENTUCKY 40601
(502) 696-5300
FAX: (502) 564-2894

CERTIFICATE OF RECEIPT OR DISTRIBUTION

(Keep one completed form on the agency's premises and return one copy to the Attorney General)

In conformity with KRS 15.257, the Office of the Attorney General distributes two publications titled "The Kentucky Open Records & Open Meetings Acts: A guide for the public and public agencies" and "Managing Government Records: A Cooperative Undertaking." Under Kentucky law, the following officials must distribute these publications to certain individuals within sixty (60) days of receipt or within sixty days of the day newly elected or appointed officials or members take office:

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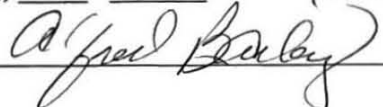
I certify that I have received or distributed "The Kentucky Open Records & Open Meetings Acts: A guide for the public and public agencies" and "Managing Public Records" as required under Kentucky law.

Name: Alfred Bailey Title: Commissioner

Name of Public Agency: Sharpsburg Water District

Agency Address: 16 East Mill Street, PO Box 248, Sharpsburg, KY 40374

Phone: (606) 210 - 1141 E-mail: gayleh12@windstream.net

Signature:  Date: 12/13/2023



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I certify that I have received or distributed "The Kentucky Open Records & Open Meetings Acts: A guide for the public and public agencies" and "Managing Public Records" as required under Kentucky law.

Name: Billy Martin Title: Commissioner

Name of Public Agency: Sharpsburg Water District

Agency Address: 16 East Mill Street, PO Box 248, Sharpsburg, KY 40374

Phone: (606) 209 - 2668 E-mail: gayleh12@windstream.net

Signature: *Billy Martin* Date: 12/13/2023



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I certify that I have received or distributed "The Kentucky Open Records & Open Meetings Acts: A guide for the public and public agencies" and "Managing Public Records" as required under Kentucky law.

Name: Cecil Duncan Title: Secretary

Name of Public Agency: Sharpsburg Water District

Agency Address: 16 East Mill Street, PO Box 248, Sharpsburg, KY 40374

Phone: (859) 749 - 7245 E-mail: gayleh12@windstream.net

Signature: Cecil Duncan Date: 12/13/2023



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I certify that I have received or distributed "The Kentucky Open Records & Open Meetings Acts: A guide for the public and public agencies" and "Managing Public Records" as required under Kentucky law.

Name: Judy Harmon Title: Treasurer

Name of Public Agency: Sharpsburg Water District

Agency Address: 16 East Mill Street, PO Box 248, Sharpsburg, KY 40374

Phone: (606) 247 - 3489 E-mail: gayleh12@windstream.net

Signature: Judy Harmon Date: 12/13/2023



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I certify that I have received or distributed "The Kentucky Open Records & Open Meetings Acts: A guide for the public and public agencies" and "Managing Public Records" as required under Kentucky law.

Name: Randy Warner Title: Chairman

Name of Public Agency: Sharpsburg Water District

Agency Address: 16 East Mill Street, PO Box 248, Sharpsburg, KY 40374

Phone: (859) 771 - 5280 E-mail: gayleh12@windstream.net

Signature:  Date: 12/13/2023

COMMONWEALTH OF KENTUCKY
BEFORE THE PUBLIC SERVICE COMMISSION

In the Matter of:

ELECTRONIC ALLEGED FAILURE OF)	
SHARPSBURG WATER DISTRICT AND ITS)	
OFFICERS, ALFRED BAILEY, CECIL DUNCAN,)	CASE NO.
JUDY HARMON, RANDY WARNER, BILLY)	2023-00125
MARTIN AND ITS MANAGER, GAYLE HANEY, TO)	
COMPLY WITH A COMMISSION ORDER)	

ORDER

The Commission, on its own motion, establishes this proceeding, pursuant to KRS 278.250, KRS 278.260, KRS 278.280, and KRS 278.390, to investigate Sharpsburg Water District (Sharpsburg District) and its individual officers, Alfred Bailey, Cecil Duncan, Judy Harmon, Randy Warner, Billy Martin, and its Manager, Gayle Haney, for allegedly failing to comply with the Commission's May 27, 2021 Order in Case No. 2021-00189¹ and the September 13, 2022 Order entered in Case No. 2022-00273.² If the Commission finds that the parties willfully failed to comply with a Commission Order, pursuant to KRS 278.990, each party may be subject to the assessment of a civil penalty up to \$2,500 per person per occurrence. Additionally, upon a finding that the parties willfully failed to comply with a Commission Order, Alfred Bailey, Cecil Duncan, Judy Harmon, Randy Warner, and Billy Martin may be removed from office pursuant to KRS 74.025.

¹ Case No. 2021-00189, *Electronic Purchased Water Adjustment Filing of Sharpsburg Water District* (Ky. PSC May. 27, 2021), Order, at 5, ordering paragraph 8.

² Case No. 2022-00273, *Electronic Purchased Water Adjustment Filing of Sharpsburg Water District* (Ky. PSC Sep. 13, 2022), Order, at 6, ordering paragraph 5.

LEGAL STANDARD

Under KRS 278.250 and KRS 278.260, the Commission is authorized to investigate and examine the condition of any utility subject to its jurisdiction, including any practice or act relating to the utility service. Under KRS 278.280, if the Commission finds that any practice or act is unjust, unreasonable, unsafe, improper, inadequate, or insufficient, then the Commission has the authority to determine the just, reasonable, safe, proper, adequate, or sufficient practice or method to be observed.

KRS 278.015 provides that a water district created under the provisions of KRS 74.420–.520 is a utility subject to the Commission's jurisdiction.

KRS 278.390 provides that an Order entered by the Commission continues in force until the expiration of the time, if any, named by the Commission in the order, or until revoked or modified by the Commission, unless the order is suspended, or vacated in whole or in part, by order or decree of a court of competent jurisdiction.

KRS 74.070 states that all corporate powers of a water district shall be exercised under the authority of its commission.

KRS 74.025 provides the Commission with the authority to remove a water district commissioner from office for good cause, which includes failure to comply with a Commission Order, rules, and regulations; or incompetency, neglect of duty, gross immorality, or nonfeasance, misfeasance, or malfeasance in office.

KRS 278.990 provides that, upon the Commission's finding of a willful failure to comply with a Commission Order, or any provision of KRS Chapter 278 or Commission regulations, a utility and its officers, agents, or employees may be assessed a civil penalty not to exceed \$2,500 per person per occurrence.

DISCUSSION

Sharpsburg District is a water district organized in 1961, pursuant to KRS Chapter 74,³ and is subject to the Commission's jurisdiction. Sharpsburg District provides retail water service for Bath and Nicholas counties, Kentucky.⁴

Currently, serving as commissioners are: Alfred Bailey, Cecil Duncan, Billy Martin, Roger Wills and Chairman, Randy Warner.⁵

In the May 27, 2021 Order issued in Case No. 2021-00189, the Commission directed Sharpsburg District to file an application for a traditional adjustment in rates or an alternative rate adjustment within one year of the date of that Order. In the September 13, 2022 Order in Case No. 2022-00273, the Commission directed Sharpsburg District to file, as soon as possible, an application for a general rate adjustment pursuant to 807 KAR 5:001, Section 16, or an application for an alternative rate adjustment pursuant to 807 KAR 5:076, or file a motion with a detailed analysis of its rates and revenues explaining the reasons why no modifications are necessary.

On April 20, 2022, and May 5, 2022,⁶ Sharpsburg District filed a motion in Case No. 2021-00189 for an extension of time to permit it up to six months to file the application for a rate adjustment. As a basis for the request, Sharpsburg District stated that it would rely on its 2021 audit report for the application, but the audit was not yet completed. Sharpsburg District further stated that it contacted the Kentucky Rural Water Association

³ *Annual Report of Sharpsburg Water District to the Public Service Commission for the Year Ended December 31, 2021* (2021 Annual Report) at 9.

⁴ 2021 Annual Report at 12.

⁵ 2021 Annual Report at 15.

⁶ The May 5, 2022 motion duplicated the April 20, 2022 motion.

(KRWA) on April 11, 2022, for assistance and that KRWA would require an additional six months.⁷ In an Order issued April 26, 2021, the Commission rejected the extension to file because Sharpsburg District should have begun preparing its application sooner than six weeks prior to the deadline and noted that Commission regulations require an ARF application to be based upon financial data in the utility's annual report and not on an audit.⁸ The Commission directed Sharpsburg District to file an application as soon as possible.⁹ On October 28, 2022, Sharpsburg District filed an ARF application.¹⁰

Based upon the above, and being otherwise sufficiently advised, the Commission finds that *prima facie* evidence exists that Sharpsburg District, Alfred Bailey, Cecil Duncan, Judy Harmon, Billy Martin, Randy Warner, and Gayle Haney failed to comply with the Commission's March 10, 2020 Order in Case No. 2021-00189. Upon a finding that the named parties willfully failed to comply with a Commission Order, pursuant to KRS 278.990 each party may be subject to the assessment of a civil penalty up to \$2,500 per person per occurrence. Additionally, upon a finding that the parties willfully failed to comply with a Commission Order, Alfred Bailey, Cecil Duncan, Judy Harmon, Billy Martin, and Randy Warner may be removed from office pursuant to KRS 74.025.

The Commission further finds that a public hearing should be held on the merits of the allegations set forth in this Order. The hearing will be established by separate Order.

⁷ Case No. 2021-00189, Motion for Extension of Time to file an Application (filed Apr. 20, 2022) and (filed May 5, 2022).

⁸ Case No. 2021-00189, Order (Ky. PSC June 3, 2022) at ordering paragraph 1.

⁹ Case No. 2021-00189, June 3, 2022 Order at ordering paragraph 2.

¹⁰ Case No. 2022-00348, *Electronic Application of Sharpsburg Water District for a Rate Adjustment Pursuant 807 KAR 5:076* (filed Oct. 28, 2022).

IT IS THEREFORE ORDERED that:

1. Sharpsburg District; Alfred Bailey, Cecil Duncan, Judy Harmon, Billy Martin, Randy Warner, and Gayle Haney shall submit individual written responses to the allegations contained in this Order within 20 days of the date of service of this Order, including but not limited to any, and all written testimony or documentation that would dispute the allegations.

2. Counsel for the parties shall enter an appearance or appearances within 20 days of the date of service of this Order.

3. The Commission directs Sharpsburg District, Alfred Bailey, Cecil Duncan, Judy Harmon, Billy Martin, Randy Warner, and Gayle Haney to the Commission's July 22, 2021 Order in Case No. 2020-00085¹¹ regarding filings with the Commission. Electronic documents shall be in portable document format (PDF), shall be searchable, and shall be appropriately bookmarked.

4. The record of Commission Case No. 2021-00189 is incorporated by reference into this proceeding.

5. Bath County Judge Executive Forrest McKenzie shall be served with a copy of this Order at P.O. Box 39, Owingsville, Kentucky 40360.

6. Nicholas County Judge Executive Steve Hamilton, shall be served with a copy of this Order at 125 East Main Street, Carlisle, Kentucky 40311.

¹¹ Case No. 2020-00085, *Electronic Emergency Docket Related to the Novel Coronavirus COVID-19* (Ky. PSC July 22, 2021), Order (in which the Commission ordered that for case filings made on and after March 16, 2020, filers are NOT required to file the original physical copies of the filings required by 807 KAR 5:001, Section 8).

7. Alfred Bailey, Cecil Duncan, Judy Harmon, Billy Martin, Randy Warner, and Gayle Haney, respectively, shall each be served with a copy of this Order by certified mail, return receipt requested, at 16 East Mill Street, Sharpsburg, Kentucky 40374.

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PUBLIC SERVICE COMMISSION



Chairman



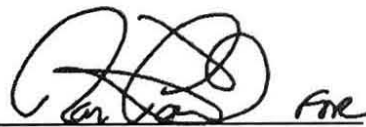
Vice Chairman



Commissioner

ENTERED
JUN 07 2023 bsb
KENTUCKY PUBLIC
SERVICE COMMISSION

ATTEST:


_____ *Fre*
Executive Director

*Sharpsburg Water District
16 East Mill Street
P. O. Box 248
Sharpsburg, KY 40374

*Sharpsburg Water District
Sharpsburg Water District
16 East Mill Street
P. O. Box 248
Sharpsburg, KY 40374

Andy Beshear
Governor

Rebecca W. Goodman
Secretary
Energy and Environment Cabinet



Commonwealth of Kentucky
Public Service Commission
211 Sower Blvd.
P.O. Box 615
Frankfort, Kentucky 40602-0615
Telephone (502) 564-3940
psc.ky.gov

Kent A. Chandler
Chairman

Angie Halton
Vice Chairman

Mary Pat Regan
Commissioner

October 6th, 2023

Gayle Haney
Sharpsburg Water District
PO Box 248
Sharpsburg, KY 40374

Re: Periodic Water Inspection
Sharpsburg water District
Bath County KY

Dear Gayle Haney:

Public Service Commission staff performed a periodic inspection of the Sharpsburg water District system on September 20th, 2023, reviewing utility operations and management practices pursuant to Commission regulations. The report of this inspection is enclosed with this letter.

Based on the inspector's observation, Five deficiencies was noted at time of inspection.

1. Utility is failing to operate its facilities so as to provide adequate and safe service to its customers as required by 807 KAR 5:066 Section 7, due to water loss exceeding 15%
2. Utility is not charging customers meter testing charges in line with their filed tariff
3. Utility is not obtaining regular fire department usage reports
4. Utility has customers with one inch and smaller meters that have been in service for 10 years without being tested as required in 80 KAR 5:066 Section 16(1)
5. Utility is not instructing their employees who in the course of their work, are subject to the hazard of electrical shock, asphyxiation, or drowning, in accepted methods of artificial respiration. (CPR Expired)

According to Sharpsburg Water District's annual report, unaccounted-for water loss equaled approximately 16.52% of the districts total water purchased. The district purchased approximately \$5,965.83 of water that cannot be recovered for rate making purposes.

For the deficiencies listed above, an explanation of why these deficiencies occurred and how they will be remedied and prevented in the future needs to be provided. A letter

October 3, 2023

Page 2

addressing the organization's actions regarding the deficiencies shall be submitted by November 13th, 2023.

Please review the enclosed inspection report in its entirety as you will find further information noted in regard to the inspection. If you have any questions regarding this inspection, feel free to contact Taylor Stamper at 502-782-2522 or via email at Taylor.Stamper@ky.gov.

Sincerely,



Michael C. Nantz
Director, Division of Inspections
Kentucky Public Service Commission

Enclosure(s):
Forrest McKenzie- County Judge/Executive

Periodic Inspection Report Summary

Utility: Sharpsburg Water District

Utility location: Bath County

Investigator: Taylor Stamper

Date(s) of inspection: 9/20/2023

Date(s) of last inspection: 12/1/2020 (Roy Gray)

Deficiencies noted during last inspection:

1. Sharpsburg Water District is failing to operate its facilities so as to provide adequate and safe service to its customers as required by 807 KAR 5:066, Section 7, due to water loss exceeding 15 percent. (2019-20.9334%)
2. Sharpsburg Water District does not have written inspection records as required by 807 KAR 5:006, Section 26(6)(b). (Valves)

Have deficiencies been corrected since last inspection: Yes No N/A

Primary utility representative(s) involved with inspection:

Name: Gayle Haney

Title: Manager

Who with the utility should receive the inspection report cover letter from the commission?

Name: Gayle Haney

Title: Manager

Mailing address: PO Box 248, Sharpsburg, 40374

Current Commissioners and term exp.

Name: Randy Warner 6/1/2026

Name: Cecil Duncan 6/01/2026

Name: Judy Harmon 2/13/2026

Name: Alfred Bailey 6/28/2025

Name: Billy Martin 6/28/2025

General Questions

Distribution Facility

Source Water: Bath County, City of Carlisle

Area of Operation: Bath county, Nicholas County

Miles of Water Line: 200

Avg. Amount Purchased: 8,500,000 Monthly

Water sold at wholesale rate to other water systems: N/A

Emergency Connections: N/A

Utility Information

Number of Employees: 7

Number of Office Employees: 2

Number of Certified Water Treatment Employees: 0

Number of Certified Distribution Employees: 2

Number of Certified Meter Testers: 0

Utility Chairperson/President: Randy Warner

Address: 2717 Ratliff Road

Metering System:

Number of Customers: 1562

Meter Reading:

AMR

AMI

Other

Manual

Type of meter used for customers: _____ Badger

Total Storage Capacity: 319,000

Total Daily Consumption: 300,000

Deficiency(ies)

Utility is failing to operate its facilities so as to provide adequate and safe service to its customers as required by 807 KAR 5:066 Section 7, due to water loss exceeding 15%

Utility is not charging customers meter testing charges in line with their filed tariff

Utility is not obtaining regular fire department usage reports

Utility has customers with one inch and smaller meters that have been in service for 10 years without being tested as required in 80 KAR 5:066 Section 16(1)

Utility is not instructing their employees who in the course of their work, are subject to the hazard of electrical shock, asphyxiation, or drowning, in accepted methods of artificial respiration. (CPR Expired)

Comment: During this periodic regulatory compliance inspection, it was not possible to review/discuss every record relating to all Commission requirements. Therefore, in some instances the results contained in this report are indicative of those items inspected and reviewed on a sample basis.

Report by:

Date: 10/3/2023

Taylor Stamper

Taylor Stamper

Utility Inspector

Kentucky Public Service Commission

Kentucky Public Service Commission

Periodic Compliance Inspection

Utility: Sharpsburg Water District

Utility location: Bath County

Investigator: Taylor Stamper

Date(s) of inspection: 9/20/2023

Date(s) of last inspection: 12/1/2020 (Roy Gray)

Deficiencies noted during last inspection:

1. Sharpsburg Water District is failing to operate its facilities so as to provide adequate and safe service to its customers as required by 807 KAR 5:066, Section 7, due to water loss exceeding 15 percent. (2019-20.9334%)

2. Sharpsburg Water District does not have written inspection records as required by 807 KAR 5:006, Section 26(6)(b). (Valves)

Have deficiencies been corrected since last inspection: Yes No N/A

Primary utility representative(s) involved with inspection:

Name: Gayle Haney

Title: Manager

Who with the utility should receive the inspection report cover letter from the commission?

Name: Gayle Haney

Title: Manager

Mailing address: PO Box 248, Sharpsburg, 40374

Email address: Phone number: .

Current Commissioners and term exp.

Name: Randy Warner 6/1/2026

Name: Cecil Duncan 6/01/2026

Name: Judy Harmon 2/13/2026

Name: Alfred Bailey 6/28/2025

Name: Billy Martin 6/28/2025

Kentucky Public Service Commission

Periodic Compliance Inspection

General Questions

Treatment Facility

Source Water:

Plant Capacity:

Avg. Amount Produced:

Distribution Facility

Source Water: Bath County, City of Carlisle

Area of Operation: Bath county, Nicholas County

Miles of Water Line: 200

Avg. Amount Purchased: 8,500,000 Monthly

Water sold at wholesale rate to other water systems: N/A

Emergency Connections: N/A

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Utility Chairperson/President: Randy Warner

Address: 2717 Ratliff Road

Kentucky Public Service Commission

Periodic Compliance Inspection

Metering System:

Number of Customers: 1562

Meter Reading:

AMR

AMI

Other

Manual

Type of meter used for customers: Badger

Does the Utility Test Meters No Replace Meters Yes Meter Testing
Deviation? No

Contractor(s): Employed by Utility No

Review Current Emergency Response Plan (ERP):

Has the utility made any revisions to the ERP in the past 24 months?
Yes No N/A

When the last year construction was performed? 2007

What did the construction project consist of? Office Building

Future Construction Projects? Tank rehab bidding now

807 KAR 5:006 (General Rules)

Section 4: Reports

Has the utility filed its gross annual operating revenue report?
Yes No N/A

Does the utility file Quarterly Meter Reports (QMR) indicating meter tested, number of customers, and amount of refunds?
Yes No N/A

Section 7: Billings, Meter Readings, and Information

Does each bill for utility service, issued periodically by a utility, clearly show the following?

The date the bill was issued: Yes No N/A

Class of service: Yes No N/A

Kentucky Public Service Commission

Periodic Compliance Inspection

Present and last preceding meter readings:	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Date of the present reading:	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Number of units consumed:	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Meter constant, if applicable:	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input checked="" type="checkbox"/>
Net amount for service rendered:	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
All taxes:	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Adjustments, if applicable:	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
The gross amount of the bill:	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
The date after which a penalty may apply to the gross amount:	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
If the bill is estimated or calculated:	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Is the rate schedule under which the bill is computed posted on the utility's Web site (if it maintains a Web site)?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input checked="" type="checkbox"/>
Also furnished by one (1) of the following methods, by:			
Printing it on the bill:	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	N/A <input type="checkbox"/>
Publishing it in a newspaper of general circulation once each year:	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	N/A <input type="checkbox"/>
Mailing it to each customer once each year; or:	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	N/A <input type="checkbox"/>
Provide a place on each bill for a customer to indicate the customer's desire for a copy of the applicable rates:	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	N/A <input type="checkbox"/>
Does the utility (except if prevented by reasons beyond its control) read customer meters at least quarterly?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Is each customer-read meter read manually, at least once during each calendar year?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Does the utility maintain the information required by this subsection, and is it available to the commission and any customer requesting this information?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
If, due to reasons beyond its control, a utility is unable to read a meter in accordance with this subsection, does the utility record the date and time the attempt was made, if applicable, and the reason the utility was unable to read the meter?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

Section 9: Non-recurring Charges

Kentucky Public Service Commission

Periodic Compliance Inspection

Is a charge assessed if a customer requests the meter be tested pursuant to Section 19 of this administrative regulation and the tests show the as-found meter accuracy is within the limits established by 807 KAR 5:066, Section 15(2)(a)? Yes No N/A

Section 10: Customer Complaints to the Utility

Upon complaint to a utility by a customer at the utility's office, by telephone or in writing, does the utility make a prompt and complete investigation and advise the customer of the utility's findings?

Yes No N/A

Does the utility keep a record of all written complaints concerning the utility's service?

Yes No N/A

Does the record include the following?

The customer's name and address:

Yes No N/A

The date and nature of the complaint:

Yes No N/A

The disposition of the complaint:

Yes No N/A

Does the utility maintain these records for two (2) years from the date of resolution of the complaint?

Yes No N/A

If a written complaint or a complaint made in person at the utility's office is not resolved, does the utility provide written notice to the customer of his or her right to file a complaint with the commission?

Yes No N/A

Does the utility provide the customer with the mailing address, Web site address, and telephone number of the commission?

Yes No N/A

If a telephonic complaint is not resolved, does the utility provide at least oral notice to the customer of his or her right to file a complaint with the commission?

Yes No N/A

Section 11: Bill Adjustment

Does the utility monitor a customer's usage at least quarterly? Yes No N/A

Are the utility's procedures designed to draw the utility's attention to unusual deviations in a customer's usage? Yes No N/A

If a customer's usage is unduly high and the deviation is not otherwise explained, will the utility test the customer's meter? Yes No N/A

If a utility's procedure for monitoring usage indicates that an investigation of a customer's usage is necessary, does the utility notify the customer in writing? Yes No N/A

If knowledge of a serious situation requires more expeditious notice, does the utility notify the customer by the most expedient means available? Yes No N/A

Kentucky Public Service Commission

Periodic Compliance Inspection

If the meter shows an average meter error greater than two (2) percent fast or slow, does the utility maintain the meter in question at a secure location under the utility's control, for a period of six (6) months from the date the customer is notified of the finding of the investigation and the time frame the meter will be secured by the utility or if the customer has filed a formal complaint?

Yes No N/A

Section 14: Utility Customer Relations

Does the utility post and maintain regular business hours and provide representatives available to assist its customers and to respond to inquiries from the commission regarding customer complaints?

Yes No N/A

What are the Utility's business hours? 8-4 M-F

Does the utility designate at least one (1) representative to be available to answer customer questions, resolve disputes, and negotiate partial payment plans at the utility's office?

Yes No N/A

If the utility has annual operating revenues of \$250,000 or more does it make a designated representative available during the utility's established working hours not fewer than seven (7) hours per day, five (5) days per week excluding legal holidays?

Yes No N/A

If the utility has annual operating revenues of less than \$250,000 does it make a designated representative available during the utility's established working hours not fewer than seven (7) hours per day, one (1) days per week?

Yes No N/A

Does the utility provide the following?

Maintain a telephone: Yes No N/A

Publish the telephone number in all service areas: Yes No N/A

Permit all customers to contact the utility's designated representative without charge: Yes No N/A

Does the utility prominently display in each office open to the public for customer service (and shall post on its Web site, if it maintains a Web site) a summary, prepared and provided by the commission, of the customer's rights pursuant to this section and Section 16 of this administrative regulation?

Yes No N/A

Does the utility inspect the condition of its meter and service connections before making service connections to a new customer so that prior or fraudulent use of the facilities shall not be attributed to the new customer?

Yes No N/A

Section 17: Meter Testing

Does the utility maintain meter standards and test facilities, as more specifically established in 807 KAR 5:066?

Yes No N/A

Kentucky Public Service Commission

Periodic Compliance Inspection

Meter Test Bench Cert Exp.

Before being installed for use by a customer, are all meters tested and in good working order (and adjusted as close to the optimum operating tolerance as possible) as more specifically established in 807 KAR 5:066, Section 15(2)(a)-(b)? Yes No N/A

Does the utility have all or part of its testing of meters performed by another utility or agency? Yes No N/A

Who performs testing of meters for Utility? Badger, Mark Crouch (Bath County Water)

Does the utility or agency employ apprentices in training for certification as meter testers? Yes No N/A

Are all tests performed during this period by an apprentice witnessed by a certified meter tester? Yes No N/A

Section 18: Meter Test Records

Does the utility maintain a complete record of all meter tests and adjustments and data sufficient to allow checking of test calculations? Yes No N/A

Do the records include the following?

Information to identify the unit and its location: Yes No N/A

Date of tests: Yes No N/A

Reason for the tests: Yes No N/A

Readings before and after test: Yes No N/A

Statement of "as found" and "as left" accuracies sufficiently complete to permit checking of calculations employed: Yes No N/A

Statement of repairs made, if any: Yes No N/A

Identifying number of the meter: Yes No N/A

Type and capacity of the meter: Yes No N/A

Does the utility maintain a complete record of tests of each meter continuous for at least two (2) periodic test periods and shall in no case be less than two (2) years? Yes No N/A

Does the utility maintain numerically arranged and properly classified records for each meter that it owns, uses, and inventories? Yes No N/A

Do these records include the following?

Identification number: Yes No N/A

Kentucky Public Service Commission

Periodic Compliance Inspection

Date of purchase: Yes No N/A

Name of manufacturer: Yes No N/A

Serial number: Yes No N/A

Type: Yes No N/A

Name and address of each customer on whose premises the meter has been in service with date of installation and removal: Yes No N/A

Do these records contain condensed information concerning all tests and adjustments including dates and general results of the adjustments? Yes No N/A

Do these records reflect the date of the last test and indicate the proper date for the next periodic test? Yes No N/A

Section 19: Request Tests

Does the utility make a test of a meter upon written request of a customer if the request is not made more frequently than once each twelve (12) months? Yes No N/A

Does the utility afford the customer the opportunity to be present at the requested test? Yes No N/A

If the tests show the as-found meter accuracy is within the limits allowed by 807 KAR 5:066, Section 15(2)(a), does the utility may make a reasonable charge for the test? Yes No N/A

Has the utility filed a tariff (commission approved) establishing a meter test charge? Yes No N/A

Section 20: Access to Property

Do employees of the utility (whose duties require him to enter the customer's premises) wear a distinguishing uniform or other insignia, identifying them as an employee of the utility, and show a badge or other identification that shall identify them as an employee of the utility? Yes No N/A

Section 23: System Maps and Records

Does the utility have on file at its principal office located within the state and shall file upon request with the commission a map or maps of suitable scale of the general territory it serves or holds itself ready to serve? Yes No N/A

Is the map or maps available in electronic format as a PDF file or as a digital geographic database? Yes No N/A

Is following data available on the map or maps?

Kentucky Public Service Commission

Periodic Compliance Inspection

Operating districts: Yes No N/A
Rate districts: Yes No N/A
Communities served: Yes No N/A
Location and size of distribution lines, and service connections: Yes No N/A

Section 24: Location of Records

Are all records required by 807 KAR Chapter 5 kept in the office of the utility and made available to representatives, agents, or staff of the commission upon reasonable notice at all reasonable hours?

Yes No N/A

Section 25: Safety Program

Has the utility adopted and executed a safety program, appropriate to the size and type of its operations?

Yes No N/A

At a minimum, does the safety program include the following?

A safety manual with written guidelines for safe working practices and procedures to be followed by utility employees: Yes No N/A

Instruct employees in safe methods of performing their work? Yes No N/A

(Utility has monthly safety meetings) Yes

Instruct employees who, in the course of their work, are subject to the hazard of electrical shock, asphyxiation, or drowning, in accepted methods of artificial respiration: (cpr exp)

Yes No N/A

Section 26: Inspection of Systems

Has the utility adopted inspection procedures to assure safe and adequate operation of the utility's facilities and compliance with KRS Chapter 278 and 807 KAR Chapter 5?

Yes No N/A

Have these inspection procedures been filed with the commission for review?

Yes No N/A

Upon receipt of a report of a potentially hazardous condition at a utility facility, does the utility inspect all portions of the system that are the subject of the report? Yes No N/A

Are appropriate records kept by a utility to identify the inspection made, the date and time of inspection, the person conducting the inspection, deficiencies found, and action taken to correct the deficiencies?

Yes No N/A

Kentucky Public Service Commission

Periodic Compliance Inspection

Water utility inspections. Each water utility shall make systematic inspections of its system as established in paragraphs (a) through (c) of 807 KAR 5:006 Section 26(6) to insure that the commission's safety requirements are being met. These inspections shall be made as often as necessary but not less frequently than as established in paragraphs (a) through (c) of 807 KAR 5:006 Section 26(6) for various classes of facilities and types of inspection.

The utility shall annually inspect all structures pertaining to source of supply for their safety and physical and structural integrity.

Does the utility inspect the structures listed below?

Dams	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input checked="" type="checkbox"/>
Intakes	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input checked="" type="checkbox"/>
Traveling screen	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input checked="" type="checkbox"/>

Does the utility semiannually inspect the structures listed below?

Wells	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input checked="" type="checkbox"/>
Well motors and structures	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input checked="" type="checkbox"/>
Electric power wiring and controls	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

The utility shall annually inspect all structures pertaining to purification for their safety, physical and structural integrity, and for leaks.

Does the utility annually inspect the structures listed below?

Sedimentation basins	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input checked="" type="checkbox"/>
Filters	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input checked="" type="checkbox"/>
Clear Wells	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input checked="" type="checkbox"/>
Chemical feed equipment	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Pumping equipment	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Water storage facilities	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Hydrants	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Mains	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Meters	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Meter settings	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Valves	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

Kentucky Public Service Commission

Periodic Compliance Inspection

Does the utility monthly inspect the equipment listed below for defects, wear, operational hazards, lubrication, and safety features?

Construction equipment	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input checked="" type="checkbox"/>
Vehicles	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input checked="" type="checkbox"/>

Section 27: Reporting of Accidents, Property Damage, or Loss of Service

Within two (2) hours following discovery does the utility notify the commission by telephone or electronic mail of a utility related accident that results in the following:

Death or shock or burn requiring medical treatment at a hospital or similar medical facility, or any accident requiring inpatient overnight hospitalization: Yes No N/A

Actual or potential property damage of \$25,000 or more: Yes No N/A

Loss of service for four (4) or more hours to ten (10) percent or 500 or more of the utility's customers, whichever is less: Yes No N/A

Are summary written reports submitted by the utility to the commission within seven (7) calendar days of the utility related accident? Yes No N/A

Section 28: Deviations from Administrative Regulation:

Has the utility been permitted by the commission to deviate from these administrative regulations? Yes No N/A

807 KAR 5:011 (Tariffs)

Section 12: Posting tariffs, Administrative Regulations, and Statutes

Does the utility display a suitable placard, in large type, that states that the utility's tariff and statutes are available for public inspection? Yes No N/A

Does the utility provide a suitable table or desk in its office or place of business on which the public may view all effective tariffs? Yes No N/A

Section 13: Special Contracts

Does the utility have any special contracts that establish rates, charges, or conditions of service not contained in its tariff? Yes No N/A

If yes has the utility filed, the special contracts with the PSC? Yes No N/A

807 KAR 5:066 (Water)

Kentucky Public Service Commission

Periodic Compliance Inspection

Section 2: Information Available to Customers:

Does the utility provide the information listed below to any customer upon request?

A description in writing of chemical constitutes and bacteriological standards of the treated water as required by the Division of Water Yes No N/A

Schedule of rates for water service Yes No N/A

Method of reading meters Yes No N/A

Past readings of a customer's meter for a period of two (2) years Yes No N/A

Section 3: Quality of Water

Is the utility in compliance with the Division of Water? Yes No N/A

Section 4: Continuity of Service

Does the utility immediately notify the fire chief if an emergency interruption of service affects service to any public fire protection device? Yes No N/A

If the utility schedules an interruption of service are all customers notified that are affected by the interruption? Yes No N/A

Does the utility have standby pumps capable of providing the maximum daily pumping demand? Yes No N/A

Does the utility's minimum storage capacity equal the average daily consumption? Yes No N/A

Does the utility keep a record of all interruption? Yes No N/A

Does the record contain the information listed below?

Cause of interruption Yes No N/A

Date Yes No N/A

Time Yes No N/A

Kentucky Public Service Commission

Periodic Compliance Inspection

Duration Yes No N/A
Remedy and steps taken to prevent recurrence Yes No N/A

Section 5: Pressure

Does the customer's service pipe under normal conditions fall below thirty (30) psig or static pressure exceed 150 psig? Yes No N/A

Does the utility have one (1) or more recording pressure gauges to make pressure surveys? Yes No N/A

(Does the Utility have scada/Telemetry to monitor their pressures throughout system?) No

Is the utility maintaining one (1) or more of these recording pressure gauges at some representative point on the utility's mains at a minimum of one (1) week per month in continuous service? Yes No N/A

Is the utility, at least once annually, making a survey of pressures in its distribution system? Yes No N/A

Section 6: Water Supply Measurement

Has the utility installed a measuring device at each source of supply? Yes No N/A

Section 7: Standards of Construction

Is the utility failing to operate its facilities so as to provide adequate and safe service to its customers due to water loss exceeding 15 percent? Yes No N/A
(Water Loss 16.52%)

Section 8: Distribution Mains

Are dead ends provided with a hydrant, flushing hydrant, or blowoff for flushing purpose? Yes No N/A

Section 9: Service Lines

Does the utility inspect the customer's service line? Yes No N/A

Does the utility substitute its inspection for the proof of an inspection done by the appropriate state or local plumbing inspector?

Yes No N/A

Section 13: Measurement of Service

Does the utility meter all water sold? Yes No N/A

Does the utility have any flat water rates? Yes No N/A

Kentucky Public Service Commission

Periodic Compliance Inspection

Has the utility adopted a standard method of installing meters and service lines?

Yes No N/A

Section 15: Accuracy requirement of Water Meters

Are all new meters, and any meter removed from service for any cause tested for accuracy prior to being placed into service?

Yes No N/A

Do the meters tested register within the accuracy limits specified in 807 KAR 5:066, Section 15 (2)(a)?

Yes No N/A

Section 16: Periodic Tests

Is the utility testing all water meters so that no meter remains in service without testing for a period longer than specified by the table in 807 KAR, Section 16 (1)?

Yes No N/A

(How many meters are out of compliance? >100)

Section 17: Water Shortage Response Plan

Has the utility submitted a copy of its Water Shortage Response Plan with the Commission?

Yes No N/A

Section 18: Deviations from Administrative Regulation:

Has the utility been permitted by the commission to deviate from these administrative regulations?

Yes No N/A

807 KAR 5:095

(Fire Protection Service for Water Utilities)

Section 9

Does the utility allow a utility to withdraw water from its distribution system for fire protection and training purposes at no charge?

Yes No N/A

Does the utility require a fire department to submit quarterly reports demonstrating its water usage?

Yes No N/A

Does the utility's tariff state the penalty to be assessed for failure to submit water usage reports?

Yes No N/A

What is the Fire Departments Usage on Annual Report? 18,000

Kentucky Public Service Commission

Periodic Compliance Inspection

Are all buildings, pump stations, and tanks properly labeled? Yes

List of Cases currently at Commission. 2023-00279
Last rate case? 2023-00125

How is the district notified of line locates? Call-ins

Kentucky Public Service Commission

Periodic Compliance Inspection

Review of Facilities:

1.

Tank:

Capacity:

Condition:

2.

Tank:

Capacity:

Condition:

3.

Tank:

Capacity:

Condition:

4.

Pump Station:

Condition:

5.

Pump Station:

Condition:

6.

Pump Station:

Condition:

Total Storage Capacity: 319,000

Total Daily Consumption: 300,000

Kentucky Public Service Commission

Periodic Compliance Inspection

Deficiency(ies)

Utility is failing to operate its facilities so as to provide adequate and safe service to its customers as required by 807 KAR 5:066 Section 7, due to water loss exceeding 15%

Utility is not charging customers meter testing charges in line with their filed tariff

Utility is not obtaining regular fire department usage reports

Utility has customers with one inch and smaller meters that have been in service for 10 years without being tested as required in 80 KAR 5:066 Section 16(1)

Utility is not instructing their employees who in the course of their work, are subject to the hazard of electrical shock, asphyxiation, or drowning, in accepted methods of artificial respiration. (CPR Expired)

Additional Inspector Comments

Comment: During this periodic regulatory compliance inspection, it was not possible to review/discuss every record relating to all Commission requirements. Therefore, in some instances the results contained in this report are indicative of those items inspected and reviewed on a sample basis.

Date:10/3/2023

Report by:

Taylor Stamper

Taylor Stamper

Utility Inspector

Kentucky Public Service Commission

COMMONWEALTH OF KENTUCKY
BEFORE THE PUBLIC SERVICE COMMISSION

In the Matter of:

ELECTRONIC ALLEGED FAILURE OF)	
SHARPSBURG WATER DISTRICT AND ITS)	
OFFICERS, ALFRED BAILEY, CECIL DUNCAN,)	CASE NO.
JUDY HARMON, RANDY WARNER, BILLY)	2023-00125
MARTIN AND ITS MANAGER, GAYLE HANEY,)	
TO COMPLY WITH A COMMISSION ORDER)	

ORDER

The Commission, on its own motion, HEREBY ORDERS that:


1. A hearing in this matter shall be held on January 18, 2024, at 9 a.m. Eastern Standard Time and continuing until called from the bench by the presiding officer, in the Richard Raff Hearing Room at the offices of the Public Service Commission at 211 Sower Boulevard, Frankfort, Kentucky.
2. Sharpsburg Water District's (Sharpsburg District) officers, Alfred Bailey, Cecil Duncan, Judy Harmon, Randy Warner, Billy Martin, and its manager, Gayle Haney (collectively, Parties), who are parties to this proceeding, shall appear at the January 18, 2024 hearing to provide testimony regarding the subject matter of this proceeding.
3. Pursuant to 807 KAR 5:001, Section 2, if the hearing is not concluded on the designated day, the hearing may be continued upon verbal announcement by the presiding officer. A verbal announcement made by the presiding officer shall be proper notice of the continued hearing.
4. Witnesses who sponsor schedules, testimony, or responses to requests for information shall participate in person at the January 18, 2024 hearing.

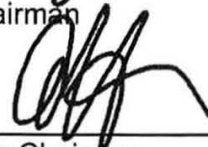
5. The Parties shall give notice of the hearing in compliance with 807 KAR 5:001, Section 9(2)(b). In addition, the notice of hearing shall include the following statements: "This hearing will be streamed live and may be viewed on the PSC website, psc.ky.gov" and "Public comments may be made at the beginning of the hearing. Those wishing to make oral public comments may do so by following the instructions listed on the PSC website, psc.ky.gov." At the time the notice is mailed or publication is requested, the Parties shall forward a duplicate of the notice and request to the Commission.


6. Pursuant to KRS 278.360 and 807 KAR 5:001, Section 9(9), a digital video transcript shall be made of the hearing.

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PUBLIC SERVICE COMMISSION


Chairman


Vice Chairman


Commissioner

ENTERED

NOV 03 2023

rca

KENTUCKY PUBLIC
SERVICE COMMISSION

ATTEST:


Executive Director

*Honorable Earl Rogers III
Attorney at Law
Campbell & Rogers
154 Flemingsburg Road
Morehead, KENTUCKY 40351

*Sharpsburg Water District
16 East Mill Street
P. O. Box 248
Sharpsburg, KY 40374

*Sharpsburg Water District
Sharpsburg Water District
16 East Mill Street
P. O. Box 248
Sharpsburg, KY 40374

November 1, 2023

Sharpsburg Water District
P O Box 248
Sharpsburg, KY 40374
606-247-2861

Public Service Commission
Michael Nantz, Director, Division of Inspections
P O Box 615
Frankfort, KY 40602-0615

RE: Inspection 09/20/23 Taylor Stamper

Dear Mr. Nantz,

I would first like to address the inspection done on 12/01/2020 by Roy Gray. One of the deficiencies noted was not having a written inspection record of valves in the system. I have enclosed one page of those records showing that has been corrected.

Also noted on the checklist done by Taylor on 09/20/23 indicated that we do not notify customers that they can request a copy of the rate schedule. I have enclosed a copy of our billing cards that shows a rate schedule is available upon request.

Below are the deficiencies found during the inspection by Taylor on 09/20/23, and the corrective action we will take:

1. Water Loss

Water loss has been an ongoing issue due to aging infrastructure. Also, our telemetry equipment that was installed in 2007 has had major components that have gone bad; and replacement parts have been hard to get due to this particular system has almost become obsolete. This has caused water towers to overflow. That issue is resolved as of now. We repair leaks as soon as we are made aware of them. We read our master meters daily, and if pumping increases, our maintenance personnel try to valve off parts of the system to check for flow which would indicate a leak. Also there could be a lot of service lines that may be leaking and would not come to the top of the ground or cause any pressure problems to indicate there was a leak. We are members of KRWA if we need assistance in finding leaks.

2. **Meter Test Charge**

We don't get a lot of customer requests to test their meter. However, we have not charged the customer for the test. As of this date, we will charge the customer \$89.00 as reflected in our tariff. This charge will only be made if the meter has not been tested within the 12 month period as per tariff, and the test results are within the 2% accuracy.

3. **Fire Department Usage and Reporting**

We have three volunteer fire departments in our system. Up until 2019, they were reporting estimated usage. On September 7, 2023, I sent a letter to each department with a copy of our tariff regarding reporting. As of this date, two of those departments have responded. I didn't send the letters certified. I am sending the one that has not responded another copy of the letter and tariff when we send the November billing out. (This particular department has a water meter and receives a bill which is sent in each month) Perhaps the person that receives and pay the bill is not the fire chief; but I think they will give to the person in charge of this. We will bill them according to our tariff if they do not respond by December 1, and assess the \$50.00 penalty. Our total gallons sold in 2022 was 90,605,700. Calculating the gallons sold by the 0.3% would have significantly lowered our water loss percentage.

4. **Meter Testing**

Due to Covid, all of our supply chains have had issues. The last time we placed an order for meters, it took six months to get them. We only have five one inch meters in the system, and we have ordered five to replace those and test the ones we take out. We have also ordered the 5/8 inch meters, and they are expected to be delivered in December. Our goal is to test 15 meters every month. That will get us up to date on the 100 meters that are past due for a test. If we can budget it, we will do more to get caught up.

5. **CPR**

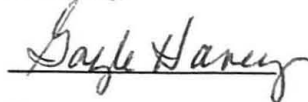
Our CPR certification expired in 2019. Due to Covid we didn't get training as required. We have contacted someone that is certified in CPR training and is working on coordinating a date sometime in November 2023.

A recommendation made during the inspection was to put a sign at the pump station that has chlorination equipment. This has been done.

Our goal is to correct all deficiencies as soon as possible. In my 39 years of employment, we have had one inspection with NO deficiencies. I would like to achieve that again.

Thank you for your continued efforts and help, to ensure that we provide our customers with outstanding service.

Sincerely,

A handwritten signature in cursive script that reads "Gayle Haney". The signature is written in black ink and is positioned above a horizontal line.

Gayle Haney, Manager

Cc: Taylor Stamper

ACCOUNT NUMBER	DATE BILL MAILED
00007033	9/29/2023
PRESENT READING	SERVICE FROM
300300	8/29/2023
PREVIOUS READING	SERVICE TO
299300	9/26/2023
UNITS USED	DAYS USED
1000	28

DESCRIPTION	AMOUNT
Prev. Balance	\$0.00
Water	\$31.65
Utility Tax	\$0.95

CURRENT BILL DUE DATE	AMOUNT DUE BY DUE DATE
10/10/2023	\$32.60
AMOUNT DUE AFTER DUE DATE	\$35.86

SERVICE ADDRESS: 158 WATER SHED ROAD

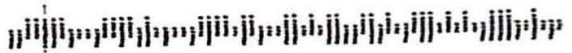
KEEP THIS STUB FOR YOUR RECORDS

RETURN THIS STUB WITH PAYMENT TO:
SHARPSBURG WATER DISTRICT
 P.O. BOX 248
 SHARPSBURG, KY 40374
 (606) 247-2861 • (800) 559-2861

ACCOUNT NUMBER	DUE DATE	AMOUNT DUE AFTER DUE DATE	AMOUNT DUE BY DUE DATE
00007033	10/10/2023	\$35.86	\$32.60

RETURN SERVICE REQUESTED

SEVEN ARROWS
 R021-58
 SHARPSBURG, KY 00000



PLEASE RETURN THIS STUB WITH PAYMENT

KEEP THIS STUB FOR YOUR RECORDS

SHARPSBURG WATER DISTRICT
 P.O. BOX 248
 SHARPSBURG, KY 40374
 (606) 247-2861
 (800) 559-2861

RATE SCHEDULE AVAILABLE UPON REQUEST.

NON-RECEIPT OF BILL IS NO EXCUSE FOR NON-PAYMENT.

SHARPSBURG WATER DISTRICT IS EQUAL OPPORTUNITY.

OFFICE HOURS ARE:
 8:00 - 4:00
 MONDAY - FRIDAY

Valve No.	Location	Size	Number of Turns	Open Direction	Depth to Valve Nut	Date Exercised	Maintenance Required or Completed
	Vice's Corner Mkt.	6"	28		24"	3/19/21	
	Randy Warner Ratliff Rd.	3"	7		24"	8/5/21	
	Azery Crisp Springfield Rd.	3"	7		24"	2/7/22	
	Ralph Smathers Springfield Rd.	3"	7		24"	2/9/22	
	Martin Rex Hwy. 36	8"	30		30"	5/17/21	
	OAKLawn Subdivision	8"	30		30"	3/14/22	
	Wayne Weaver OAKLawn Sub.	8"	30		30"	3/23/22	
	Chris Alderman Hwy. 36	8"	30		30"	6/4/21	
	Daniel Stoltzhus W. Hwy. 36	8"	30		30"	5/23/22	
	Chester Sparks Dixie Hwy.	3"	7		24"	7/18/22	
	Earl Planch Dixie Hwy.	3"	7		24"	5/17/21	
	Pleasure Ridge Ramey Rd.	6"	28		24"	2/27/22	
	Jose Perez Ramey Rd.	6"	28		24"	2/27/23	
	David Wilson Main St.	8"	30		30"	4/17/23	
	Shirley Grimes W. Hwy. 11	3"	7		24"	5/17/21	
	Shirley Grimes W. Hwy. 11	4"	15		24"	5/22/23	
	Charlie Thompson W. Hwy. 11	6"	28		24"	6/4/21	
	Janice Little W. Tunnel Hill	3"	7		24"	5/22/23	
	Traavis Abney W. Hwy. 11	4"	15		24"	4/11/22	
	Jerry Atkins W. Hwy. 36	8"	30		30"	8/5/21	

Sharpsburg Water District
P O Box 248
Sharpsburg, KY 40374
606-247-2861

VOLUNTEER FIRE DEPARTMENTS

Please read the enclosed Public Service Commission approved tariff.

Although our utility is not certified to provide fire protection; your departments have access to hydrants for training and filling trucks.

As a part of our water loss program; fire departments are supposed to report estimated water usage each month. If you haven't used any, just put 0 gallons and send in.

You can either send it when you pay your water bill or email to gayleh12@windstream.net.

I have enclosed a simple form for you to use.

If you have any questions call me at the above number.

Sincerely,
Gayle Haney

BETHEL FIRE DEPARTMENT

Estimated water usage for training purposes _____

Estimated water usage for fire fighting 300 Gls _____

Location of hydrant used Metered water @ BFD _____

Date used: 9-15-23 _____

SHARPSBURG FIRE DEPARTMENT

Estimated water usage for training purposes 0 _____

Estimated water usage for fire fighting 0 _____

Location of hydrant used _____

Date used: month of Sept. 2023 _____

SODIUM HYPOCHLORITE

AVOID CONTACT WITH SKIN, EYES OR CLOTHING



AVOID BREATHING FUMES OR VAPOR

DANGER

CAUSES SEVERE EYE IRRITATION. CAN CAUSE SKIN DAMAGE. FUMES FROM SPILLS ARE VERY IRRITATING TO MUCOUS MEMBRANES.

WEAR CHEMICAL GOGGLES, RUBBER GLOVES, APRON AND BOOTS. WHEN FUMES ARE PRESENT USE NIOSH APPROVED RESPIRATOR WITH ACID TYPE CANISTER. AVOID CONTAMINATION WITH HEAVY METALS, REDUCING AGENTS, ORGANICS, ETHER, AMMONIA AND ACIDS.

SEE SAFETY DATA SHEET FOR ADDITIONAL INFORMATION AND ALL REGULATIONS. © 2005 THE HAZARDOUS WASTE MANAGEMENT CORPORATION. ALL RIGHTS RESERVED. THIS LABEL IS THE PROPERTY OF THE HAZARDOUS WASTE MANAGEMENT CORPORATION. IT IS TO BE USED ONLY ON THE PRODUCTS OF THE HAZARDOUS WASTE MANAGEMENT CORPORATION. IT IS NOT TO BE REPRODUCED OR TRANSMITTED IN ANY FORM OR BY ANY MEANS, ELECTRONIC OR MECHANICAL, INCLUDING PHOTOCOPYING, RECORDING, OR BY ANY INFORMATION STORAGE AND RETRIEVAL SYSTEM.

Bath County Water District

POST OFFICE BOX 369
SALT LICK, KENTUCKY 40371
TELEPHONE: (606) 683-6363
TDD/TTY 1-800-648-6056

August 17, 2023

Ms. Gayle Haney
Sharpsburg Water District
Post Office Box 248
Sharpsburg, Kentucky 40374

Re: Adjustment of Wholesale Water Rate

Dear Gayle Haney:

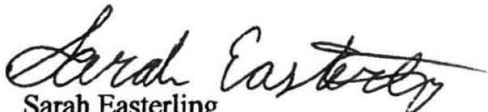
Bath County Water District was required by the Public Service Commission to have a rate study. Rates were approved for service on or after August 10, 2023. The new proposed wholesale rate will be \$4.04 per 1,000 gallons purchased. This approved change will be effective for all services rendered on or after August 15, 2023.

Current Rate	Approved Rate
\$3.89 per 1,000 gallons	\$4.04 per 1,000 gallons

The application submitted to the Public Service Commission is on file in our office and is available for your inspection.

If you have questions or need additional information please call our office.

Sincerely,


Sarah Easterling
Co-Manager

**WX21011042 Procurement
RESOLUTION No.: _____**

Resolution of the Sharpsburg Water District for Adopting the Kentucky Model Procurement Code (KRS 45A) and Authorizing the Chairman and Successors-in-Title as the Official Project Representative to: Establish Selection Criteria, Advertise the Request for Engineering Qualifications, Appoint Engineering Selection Committee, and Negotiate Fees for Engineering Services for the Sharpsburg Water District Water Reynoldsville Tank and Whetstone Tank Rehab Project (WX21011042).

WHEREAS, the Sharpsburg Water District proposes to implement the Sharpsburg Water District Reynoldsville Tank and Whetstone Tank Rehab Project; and

WHEREAS, the proposed Sharpsburg Water District Reynoldsville Tank and Whetstone Tank Rehab Project requires the procurement of professional engineering services; and

NOW THEREFORE, BE IT RESOLVED by the Sharpsburg Water District that the Chairman, and Successors-in-Title are hereby authorized as the Sharpsburg Water District Official Project Representative to establish the selection criteria, advertise the request for Engineering qualifications, appoint an Engineering selection committee, and negotiate fees for Engineering services; and

RESOLVED FURTHER, all procurements made by the Sharpsburg Water District involving the expenditure of local, state, and federal funds on the Sharpsburg Water District Water Reynoldsville Tank and Whetstone Tank Rehab Project shall be made in accordance with the Kentucky Model Procurement Code for local public agencies (KRS 45A.345 to 45A.460; 45A.740; 45A.745; and 45A.750).

Adopted this _____ day of _____.



Randy Warner, Board Chairperson
Sharpsburg Water District

ATTEST:

(Notary

USDA – RD Loan/Grant Application & Authorizing Official Resolution No. _____

This an Authorizing Resolution of Legal Applicant for Filing of Loan Application and Appointing Appropriate Official and Successors-in-Title as Official Project Representative of a Federally Assisted Drinking Water Distribution Improvement Project through the Water and Waste Disposal Loan and Grant Program from United States Department of Agriculture - Rural Development.

WHEREAS, Sharpsburg Water District proposes to rehabilitate the Reynoldsville and Whetstone Water Tanks for industrial, institutional, commercial, and residential growth in the Sharpsburg Water District service area, and

WHEREAS, the Sharpsburg Water District endorses said proposed service, and,

WHEREAS, under the guidelines for the Water and Waste Disposal Loan and Grant Program from the United State Department of Agriculture – Rural Development provides funding for clean and reliable drinking water systems in eligible rural areas, and,

WHEREAS, the improvement proposed for construction by Sharpsburg Water District within the Sharpsburg Water District service area are considered eligible for such loan assistance.

NOW THEREFORE, BE IT RESOLVED by Sharpsburg Water District that Board Chairperson, Randy Warner and Successors-in-Title are hereby authorized to execute and submit an application through the United States Department of Agriculture - Rural Development with such assurances and required supporting data as is necessary to obtain loan assistance from the Water and Waste Disposal Loan and Grant Program for the proposed drinking water tanks rehabilitation, and are hereby authorized as Sharpsburg Water District's Official Project Representative to carry out necessary negotiations for and administer the loan assistance the applicant may obtain from the Water and Waste Disposal Loan and Grant Program.

Adopted this _____ day of _____, 20__.



Randy Warner, Board Chairperson
Sharpsburg Water District

ATTEST:

(Notary Public)



TRANSPORTATION CABINET

200 Mero Street
Frankfort, Kentucky 40601
Transportation.ky.gov

Andy Beshear
Governor

Jim Gray
Secretary

11-29-2023

Subject: State Authorization Letter
Nicholas County

FD04 091 8954001U
Item No. 9-8811.00

Randy Warner,

Your company has facilities which may require relocation and/or adjustment in order to accommodate the proposed construction of the subject project by the Department of Highways. A set of roadway plans has been provided for your company's use.

Preliminary engineering for the relocation of your company's facilities has been approved to be performed by company personnel only. If your organization is not staffed and/or you choose to have preliminary engineering performed by a consultant engineering firm (anyone other than company personnel) it will be necessary to obtain prior approval from our District Utilities Supervisor and state your reasons for wanting to do so. This procedure also pertains to right of way, easement acquisition and appraisal work. Upon receipt of your letter, you will be advised as to what additional information is needed.

The above outlined procedure applies when your company chooses to use an outside contractor (other than company personnel) for contract labor, rental equipment and materials. Approval for use of contract labor, rental equipment, and materials shall be requested at the time your estimate is submitted.

Failure to obtain prior approval for any and all contract work shall result in loss of compensation for unapproved portions of contract work.

Certain information needed by the Department is outlined on the enclosed sheet. Please note that there is a scheduled letting date in July 2024 and that relocation plans and estimates should be delivered to the District Office by no later than March 15, 2024.



All correspondence, including the submission of your estimate, plans or no-charge letter, should be directed to the District Utilities Supervisor, Austin Mineer, Department of Highways, 822 Elizaville Avenue, Flemingsburg KY 41041, Telephone (502) 782-6531.

Please contact me if for some reason this date is not agreeable to you, or you have questions about this material. We appreciate your cooperation with this matter.

Thank You,

A handwritten signature in blue ink that reads "Austin Mineer". The signature is written in a cursive, flowing style.

Austin Mineer

Kentucky Transportation Cabinet
District Utilities Section

Revised 05/26/2023

Sharpsburg Water District
P.O. Box 248
Sharpsburg, KY 40374
606-247-2861

December 8, 2023

Mr. Austin Mineer
KY Transportation Cabinet
Department of Highways
P.O. Box 347
822 Elizaville Avenue
Flemingsburg, KY 41041

RE: Nicholas County
Reconstruct KY 36/ KY 928 Intersection
FD04 091 8954001U
Item No. 9-8811.00

Dear Mr. Mineer:

The Sharpsburg Water District does not have the staff to do this project. We would like to utilize the services of Kentucky Engineering Group, PLLC. We feel that they are qualified to do the engineering work and familiar with our facilities.

If you have any questions or need additional information please contact me.

Sincerely,

Gayle Haney
General Manager

PC: James C. Thompson, PE
KY Engineering Group, PLLC

**SHARPSBURG WATER DISTRICT
PSC CASE NO. 2023-00125
SECOND REQUEST FOR INFORMATION RESPONSE
REQUEST NO. 3**

COMMISSION STAFF'S REQUEST FOR INFORMATION DATED 12/13/2023

RESPONSIBLE PERSON: Gayle Haney

COMPANY: Sharpsburg Water District

REQUEST 3: Refer to Parties' response to Commission Staff's First Request for Information (Staff's First Request), Item 4. Provide a copy of any and all written policies and procedures adopted and added to Sharpsburg District's employee manual to prevent failures to follow Commission Orders.

RESPONSE 3: The Commissioners stated in the meeting of June 14th, 2023 that all future PSC Orders will be provided to the Commissioners. Again in the meeting of September 13th, 2023 the Commissioners voted to make it a policy that all PSC Orders be distributed to each board member. See minutes provided in response to request number 1.

Attached is a copy of Sharpsburg Water Districts Personnel Policies and Procedures dated October 11th, 2006. It is the only formal policy that Sharpsburg Water District has outside of the motions passed by the Board of Commissioners. Page 8 of the Personnel Policies and Procedures sets forth in general the responsibilities of the General Manager: "The District's Manager is the Administrative Officer of the District With the exception of matters and appointments reserved to the Board of Commissioners, the authority and responsibility for the conduct and administration of the functions of the District is vested in the District's Manager."

I as general manager will work on a more comprehensive Policy and Procedures to include job descriptions of the General Manager and other District staff, to present to the Board of Commissioners for approval.

PERSONNEL POLICIES AND PROCEDURES

SHARPSBURG WATER DISTRICT
SHARPSBURG, KENTUCKY

OCTOBER 11, 2006

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STATEMENT OF PURPOSE

The Sharpsburg Water District recognizes that a personnel system that recruits and retains a competent, productive work force is indispensable to effective and efficient District management and operation. These policies and procedures have been developed in order to achieve optimum efficiency, economy, and equity in the pursuit of the District's goals and the utilization of its human resources.

The rules and provisions set forth hereinafter are intended to implement the personnel plan by providing procedures for:

1. Classifying positions in the District's service;
2. Recruiting persons for that service;
3. Providing for their welfare.

While the District is committed to the equitable treatment of its employees, it is expressly noted that nothing in these policies is intended to create a contract of employment, and the policies may be changed without prior notice by the Board of Commissioners. Any individual may voluntarily leave employment or may be terminated by the District at any time, for any lawful reason, or for no reason at all. Any oral or written statements, custom or course of dealing to the contrary are hereby expressly disavowed.

SCOPE OF COVERAGE

1. The following officers and employees of the Sharpsburg Water District are explicitly exempted from the coverage unless otherwise specified:
 - a. All members of the Board of Commissioners
 - b. District's Manager
 - c. Consultants, advisors and counsel rendering temporary professional services
 - d. Independent contractors
 - e. Seasonal and/or temporary employees
 - f. Members of volunteer organizations

2. All employees not explicitly exempted from coverage of these policies and procedures shall be subject to its provisions.

EQUAL EMPLOYMENT OPPORTUNITY

The Sharpsburg Water District seeks to provide equal opportunity to all its employees and applicants for employment and to prohibit discrimination based on race, color, religion, sex, national origin, age, disability, or because the individual is a smoker or nonsmoker. The District promotes equal opportunity in matters of hiring, training, promotion, pay, employee benefits and other conditions of employment.

AMERICANS WITH DISABILITIES ACT

The Sharpsburg Water District complies with the Americans With Disabilities Act of 1990, as amended by the Civil Rights Act of 1991, which prohibits discrimination on the basis of disability and protects qualified applicants and employees with disabilities from discriminations in hiring, promotion, discharge, pay, job training, fringe benefits, and other aspects of employment.

The District is committed to ensuring non-discrimination in all terms, conditions and privileges of employment. Reasonable accommodation is available to all employees and applicants, including work site accessibility, as long as the accommodation does not cause undue hardship on the District.

HARASSMENT, INCLUDING SEXUAL HARASSMENT

Harassment, including sexual harassment, is contrary to basic standards of conduct between individuals and is prohibited by the Equal Employment Opportunity Commission and state regulations. Any employee who engages in any of the acts or behavior defined below is in violation of District policy, and is subject to corrective action being taken by the District, up to and including immediate discharge.

Employees, who feel they have been discriminated against on the basis of sex or have been sexually or in any other manner harassed, should immediately report such incidents, following the procedure described below, without fear of reprisal. Confidentiality will be maintained by the District to the extent permitted by the circumstances.

Definitions

1. Harassment – Verbal, physical, or visual conduct of a racial, ethnic, or other type which, in the employee's opinion, impairs his/her ability to perform the functions of the job.
2. Sexual Harassment – Sexual harassment includes unwelcome sexual advances or visual, verbal or physical conduct of a sexual nature. This definition encompasses many forms of offensive behavior including gender-based harassment of a person of the same or different sex as the harasser, conduct of a sexual nature that creates an offensive, intimidating, or hostile work environment; and coerced sexual conduct by a person in a position of authority in the work place.

Sexual or other forms of harassment of an employee by any District employee, supervisor, or manager will not be tolerated. Sexual harassment by a non-employee, for example, a customer or vendor, is also prohibited.

Employees who believe they are being sexually harassed by a supervisor, peer employee, or a non-employee in the work place should immediately contact the District's Manager. If the sexual harassment complaint is against the District's Manager, the complaint shall be made directly to the Board of Commissioners. An investigation of all complaints shall be undertaken immediately and confidentially. Any employee found guilty of harassing another employee will be subject to appropriate disciplinary action, depending upon the circumstances involved. An employee who files a false complaint will also be disciplined appropriately. Purely voluntary or social relationships between employees are not prohibited. Personal relationships between supervisors and employees they supervise are strongly discouraged, because it is difficult to determine whether a particular action or incident arose in a voluntary personal relationship or in a prohibited sexual harassment setting.

DRUG FREE WORKPLACE

The United States Congress enacted the Drug-Free Work Place Act of 1998, effective March 18, 1988. The following is a policy statement regarding the District's commitment to a drug-free workplace.

Employees (including the District's Manager) are not to unlawfully manufacture, distribute, dispense, have possession of, or use illegal drugs or alcohol on the job, or to report to work under the influence of such drugs. It is the intent of the District to maintain a workplace free of these substances, so that all employees may have the opportunity to have a safer, more productive work environment.

Any employee reporting to work under the influence of alcohol or illegal drugs or who commits a work-related drug or alcohol offense shall be disciplined under the established disciplinary process, which includes suspension and/or dismissal.

The manufacturing, possession, and/or use of illegal drugs, alcohol, or drug paraphernalia in the workplace is strictly prohibited. This includes the misuse/abuse of prescribed medications, which could impair an employee's ability to function.

It is the responsibility of the employee to notify the District's Manager of any work-related drug convictions within five (5) days after the conviction or be subject to have charges filed for dismissal.

If a supervisor has reasonable cause to suspect an employee of illegal drug use on the job or of reporting to work under the influence of same, the employee may be required to submit to drug testing, and the District's Manager may take other appropriate action, pending a final decision by the Board of Commissioners.

An employee reporting to work on medication prescribed by a personal physician, which impairs job performance, is to immediately notify his/her supervisor and the District's Manager. The employee must submit a doctor's note indicating how the medication would affect his/her job performance and/or the health and safety of others, so appropriate steps may be taken by supervisors to prevent any hazards.

ADMINISTRATIVE RESPONSIBILITIES

The District's Manager is the Administrative Officer of the District. With the exception of matters and appointments reserved to the Board of Commissioners, the authority and responsibility for the conduct and administration of the functions of the District is vested in the District's Manager. Under the overall guidance of the District's Manager, final authority, in the form of review and approval, is reserved by the Board with regard to all personnel matters and subjects covered by this personnel plan. The text itself may be changed only by action of the Board of Commissioners.

PERSONNEL RECORDS

1. A personnel file for each employee of the District shall be maintained by the District's Manager or an appointed designee of the District's Manager.
2. The file shall contain:
 - a. Copy of application;
 - b. Employee's name, permanent address, and telephone number where employee can be reached;
 - c. Position title;
 - d. Date of Employment
 - e. Departmental assignment;
 - f. Salary;
 - g. Past changes in employment status;
 - h. Commendations/reprimands;
 - i. Certificate of receipt of personnel policies and procedures; and
 - j. Such additional information as may be required.
3. Every change in the status of the employee shall be recorded in his/her file.
4. The personnel file shall be retained by the District in accordance with the retention schedule adopted by the Kentucky Archives and Records Commission.
5. Personnel records shall be public records to the extent provided by in the applicable Kentucky Revised Statutes. All requests for personnel records shall be made to the District's Manager.
6. Employee medical records of a confidential nature shall be maintained separately from other employee records.

ORIENTATION OF NEW EMPLOYEES

1. An orientation shall be made available to all new employees as soon as possible on or after the first day of employment.
2. The orientation shall consist of the following elements:
 - a. Explanation of the purpose and goals of the District;
 - b. Overview of the District's structure and operation;
 - c. Overview of management policies and procedures; and
 - d. Other elements deemed appropriate.

CLASSIFICATION OF EMPLOYEES

1. All positions of the Sharpsburg Water District shall be classified as full-time, part-time, temporary, or seasonal.
 - a. Regular Full-time Positions – A position which requires the labor of an employee for at least 30 hours per week on a regularly scheduled basis.
 - b. Regular Part-time Positions – A position which may require the labor of an employee for less than 30 hours per week. An employee in this classification may be asked to work up to a full schedule depending on the needs of the District. An employee's classification can only be changed to full-time by action of the Board of Commissioners.
 - c. Temporary or Seasonal Positions – A position that requires the labor of an employee for a temporary period of time, either full-time or part-time. Temporary or seasonal shall not exceed eleven (11) months.
2. Employees occupying regular, full-time positions shall be entitled to all benefits as provided by this policy. Employees occupying part-time, temporary, or seasonal positions shall not be entitled to any benefits, unless otherwise specified by the Board of Commissioners.
3. The District's Manager will determine the number of hours constituting an employee's workweek. Each position may require a different schedule of work, as specified in the Job Description for each position.
4. This classification of employees by the District is merely intended to provide a basic delineation between the types of employment available with the District. An employee's classification may be changed at any time by the District's Manager and Board of Commissioners. It is expressly noted that nothing in the semantical classification of employees is intended to create a contract of employment. Any individual may voluntarily leave employment or be terminated at any time, for any lawful reason or no reason at all.

EMPLOYMENT PROCESS

Announcement of Position/Advertising

1. When a vacancy occurs within the organization, current employees may be notified of the vacancy by placing written notice in a conspicuous, strategic location in the office facilities accessible to all employees. Notices posted shall include position title, summary of duties, qualifications, and the time limit for applying. Employees who wish to apply for the position must present a completed employment application form, supplied by the District, to the District's Manager, thereby indicating their interest in the vacant position. All written notification shall contain the following statement: "An Equal Opportunity Employer".
2. When announcements of vacant positions are made outside the organization, any of the following procedures may apply:
 - a. The District's open application policy allows persons interested in employment with the District to complete an application form supplied by the District at any time, regardless of whether or not vacancies exist.
 - (i) In completing the form the applicant must indicate the position(s) applied for, and;
 - (ii) The application for will be considered active for a period of six (6) months.
 - b. If the District elects to advertise the vacant position(s), all announcements shall be made in a newspaper(s) of general circulation in the area and among the District's work force. All advertisements shall include such information as where to apply, position title, summary of duties, qualifications, and the time limit for applying. All advertisements of the vacant position shall contain the following statement: "An Equal Opportunity Employer".
 - c. The District may list vacant positions with the Kentucky Department of Employment Services.

Applications

1. Applications shall be provided by the District and shall include;
 - a. information about the applicant's training and experience;
 - b. reference
 - c. such additional information as required to effectively evaluate the applicant's ability to perform the duties of the position; and

- d. the applicant's signature and date of application submittal.
2. No person may be appointed to a position unless verified information on an official employment form indicates that he/she meets the qualifications for the position description; he/she must also complete all specified pre-employment procedures.
3. All employment applicants will be subject to employment investigation into their work background and personal references. Only qualified applicants will be considered for employment.
4. All information submitted by the applicant pertaining to his/her employment must be factual. Applicants who are found to have falsified information by misrepresentation or omission of essential facts on their application, or whose references are not satisfactory will no be considered for employment, or if employed, will be immediately separated from District employment.

Certification of Eligibility for Position

The qualifications of an applicant for a position shall be ascertained on the basis of one or more of the following:

1. Information the applicant supplies on the official application form;
2. Written, performance, or physical tests or examinations, or any combination which may be required by the District;
3. Personal interview;
4. Information and evaluations supplied by references given by the applicant;
5. Other appropriate information as determined.

Employee Handbook

A copy of these policies and procedures will constitute the employee handbook. Each employee shall sign for and receive a copy, which will provide the employee with a ready reference on employment practices, benefits, and District operations.

Other policy manuals (e.g. safety manuals, operation and maintenance manuals, etc.) may be furnished to employees. Any such manuals now existing or to be developed in the future are considered separate from these personnel policies.

Employees are expected to read and become familiar with all District policies and procedures found in the personnel policies, other policy manuals of the District, and job descriptions relevant to their individual positions and job performance with the District.

Employees are responsible for carrying out their job duties in conformance with all District policies.

CONDITION OF EMPLOYMENT

Introductory Period

Introductory periods may be initial or promotional. The initial period is when an employee is first appointed to a position with the District. A promotional period occurs as a result of the appointment of a currently employed District employee to a position in a higher grade/classification.

1. A person initially appointed to a regular position shall be on introductory status for a period of three (3) months. During the initial period, an employee may be dismissed at any time without right of appeal.
2. An employee who has previously served an initial introductory period, and is promoted from within the District service to a new position, shall be on promotional status for a period of six (6) months. An employee serving a promotional introductory period may be reinstated to the position from which he/she was promoted, or to a comparable position from which the employee was promoted, without right of appeal.
3. The introductory period may be extended for a class of positions, for up to ninety (90) days, if it is deemed that a longer period is needed to learn the work and evaluate the effectiveness of the work performed.

Promotion

1. Employees occupying regular positions may be promoted from one position to another only if they possess the qualifications for the higher position. The same procedures as those authorized for ascertaining qualifications for initial appointment to a position shall be followed.
2. When a vacancy occurs in a position above the entrance level, consideration shall be given to promotion of present employees. Procedures for internal applications shall be governed consistent with the requirements previously discussed in the "Application" and "Announcement" sections of this document.
3. If the appointing authority deems it to be in the best interest of the District, the position may be filled by the appointment of a person not currently in the District's employment.

4. When a vacancy occurs, the names of all applicants who qualify for promotion shall be transmitted to the appointing authority to be considered for the position.

Resignations

1. An employee wishing to resign should give the District's Manager written notice of resignation at least two (2) weeks prior to the effective date. However, the District's Manager may agree to a shorter notice in consideration of extenuating circumstances. A resignation made without the notice required by these rules may be regarded as cause for denying the resigning employee future employment with the District.
2. An employee may be regarded as having automatically resigned a position if found able to notify the District's Manager of the reason for absence, but failing to do so for three (3) consecutive working days.
3. An employee's resignation and its attending reason(s), if noted, shall be recorded in the employee's personnel file.

Layoffs

1. The District's Manager, with Board approval, may layoff an employee or employees after due consideration as a result of lack of work or funds. The lack of work or funds may also cause the number of hours worked by employees to be reduced.
2. The order of layoff shall be determined by the needs of the District, as determined by the District's Manager and Board of Commissioners.
3. Consideration may be given to the relative importance of each position, seniority, qualifications, and merit of persons being considered for layoff, as well as other appropriate criteria.
4. Temporary, seasonal, and employees on initial introductory periods shall be laid off before regular employees who are performing the same job duties.
5. Two (2) weeks before the effective date of the layoff of a regular, full-time employee, the District's Manager shall, in writing:
 - a. Notify the employee of the layoff;
 - b. Explain to the employee the reason(s) for the layoff;
 - c. Certify whether the employee's service has been satisfactory; and
 - d. A copy of the notice shall be retained in the employee's personnel file.

6. An employee who has given satisfactory service and is laid off may be eligible for re-employment and may be given preference in other positions which require basically the same qualifications and involve basically the same duties and responsibilities as the position from which the employee has been laid off.
7. All benefits will cease during layoff.
8. Accrued vacation time may be paid up to the time of layoff.
9. Accrued sick leave will not be paid. Upon layoff accrued sick leave will be credited to the employee and reinstated if and when the employee returns to full-time work.

Reinstatement

1. The District's Manager, with approval of the Board of Commissioners, may re-employ any former employee:
 - a. Who has resigned from the District with a satisfactory work record,
 - b. Who has been laid off due to a lack of work or funds,
 - c. Who has been demoted or dismissed for a reason prohibited by local, state, or federal laws, rules and/or regulations, or
 - d. Who fails during the introductory period to serve satisfactorily in a position to which the employee has been promoted. The reinstated employee shall receive at least the rate of pay which was received at the time of promotion.
2. Reinstatement of an employee shall:
 - a. Restore to the employee that employee's former position; or
 - b. Place the employee in a position of the same class or a class comparable to that of the employee's former position.
3. Nothing contained herein shall require the District to give priority to former employees when seeking applicants for any position with the District.

Outside Employment

District employees owe their primary work allegiance and energies to their job with the District. Any outside employment which interferes with or creates a conflict of interest with the employee's District employment is prohibited.

Personal Conduct, Appearance, Dress Code

Images presented and statements made by all employees of the District can affect the entire organization; there, employees are expected to be friendly, courteous, and appropriately dressed when conducting District business or when representing the District.

Political Activity

No employee, as a condition of employment or continued employment, shall be required to contribute to or campaign for any candidate for political office.

No employee of the District shall engage in political activity during his/her assigned duty hours.

Safety

Employee health and safety is a primary concern of the District. As a condition of employment, employees are required to comply with all safety procedures that are established for the position held by the employee. In accordance with state law, employees operating vehicles are required to wear seatbelts. Additionally, any employee who becomes aware of any unsafe or hazardous condition shall report the situation to their supervisor or the District's Manager immediately.

All work related injuries must be reported to the employee's immediate supervisor or the District's Manager as soon as possible after the injury occurs, but no later than the end of the workday.

Failure to comply with established workplace safety rules, report workplace injuries, or failure to report unsafe/hazardous conditions of which the employee is aware, may result in personnel action, up to and including termination from employment.

Progressive Discipline

The policy of the District is to be patient, fair, and consistent in the administration of the organization and its employees. When problems arise, emphasis is placed on improvement and/or correction rather than punishment. However, willful, continued, or inexcusable infractions of District employment rules must be dealt with firmly under a uniform policy which applies to all employees.

Generally, the District believes in the application of progressive discipline. However, the District reserves the right to skip any step or requirement in the disciplinary action sequence outline below depending on the severity of the misconduct or when the facts or circumstances otherwise warrant. Further, it is also noted that in establishing the following disciplinary procedures it is specifically **not** the District's intention to create any employment situation that compromises its at-will employment status.

An employee or employees may be disciplined for, but not limited to, the following when substantiated with bona fide proof:

1. Incompetency,
2. Inefficiency,
3. Dishonesty;
 - a. Deliberately making or using falsified records, materials, requisitions, etc.
 - b. Lying
 - c. Unauthorized use of District property, vehicles, etc.
 - d. Theft of property,
 - e. Deliberate waste, neglect or abuse of District property,
 - f. Supplying false information on an Employment Application Form,
4. Improper Conduct
5. Neglect of duty:
 - a. Repeated failure to be at workstation at starting time,
 - b. Leaving assigned work area without permission,
 - c. Failure to attend scheduled meeting,
 - d. Refusal to accept work assignment,
 - e. Stopping work before specified time,
 - f. Deliberate interruption of work,
 - g. Loitering, loafing or sleeping on job; and/or
 - h. Unsatisfactory work and/or attitude,
6. Failure to keep time records accurately or completing another employee's time record,
7. Fighting or horseplay on the District's premises at any time,
8. Attempting bodily injury to another person,
9. Failure to observe safety rules,
10. Abusive or obscene language,
11. Discourtesy to the public or fellow employee,
12. Conviction of a felony,
13. Untidy attire, and other failures to maintain a clean, neat appearance.
14. Off-duty activities that discredit the individual or organization and cause inefficiency in performing assigned duties,
15. Reporting to work under the influence of intoxicants or illegal drugs,
16. Use of any intoxicants or illegal drugs while on duty,
17. Gambling while on duty,
18. Improperly discussing or disclosing confidential information,

19. An accumulation of minor infractions,
20. Failure to follow any other rule, regulation, operating procedure or job requirement not specifically mentioned above,
21. Absenteeism, tardiness, extended meal times,
22. Failure to provide notice to the District's Manager or District office by 10:00 a.m. of absence due to sickness,
23. Refusal to report to work when called, unless a bona fide emergency exists in immediate family,
24. Insubordination.

When an employee fails to perform his/her job, follow established rule(s), regulation(s), operating procedure(s), job requirement(s), or when an employee performs actions which reflect discredit upon the organization, one of the following measures shall apply:

1. Verbal Warning

- a. In the event of a minor infraction, the supervisor and/or District's Manager shall administer the warning, without rancor, as soon as possible after the infraction.
- b. A record of the date of the warning, a description of the occurrence which resulted in the warning and any comments the employee may have made, shall be maintained by the District's Manager. However, no written documentation shall be placed in the employee's personnel file.

2. Written Reprimand

- a. In the event of either a second minor infraction or a more serious first infraction, the District's Manager shall give the employee a written reprimand, specifying the reason(s) for such reprimand and noting any previous verbal and/or written warnings or reprimands.
- b. Written reprimands shall state that the employee's performance will now be reviewed on a daily basis for improvement and explain the consequences of continued infractions.
- c. The employee shall sign the written reprimand or a witness shall sign the reprimand; the original copy of the written reprimand shall be forwarded to the District's Manager to be placed in the employee's personnel file.

3. Suspension

- a. After either a serious infraction or repeated minor infraction, the District's Manager, with the Board of Commissioners approval, may

suspend any employee, with or without pay, for the following reasons:

- (i) Disciplinary reasons
 - (ii) In anticipation of the results of investigation of charges against the employee
- b. The suspended employee shall be notified of the suspension, in writing, within 72 hours of the decision to suspend. The written notice shall identify the reason(s) for the suspension, and the duration of the suspension.

4. Suspension with Pay

In situations where the District has become aware of alleged misconduct by an employee which, if true, could result in disciplinary action, the appointing authority may suspend the employee with pay if it is determined, the action is necessary to assure public confidence in governmental oversight of its employees, or to assure the integrity of the inquiry into the allegations.

In the event it is necessary to suspend an employee with pay, the following procedures shall be observed:

- a. The District shall immediately provide written notification to the employee informing him/her of the suspension and the nature of the allegations being investigated. In the event it is deemed necessary to suspend the employee immediately upon learning of a particular situation, the employee shall be provided written verification of the suspension within 24 hours.
- b. Consistent with existing personnel procedures, the District shall immediately begin an investigation into the allegations against the employee. This investigation shall be carried out expeditiously, and in no instances shall it be delayed beyond what is considered reasonable and necessary to conduct a complete investigation.
- c. Upon reaching a determination as to the culpability of the employee, the appointing authority shall take action, as follows:
 - (i) In the event the allegations against the employee are valid, the appointing authority shall invoke disciplinary action as deemed appropriate. These actions shall not include payment of wages in the event the suspension is extended beyond the investigative period; or
 - (ii) In the event the allegations against the employee are proven to be false, the employee shall immediately be reinstated to his/her position.

- d. During the time an employee is on suspension with pay, he/she is considered to be performing services for the District. Therefore, the employee must remain available to return to work within 24 hours of receiving written or verbal confirmation of his/her reinstatement from the District's Manager. In the event the employee is notified of the reinstatement verbally, the District shall provide written verification within one (1) working day.
- e. Nothing in this policy or procedure should be construed as limiting the authority of the employer to suspend an employee without pay in those instances where such action is deemed appropriate.

5. Dismissal

- a. When an infraction is continually repeated, or when misconduct is serious enough for discharge on the first infraction, the District Manager, with approval of the Board of Commissioners, may dismiss an employee.
- b. The employee shall be notified of his/her dismissal in writing. The notification of dismissal shall include the reason(s) for dismissal, details of previous disciplinary actions taken against the employee, and the effective date and time of the dismissal.

Right to Respond

Although the District has chosen to include an appeals process in its personnel policies relating to employee termination, it is specifically not the District's intention to create any property right or employment situation that compromises its at-will employment status. As expressly stated in these policies' *Statement of Purpose*, nothing in these policies is intended to create a contract of employment.

- 1. An employee who has been notified of an intent to dismiss him/her has the right to appear personally, or with counsel, before the District's Manager to respond to the letter of notice of intent to dismiss.
- 2. The request to respond must be made, in writing to the District's Manager within five (5) working days of the employees' receipt of the letter of intent to dismiss, excluding the day it was received. If the employee does not submit a request for such a hearing within this period, it will be deemed the employee has waived his/her right to respond.
- 3. The employee's meeting with the District's Manager shall be held within five (5) working days after receipt of the employee's request, excluding the day it was received.

4. The meeting is informal. It gives the employee the opportunity to respond to charges contained in the letter of notice of intent to dismiss.
5. Within (5) working days, excluding the day of the meeting, the Board of Commissioners shall uphold, alter, modify, or rescind the intended dismissal. The employee will be notified in writing of the Board's decision and the reasons for it, which shall reflect the final action of the District.
6. Such action shall be recorded in the employee's personnel file.

Holidays

1. The following days are declared paid holidays at the regular straight – time rate of compensation:
 - a. New Year's Eve (1/2 day)
 - b. New Year's Day
 - c. Martin Luther King, Jr. Day
 - d. President's Day
 - e. Memorial Day
 - f. July 4th
 - g. Labor Day
 - h. Veteran's Day
 - i. Thanksgiving Eve (1/2 day)
 - j. Thanksgiving Day
 - k. Columbus Day
 - l. Christmas Eve
 - m. Christmas Day

Vacation Leave

1. All full-time employees we be entitled to vacation time as follows:

After completion of one year	1 week
After completion of ten years	2 weeks
After completion of 15 years	3 weeks
After completion of 20 years	4 weeks
20 + years	4 weeks
2. Part-time employees do not qualify for vacation leave.
3. Each employee must utilize five (5) days of his or her vacation leave during the course of one week each year.

4. All requests for vacation leave will be submitted to the District's Manager for approval at least three (3) days in advance. This requirement may be waived by the District's Manager, depending upon the situation. In scheduling vacation leave for District employees, due consideration will be given to the needs of the District, and the seniority and wishes of employees.
5. Payment of earned vacation days upon termination of employment will be made to the employee.

Sick Leave

1. All full time employees shall be entitled to sick leave with pay at a rate of twelve (12) days per year.
2. Sick leave days may be accumulated to a maximum of (60) working days. Upon termination of employment, no portion of accrued sick leave is payable.
3. Sick leave days may be utilized by employees when they are unable to perform their duties due to the following reasons:
 - a. Personal illness or injury;
 - b. Medical/dental/optical treatment or care for employee or the employee's immediate family; or
 - c. Pregnancy and/or confinement so long as leave is limited to six weeks and is taken before or after delivery or in combination;
 - d. Attendance of funerals of relatives not allowable under funeral leave policy
4. All foreseeable sick leave shall require specific prior approval by the District's Manager. If sick leave is taken by an employee for three or more consecutive days, the District's Manager may require a written certificate/statement from a medical doctor giving information as to the circumstances involved, and the anticipated duration of leave that will be required.
5. An employee using sick leave for unforeseeable circumstances shall notify the District's Manager of the fact and reason as soon as possible. Failure to notify the District's Manager or his/her designee, during the first hour of the work shift on the first day if illness may be cause for denial of sick leave with pay for the period of absence.
6. Sick leave is not computed for overtime purposes. Sick days are paid in terms of straight pay.

7. Abuse of sick leave by an employee may be cause for disciplinary action.

Retirement

The District has no retirement.

Family And Medical Leave Act of 1993

The Family and Medical Leave Act of 1993 requires "covered" employers with at least 50 employees to provide "eligible" employees with up to 12 workweeks of unpaid, job-protected leave in a 12 month period for specified family and medical reasons. In assessing the applicability and implications of this legislation on public agencies it is important to examine the provisions of the law relating to employer coverage, employee eligibility, and leave entitlement.

Employer Coverage

The FMLA applies to all public agencies, including state, local, and federal employers.

Employee Eligibility

To be eligible for FLMA benefits, an employee must:

1. work for a covered employer;
2. have worked for the employer for a total of 12 months;
3. have worked at least 1,250 hours over the previous 12 months; and
4. work at a location in the United States or in any territory or possession of the United States where at least 50 employees are employed by the employer within 75 miles.

Confusion has arisen regarding the requirements of FMLA due to a caveat in the legislation that requires employers to post notice to employees informing them of FMLA's provisions regardless of whether the employer has any "eligible" employees. This situation can cause employees to be misled regarding the applicability of the law to their particular employment situation. In fact, because the District has less than 50 employees, the employees are not eligible to receive the benefits provided in the legislation even though the employer is considered "covered" by the law.

Leave Entitlement

A covered employer must grant an eligible employee up to a total of 12 workweeks of unpaid leave during any 12 month period for one or more of the following reasons:

1. For the birth and care of the newborn child of the employee;
2. For placement with the employee of a son or daughter for adoption or foster care;
3. To care for an immediate family member (spouse, child, or parent) with a serious health condition; or
4. To take medical leave when the employee is unable to work because of a serious health condition.

The aforementioned information regarding the Family and Medical Leave Act is intended to provide only limited insight into the requirements of the legislation. Comprehensive information and technical interpretations regarding all aspects of the Act can be obtained from the U.S. Department of Labor's Employment Standards Administration, Wage and Hour Division, which is responsible for administration and enforcement of the law.

Special Leave

1. In addition to authorize leaves, the District's Manager may authorize an employee to be absent without pay for personal reasons for a period not to exceed ten working days in any calendar year.
2. The District's Manager, with Board of Commissioners approval, may authorize special leaves of absence with or without pay for full-time employees for any periods for any purposes that are deemed to be beneficial to the District.

Military Leave

1. All employees of the District who are members of the National Guard or any reserve component of the Armed Forces of the United States, or of the United States Public Health Service, shall be entitled to a leave of absence for a period not exceeding fifteen (15) calendar or ten (10) working days in any one calendar year for the purpose of attending annual mandatory training (KRS 61.396). If additional time is needed, the employee may use vacation leave.
2. Pursuant to KRS 61.373, any employee who leaves the service of the District, voluntarily or involuntarily, in order to perform military duty, and who is relieved or discharged from such duty under conditions other than dishonorable, and who has not been absent from public employment due to military duty in time of war or national or state emergency for a period of time longer than the duration of the war or national or state of emergency plus six (6) months or in time of peace for a period of time not longer than six (6) years, and makes application for re-employment within ninety (90) days after he/she is relieved from military duty or from

hospitalization or treatment continuing after discharge for a period of not more than one (1) year:

- a. If still physically qualified to perform the duties of his/her position, shall be restored to such position if it still exists and is not held by a person with greater seniority, otherwise to a position of like seniority, status, and pay;
- b. If not qualified to perform the duties of his/her position by reason of disability sustained during such service, the public employee shall be placed in another position, the duties of which he/she is qualified to perform and which will provide the employee like seniority, status and pay, or the nearest approximation thereof consistent with the circumstances of the case;
- c. The employee must, when practical, request active military leave in writing to the District's Manager not less than two (2) weeks prior to the beginning of the leave period.

Voting Leave

1. Any person entitled to vote at any election in this state shall, if he/she has made application for leave prior to the day of the election, be entitled to absent himself/herself from any services or employment in which he/she is engaged or employed for a period of up to four (4) hours on the day of election, between the time of opening and closing of the polls (KRS 118.035). Voting leave is unpaid leave.
2. The employer may specify the hours during which the employee may take off to vote.

Inclement Weather

1. In the event of weather conditions in which travel to and from work may jeopardize the safety of employees, District offices may be closed at the direction of the District's Manager. Employees will be notified of this action.
2. Where individual circumstances exist, such as longer than average distance of travel to and from the work place, or other factors which may jeopardize the safety of an employee, the employee must notify the District's Manager and may exercise judgment in not reporting for work. If District offices are not subsequently closed, this time off will be charged against vacation leave, however, the employees will face no disciplinary measures.

Funeral Leave

All full-time employees may be absent up to three (3) regularly scheduled work days, or a reasonable extension of time at the discretion of the District's Manager, without loss of pay in case of death in the immediate family. Immediate family for this purpose shall include parents, grandparents, spouse, brothers, sisters, children, immediate in-laws, and step relatives of the same relation.

Jury Duty/Court Duty

In the event an employee is requested to serve on a jury or appear in court related matters, the employee shall be compensated at the normal rate of pay serving on jury duty. All employees in such circumstances shall be absent from work during the times required by the courts. Any payments received for such service shall be forfeited to the District.

Worker's Compensation

Disability leave is an authorized absence from work caused by an accidental injury or illness and is not chargeable to sick leave or annual leave. An employee injured on the job is covered by and entitled to all benefits accruing under the Kentucky Worker's Compensation Act. The employee's fitness and/or duty to return to District work will be determined under the provisions of the Worker's Compensation Act and by certification of the attending physician.

Expense Reimbursement

1. Any employee of the District incurring expense for pre-approved District business or travel outside the District shall be reimbursed at the actual rate of expenditures or within guidelines established by the District. Receipts for all expenditures are to be obtained and attached to the request for reimbursement form, which must be completed, as soon as possible, upon completion of travel.
2. All requests for reimbursement shall be signed by the Chairman and the Secretary and presented to the treasurer, and District Manager for payment.
3. The rate of reimbursement for travel shall be at the rate specified in current state government rules and regulations.

Consolidated Omnibus Budget and Reconciliation Act of 1985 (COBRA) KRS 304.18 (110)

Upon separation, retirement, or other qualifying event, full-time employees and/or their eligible dependents may be entitled to retain their health insurance under the

Consolidated Omnibus Budget Reconciliation Act of 1985 or KRS 304.18 (110). To the extent the employer provides group health insurance and has 20 employees, COBRA requires the employer to allow for continued coverage. To the extent the District has less than 20 employees, but provides group health insurance that is not self-insured, KRS 304.18 (110) requires the insurance company to provide for continued coverage. Further information may be obtained from the District's Manager.

Grievance Procedure

A grievance is an employee's expressed dissatisfaction related to his/her job. Every attempt should be made by the supervisor and employee to resolve any differences which may arise from employment informally before resorting to the formal grievance procedures provided by the District.

1.

a. The employee shall present the grievance to the District's Manager within five (5) working days of its occurrence. The District's Manager shall then attempt to adjust the matter and shall respond to the employee in writing within five (5) working days, including the day the grievance was filed.

b. The decision of the District Manager does not satisfy the employee, he/she may request in writing, a hearing before the Board of Commissioners within (5) working days of the decision of the District's Manager, excluding the date of the written request to the Board.

2. The Board may conduct a hearing on all issues involved. It shall respond in writing to the party presenting the grievance within 5 working days from the filing of the grievance with the Board, unless additional time is agreed by both sides.

3. The aggrieved employee may designate a person of his/her choice to appear on his/her behalf and participate in the hearing.

4. A copy of all previous written documents involved in the action shall be attached to the grievance and made a part thereof.

5. The decision of the Board of Commissioners is final.

Severability

If any provision/s of these policies and procedures, or any provision/s of their subsequent application/s are held invalid, such invalidation does not affect the remainder of this policy or its application/s.

Pay Increases

All employees will be entitled to a cost of living raise at the beginning of each year.

**SHARPSBURG WATER DISTRICT
PSC CASE NO. 2023-00125
FIRST REQUEST FOR INFORMATION RESPONSE
REQUEST NO. 4**

COMMISSION STAFF'S REQUEST FOR INFORMATION DATED 12/13/2023

RESPONSIBLE PERSON: Gayle Haney

COMPANY: Sharpsburg Water District

REQUEST 4: Provide a copy of all correspondence with Kentucky Rural Water Association regarding assistance with the rate case that was ordered in Case No. 2022-00069.

RESPONSE 4: Emails from Gayle Haney, Manager to KRWA staff attached.

From: Gayle Haney <gayleh12@windstream.net>
Sent: Friday, April 8, 2022 2:54 PM
To: 'Bobbie Shanahan' <b.shanahan@krwa.org>
Subject: RE: General rate adjustment

We had a PWA from Bath Co. that was just approved and a PWA from the City of Carlisle that should be approved by the end of this month.

From: Bobbie Shanahan <b.shanahan@krwa.org>
Sent: Friday, April 8, 2022 2:52 PM
To: Gayle Haney <gayleh12@windstream.net>
Subject: RE: General rate adjustment

When was the last time Sharpsburg had a rate adjustment?

*Bobbie Shanahan
Kentucky Rural Water Association*

From: Gayle Haney <gayleh12@windstream.net>
Sent: Friday, April 08, 2022 1:42 PM
To: 'Bobbie Shanahan' <b.shanahan@krwa.org>
Subject: General rate adjustment

Bobbie, I have to file for a general rate adjustment or alternative rate adjustment by May 27, 2022. I have no idea how to do this! Will Jason be able to help???

Thanks,
Gayle
Sharpsburg Water District

From: Gayle Haney <gayleh12@windstream.net>
Sent: Monday, April 11, 2022 1:46 PM
To: 'Bobbie Shanahan' <b.shanahan@krwa.org>
Subject: rate increase

Bobbie,
Haven't heard anything back from you. Will someone be able to assist in doing the general rate adjustment?

Thanks,
Gayle
Sharpsburg Water District

From: Gayle Haney <gayleh12@windstream.net>
Sent: Tuesday, April 12, 2022 11:17 AM
To: 'Bobbie Shanahan' <b.shanahan@krwa.org>
Subject: Alternative rate filing

Bobbie, Apparently the last PWA I filed in 2021; I had a year to file this . I simply forgot about it. My deadline is May 27, 2022. When I talked to Jason he said it usually takes about 6 months to do this! Will PSC give me an extension?

Thanks,
Gayle
Sharpsburg Water District

From: Gayle Haney <gayleh12@windstream.net>
Sent: Tuesday, May 10, 2022 10:03 AM
To: 'Jason Pennell' <j.pennell@krwa.org>
Subject: RE: PSC Rate Case

I agree with the proposal.

Gayle

From: Jason Pennell <j.pennell@krwa.org>
Sent: Tuesday, May 10, 2022 9:41 AM
To: gayleh12@windstream.net
Cc: Alan Vilines <avilines@gmail.com>; Joe Burns <j.burns@krwa.org>
Subject: PSC Rate Case

Gaye,

I have adjusted the retail water rates. Attached is KRWA's proposal for the rate case. If you are in agreement send me back an email agreeing to the proposal. If you have any questions let me know 606 369 8760.

Jason Pennell
Kentucky Rural Water Association
1151 Old Porter Pike
Bowling Green, KY, 42104
Phone: (270) 843-2291
Cell: (606) 369-8760
Fax: (270) 796-8623

"Helping Water and Wastewater Utilities Help Themselves"

Upcoming Events:

Operator Expo
May 25-26, 2022
Hardin County Fairgrounds
Glendale, Kentucky

43rd Annual Conference and Exhibition
August 29 – 31, 2022
Hyatt Regency Hotel & Central Bank Center
Lexington, Kentucky

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**SHARPSBURG WATER DISTRICT
PSC CASE NO. 2023-00125
FIRST REQUEST FOR INFORMATION RESPONSE
REQUEST NO. 5**

COMMISSION STAFF'S REQUEST FOR INFORMATION DATED 12/13/2023

RESPONSIBLE PERSON: Gayle Haney

COMPANY: Sharpsburg Water District

REQUEST 5: Provide all written policies and procedures that outline job duties, responsibilities, and expectations of Sharpsburg District's General Manager.

RESPONSE 5: See response to Request No. 4 above.