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National Park Service – Commercial Services Program

Annual Overall Rating Workbook User Guide

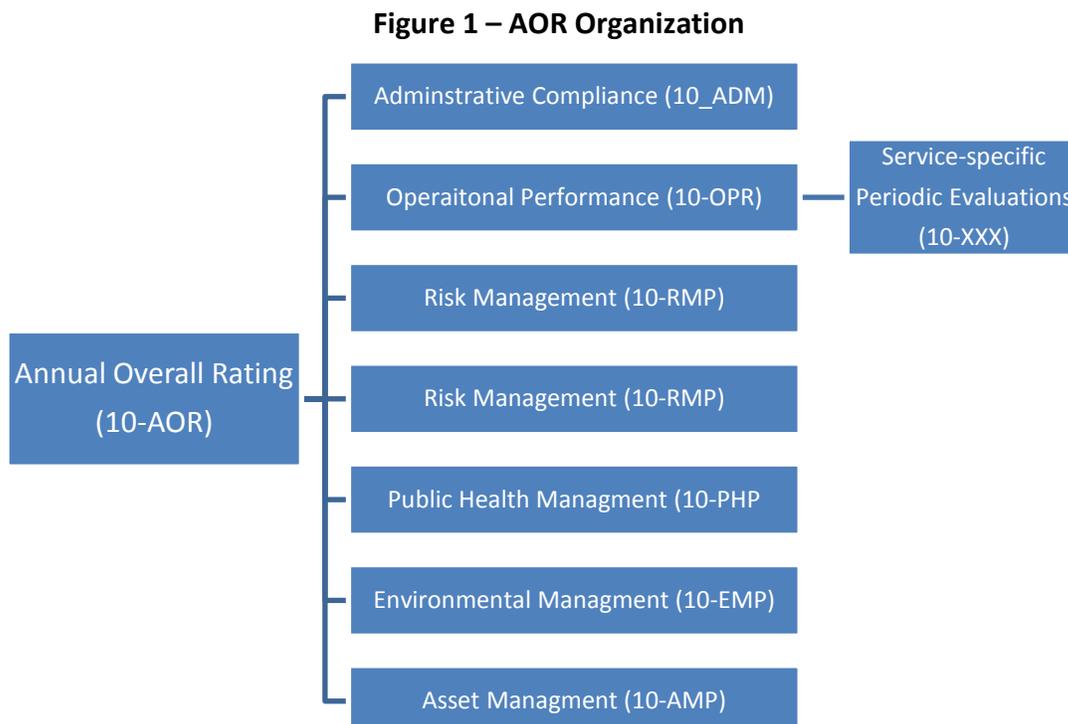
1.0 INTRODUCTION

1.1 Purpose of Annual Overall Rating (AOR)

Through the Concessioner Review Program, the NPS Commercial Services Program (CSP) conducts annual evaluations of each concession operation to ensure that concessioners are complying with their contracts and meet all NPS operational performance, environmental management, asset management, risk management, public health and administrative compliance standards. NPS Commercial Services Annual Overall Rating (AOR) Workbook was introduced in 2016 for use in completing these evaluations and assigning an AOR beginning in Calendar Year 2016. The AOR Workbook tools and processes replace those in NPS 48, Chapters 19, 20 and 21.

1.2 AOR Organization

The CSP AOR Workbook provides a revised organization and revised scoring methodologies for the various AOR evaluation components. Scoring is described in the sections below. The AOR organization is depicted in the Figure 1.



1.2 AOR Tool Format and and Table of Contents

The CSP AOR Workbook (based in Excel) provides user friendly forms for park concession specialists to use in the annual evaluation of concession contracts. The Workbook automatically scores each program area and calculates the annual overall rating that reflects the concessioner's performance for the past year. The AOR Workbook Table of Contents is as follows:

Table of Contents

No. / Form	Page	Description/Responsibility
0	Instructions and Table of Contents	Workbook instructions and table of contents
1	Contract Information	Contract information and evaluation criteria. This must be filled out prior to any other forms.
10-AOR	Annual Overall Rating	AOR Results Summary Page
10-ADM	Administrative Compliance	Evaluation of contract administrative compliance
10-OPR	Operational Performance	Total of service periodic evaluations scores
10-PHP	Public Health	Year-End Summary of Public Health Ratings
10-RMP	Risk Management Program	Evaluation of concessioner's Risk Program
10-EMP	Environmental Management Program	Evaluation of concessioner's Environmental Program
10-AMP	Asset Management Program	Evaluation of concessioner's Asset Program

1.3 AOR Tool Scoring

The CSP AOR Workbook scores concessioner performance based on six program areas: Administrative Compliance, Operational Performance, Public Health, Risk Management, Environmental Management, and Asset Management. Each program area is scored separately in the tool based on performance/compliance against program area elements, and scores are then rolled up into an AOR Score.

Scoring in the Administrative Compliance, Risk Management, Environmental Management, and Asset Management sections are based on the percentage of applicable elements that are in compliance.

Elements marked with an asterisk (*) represent "Special Attention Items". These special attention items have a greater effect on the program area score than standard items. If the

concession is not in compliance with any special attention item, the program area score will be penalized and capped at a pre-determined threshold. For exact threshold numbers, refer to the bottom of the page in the corresponding program area. Elements marked with a pound sign (#) represent an item that is not applicable to Cat III contracts.

2.0 DETAILED PROCEDURES

2.1 General Instructions

The evaluator must fill in all yellow highlighted cells on required and applicable forms. When forms are completed, the workbook will automatically calculate the AOR score in the 10-AOR Tab. The evaluator must complete tab "Contract Information" to activate automatic scoring. All pages can be printed for record administration purposes (as necessary).

2.2: Contract Information

The Contract Information tab activates all cells in the Workbook. Filling in this information auto populates the table at the top of all subsequent tabs.

- (1) Fill in the contract information box at the top of the page.
 - Year of Operation (under evaluation)
 - Park (name)
 - Concessioner (name)
 - Concessioner Doing Business As (business name)
 - Contract Number
 - Contract Term Effective Date
 - Evaluator Name
 - Date of Review
- (2) Indicate whether each program area listed is applicable to the contract being evaluated by choosing either Y (yes) or N (no) from the drop down menu.
- (3) Indicate which service types are provided under the contract by checking the boxes in the *Service Types* section at the bottom of the page.
 - To check a box, click the corresponding cell and select "X" from the drop down menu. To uncheck a previously checked box, click the cell again and click the blank option from the drop down menu.

2.3: Program Area Pages

I. Administrative Compliance (10-ADM)

a. Instructions

Table 1: Program Area Evaluation

For each element (row), use the drop-down or type in Column F (yellow) to specify if the element is either 1) in compliance ("Yes"), 2) not in compliance ("No"), or 3) not applicable ("n/a") for the concessioner under evaluation. The evaluator should ensure the form is filled out in order, as some questions may be inappropriately greyed out if the first question in the sequence is left blank.

If an element is not in compliance or not applicable, use the "remarks" box below Table 1 to provide an explanation, justification, or special circumstances. The applicable element ID should be cited next to each remark.

b. Scoring

Scoring is completed automatically based on entries in the form. See notes at the bottom of the tab for information on scoring.

II. Operational Performance (10-OPR)

This tab shows the service periodic evaluation scoring in greater detail.

a. Instructions

Fill in the (yellow) highlighted cells in the table with the following information:

- *Location* – Concession location/facility being evaluated
- *Service Type* - Service type being evaluated
- *Weighting* - Add a weight value based on the importance of the service to the park: 1 = low importance, 2 = medium importance, or 3 = high importance
- *Periodic Evaluation (PE) Score(s)* – For each location and service type, enter the PE scores (1-5) from the evaluation year. Up to four (4) PE scores may be entered per location and service

In the event that you need additional rows in Table 1: Facility Evaluation, contact NPSCS to request the addition extra rows. NPSCS will add 100 rows to this table and send it back to you.

b. Scoring

Scoring is completed automatically based on entries in the form. See notes at the bottom of the tab for information on scoring.

III. Public Health

a. Instructions

- (1) Fill in *Table 1: Facility Information* with the number of facilities, facility name(s), and any pertinent comments for each facility type listed in the table. If the park has more than one facility of any given facility type, enter all facility names in the same cell separated by a semicolon.
- (2) Fill in the yellow highlighted cells in *Table 2: Inspection Information* with the number of Public Health inspections where the concessioner achieved each specified rating (Satisfactory, Marginal, and Unsatisfactory).
- (3) Fill in the *Additional Notes / Comments* section with the facility type and name for any marginal or unsatisfactory scores. You may also use this section to justify or explain any non-compliance or non-applicable elements.

b. *Scoring*

Scoring is completed automatically based on entries in the form. See notes at the bottom of the tab for information on public health scoring.

IV. Risk Management

a. *Instructions*

- (1) Fill out *Table 1 Program Area Evaluations*. Review each element listed and determine if the concessioner is in compliance. A “yes” indicates that the concessioner is compliant with an element and a “no” indicates that there are meaningful deficiencies found. A “meaningful” deficiency is one that is important enough to impair a concessioner’s ability to provide a safe and healthful environment for visitors or employees.
- (2) Review the concessioner’s operating plan, identify any unique risk management requirements, and assess compliance to fill out *Table 2: Operating Plan*.
- (3) Review the concessioner’s maintenance plan, identify any unique risk management requirements, and assess compliance to fill out *Table 3: Maintenance Plan*.
- (4) For each requirement in *Table 2: Operating Plan* and *Table 3: Maintenance Plan*, indicate whether or not the concessioner is in compliance by choosing Yes, No, or N/A from the dropdown menu.

b. *Scoring*

Scoring is completed automatically based on entries in the form. See notes at the bottom of the tab for information on scoring.

V. Environmental Management

a. *Instructions*

- (1) Fill out *Table 1 Program Area Evaluations*. Review each element listed and determine if the concessioner is in compliance. A “yes” indicates that the concessioner is compliant with an element and a “no” indicates that there are meaningful deficiencies found. A “meaningful” deficiency is one that is important enough to impair a concessioner’s ability to provide environmentally sustainable services and facilities for visitors or employees.
- (2) Review the concessioner’s operating plan, identify unique environmental management requirements, and assess compliance to fill out *Table 2: Operating Plan*.
- (3) Review the concessioner’s maintenance plan, identify unique environmental management requirements, and assess compliance to fill out *Table 3: Maintenance Plan*.
- (4) For each requirement in *Table 2: Operating Plan* and *Table 3: Maintenance Plan*, indicate whether or not the concessioner is in compliance by choosing Yes, No, or N/A from the dropdown menu.

b. *Scoring*

Scoring is completed automatically based on entries in the form. See notes at the bottom of the tab for information on scoring.

VI. Asset Management

a. Instructions

- (1) Fill out *Table 1 Program Area Evaluations*. Review each element listed and determine if the concessioner is in compliance. A “yes” indicates that the concessioner is compliant with an element and a “no” indicates that there are meaningful deficiencies found. A “meaningful” deficiency is one that is important enough to impair a concessioner’s ability to provide a healthy environment for visitors or employees.
- (2) Review the concessioner’s operating plan, identify unique asset management requirements, and assess compliance to fill out *Table 2: Operating Plan*.
- (3) Review the concessioner’s maintenance plan, identify unique asset management requirements, and assess compliance to fill out *Table 3: Maintenance Plan*.
- (4) For each requirement in *Table 2: Operating Plan* and *Table 3: Maintenance Plan*, indicate whether or not the concessioner is in compliance by choosing Yes, No, or N/A from the dropdown menu.

b. Scoring

Scoring is completed automatically based on entries in the form. See notes at the bottom of the tab for information on scoring.

2.4: Annual Overall Rating (10-AOR)

a. Instructions

The overall rating is a ‘roll up’ of all tab scores. The score is calculated automatically as tabs are completed. The evaluator must review the annual overall rating with the superintendent. The annual overall rating is approved and signed by the superintendent.

The superintendent has the authority to adjust the AOR rating by one rank in either direction (higher or lower). Please use the space provided to enter the superintendent-approved rating. If the rating has been adjusted from the calculated rating, provide narrative to explain the adjustment. Please see tab "Instructions and TOC" for instructions on signing the AOR.

b. Scoring

The superintendent has the authority to adjust the AOR score, and may do so using this tab.

- (1) *Table 1: AOR Score* fills out automatically.
- (2) Fill out the superintendent approved rating and narrative sections in *Table 2: Superintendent Approval/Signature*. The evaluator must provide narrative in row 34 to explain any changes to the AOR rating.
- (3) Fill out the evaluation narrative for each applicable header (row) in *Table 3: Evaluation Narrative / Comments*. Enter “N/A” for any headers which are not applicable.

2.5: Signed AOR

When the workbook has been completed, the Annual Overall Rating page (10-AOR) must be signed by both the superintendent and the concessioner. To do this:

- a. Print the *Annual Overall Rating (10-AOR)* page,
- b. Have the superintendent and the concessioner sign the hard copy signature page,
- c. Scan the signed document and save as PDF, and
- d. Insert the PDF as an image into the *Annual Overall Rating (10-AOR)* tab.

To insert the signed PDF page as an image into this workbook:

- a. Open the PDF in Adobe or a similar PDF viewer.
- b. Copy the PDF page as an image using one of the following methods:
 - i. Take a screenshot
 - ii. Use the "Snapshot" tool under the "View" tab (Adobe)
 - iii. Save the PDF as an image file
- c. Navigate to the "Signed AOR" tab in this workbook. Select Cell B2.
- d. Paste the PDF image onto the page.

For more detailed instructions on printing and scanning, please refer to the *Instructions and TOC* tab in the Workbook.