

2016

# A Qualitative Study Comparing Proposals Used to Evaluate Airport Concessionaires

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Walden University

College of Management and Technology

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has been found to be complete and satisfactory in all respects,  
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the review committee have been made.

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Walden University

2016

Abstract

A Qualitative Study Comparing Proposals Used to Evaluate Airport Concessionaires

by

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MBA, University of Miami, 1982

BBA, University of Miami, 1960

Dissertation Submitted in Partial Fulfillment

of the Requirements for the Degree of

Doctor of Philosophy

Management

Walden University

November 2016

## Abstract

This qualitative case study was used to examine the Request for Proposal (RFP) evaluation process used by airports for selecting concessions business operators, including retail and duty-free gift shops, restaurants, newsstands, and public parking. The case consisted of 42 purposefully selected RFPs from 35 airports representing 92% of all U.S. commercial airline passenger traffic compared against guidelines found in *Airport Cooperative Research Program (ACRP) Report 54*. A problem occurs when evaluation outcomes are challenged because of perceptions of bias, and formal protests and legal claims create delays that disproportionately affect small and minority-owned businesses. The purpose of this study was to compare RFP documents for congruence and influences of concessionaire evaluation ratings. Qualitative data analysis, qualitative content analysis, and interpretive coding were used to explain socioeconomic factors inferred from the documents. Gaps existed in available literature for the effect of airport size, governance type, and evaluator motivation on the RFP process. Study findings showed weighted evaluation criteria inconsistencies with the guidelines, evidence of innate governance system influences, government-operated airport RFP preference of revenue generation measures and socioeconomic attachments, independent authority operated preferences for command and control measures, and potential for the use of standardized core evaluation criteria. By challenging the premise of a bias-free government procurement process, positive social change was achievable through this study's reinforcement of federally qualified small and minority business expansion initiatives promoting open participation and fair competition in concessions opportunities at U.S. commercial passenger airports.

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## Dedication

I dedicate this effort to my beloved parents, Joseph and Rose Kayal, for raising three sons in a happy and loving home, and for teaching us to value hard work, perseverance, and respect for others. I dedicate my thesis to my parents-in-law, Mitchell and Mary Sirgany, whose entrepreneurship and pioneering spirit led to the opening of one of the first retail gift shops at a major U.S. airport. Because of their vision and encouragement, the privilege and opportunity to participate in the extraordinary growth and expansion of our family's 57-year record of continuous and successful business operation were afforded me. Now, under the third-generation leadership of my son, Raymond J. Kayal, Jr., what began as a single airport gift shop has turned into a chain of contemporary airport specialty stores, newsstands, and themed restaurants that continue the legacy each day by serving millions of passengers at major U.S. airports.

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Lastly, I thank my dear wife, Loraine; my daughters, Renee and Mary; my son, Ray, Jr.; and all the relatives and close friends whose encouragement, patience, and understanding provided the social respite necessary throughout this remarkable journey.

“For forms of government let fools contest,

That which is best administered is best.”

- Alexander Pope (1688–1744)



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## Chapter 1: Introduction to the Study

Commercial aviation became the preferred mode of distance transportation when Congress passed the Civil Aeronautics Act of 1938 (Public Law 76-706). Airports are among the “nation’s vital resources in transporting people and goods in regional, national, and international commerce,” according to *Airport Cooperative Research Program (ACRP) Report 54: Resource Manual for Airport In-Terminal Concessions* (as cited in ACRP, U.S. Federal Aviation Administration, LeighFisher [Firm], & Exstare Federal Services Group, 2011, p. 2). More than 4,000 U.S. airports operated in 2012, most of which were publicly owned and controlled (Alfert et al., 2012). The U.S. Department of Transportation (DOT) recently reported that in 2014, 574.3 million scheduled passengers traveled on U.S. and foreign-owned airlines serving the United States. The total contribution to the U.S. economy from civil aviation in 2012 totaled \$1.5 trillion (FAA, 2014b), and five of the top 10 airlines and airports in the world in passenger miles and cargo handling are U.S.-owned and operated (Airports Council International [ACI], 2012). Federal, state, and local government initiatives provide social, economic, and financial assistance for small and minority-owned businesses. As such, U.S. commercial passenger airports are public policy initiatives commissioned by an aggregation of federal, state, and local laws and ordinances. The general rules and guidelines for the airport disadvantaged business enterprise (DBE) program are in the C.F.R., Title 49, Parts 23 and 26 (*Statement of the Airport Minority Advisory Council (AMAC) for the record*, n.d.). The Airport Concessions Disadvantaged Business Enterprise (ACDBE) Program regulations outlined in 49 CFR Part 23 were enacted in 1987 and mandated by 49 United States Code (U.S.C.) 47107(e). CFR Part 23 was

amended again in 1992 to incorporate provisions of U.S. DOT DBE Program regulations (49 CFR Part 26). Combined with the Civil Rights Act of 1964, Civil Rights Act of 1964/Title VI, ACDBE: Program Improvements: Final Rule 2012, and the Competition in Contracting Act of 1984, 31 U.S.C. § 3554(e) (2) (2006), these laws and ordinances are all directed toward effecting positive social change, which is supported by this study.

According to the *Resource Manual for Airport In-Terminal Concessions* (contained in ACRP et al., 2011), hereafter referred to as “ACRP Report 54,” the Request for Proposal (RFP) process, illustrated in Figure 1, is the standard means used worldwide for selecting airport concessionaires.

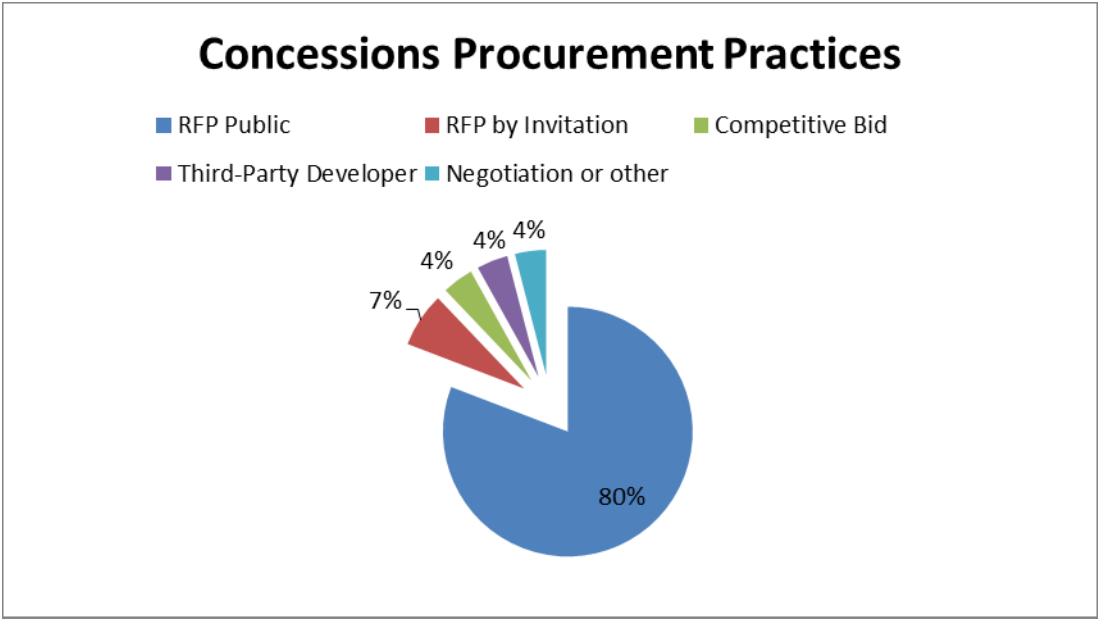


Figure 1. Airport concessions procurement practices. Reproduced from ACRP Report 54, Airport Cooperative Research Program et al. (2011), Figure 10-1, Method of awarding food and beverage and retail concession privileges (large, medium, and small hub U.S. airports), p. 158.

My qualitative comparative case study provided airport administrators and concessionaires with an alternative view that could help mitigate process protests, claims of bias, and legal actions by improving RFP evaluation processes that include public policy assistance programs intended to provide economic opportunities for small and minority business owners. The success of this study adds clarity and transparency to federally funded commercial airport implementations of concessions programs as part of the overall U.S. aviation system.

### **Background of the Study**

The topic of this qualitative comparative single-case study was U.S. primary airport commercial contracting, and the subject investigated was the request for proposal (RFP) and evaluation process used for leasing airport concessions operating space. The purpose for conducting this study was to compare and analyze the sample concessions RFPs and the benchmark ACRP Report 54, and to identify a discrete group of socioeconomic values that could influence the evaluation rating and ranking of concessionaire responses.

The evaluation process is a phenomenon that begins with public notices of RFP solicitation containing qualification and selection standards and continues until concessionaires are selected and contracts awarded. The study's factors were (a) concessionaire qualifications and weighted evaluation criteria, (b) airport hub size (small, medium, and large), and (c) governance system form (either direct government agency or independent authority). The “single-case” was the group of airports purposefully selected for comparison from the stratification of 86 primary airports. The study's units of analysis were the documents that contain the qualification and evaluation criteria examined.

ACRP Report 54 was the central part of the research design, and the data contained in the report described the rubric form used to analyze RFP data. The rubric model provided a systematic grading process for each of the categorized factors, and a simple scoring range was used to code each factor aspect for relevance.

Literature gaps were identified and addressed by comparing and analyzing the contents of 42 RFP documents in search of socioeconomic values and variations in criteria between ACRP Report 54 and the RFPs. By highlighting the need for a core of standards in conjunction with airport-specific criteria, my study's findings extend the research of Alfert (2012), Mills and Koliba (2008), ACRP et al. (2011), and Reimer, Putnam, and McDaniel (2009). Most research on purchasing activities has concentrated on the private sector (Prier, Schwerin, & McCue, 2016). Where prior research addressed airport concessions contracting with descriptive, prescriptive, and proscriptive methods and practice protocols (e.g., Airports Council International [ACI], 2012; Minchin & Smith, 2001; ACRP et al., 2011), my study examined evidence of decision-maker motivation based on socioeconomic factor influences acquired through cognitive association with airport size and governance system as influencing factors.

I reviewed several research studies that considered governance type tangentially in examining airport concessions procurement processes. Typical research tended to focus more on the business operations of concessions and program implementation requirements when considering concessionaire contract proposals (Fuhr & Beckers, 2009). The detailed guidelines offered by ACRP Report 54 were used as benchmark comparisons for this study. Minchin and Smith (2001) examined state Departments of Transportation conduct of bidder evaluations in the competitive processes used for

government construction contracts, which resulted in the adoption of quality-based guidelines for contractors by the Federal Highway Administration (FHA, 2014), FHWA-HRT-14-035. Where choices between competing concession proposals were required, however, not one study I examined included airport hub size or governance type as a superordinate influence on decision-maker motivation.

Several researchers found organizational culture to be a critical aspect of decision making (Andish, Yousefipour, Shahsavaripour, & Ghorbanipour, 2013; Özmen, 2013; Steenkamp & Geyskens, 2012). The findings of these and other cultural theorists helped to determine my choice of document comparison and qualitative content analysis as research methods for conducting this study. In making alternative-choice decisions, Molden (2012) examined how individual desire for preferred outcomes (referred to as *outcome preferences*) versus group-determined *strategic preferences* influence judgment and how use of strategies incompatible with individual preferences can affect judgment.

Conducting this research study required my comprehensive examination of the RFPs and ACRP Report 54 for concessionaire qualification and evaluation criteria, percentage weights for each evaluation criterion, and differences between airport classifications and governance types. Retail space competitive-leasing models used by airport managers can result in uneven distributions of business opportunities that are disadvantageous for smaller firms attempting to enter the market. As a result, public policies promoting socially equitable commercial and economic balance between competing concessionaires of different size and net worth are undermined.

I compared RFPs for differences between airport-designated qualification and evaluation criteria and those outlined in ACRP Report 54. The study included data

coding, categorizing differences in sampling based on airport hub size and governance type, and observations from which relationships were likely to extend to the population of all U.S. primary airports. I explored documents for evidence of social and economic factor influences relevant to the problem and representative of the study's conceptual framework and theoretical basis. I examined the documents for inherent decision-maker biases due to socioeconomic value influences and decision-maker association with one or the other of two governance systems.

I looked for conditions where phraseological distortions could lead to evaluator downgrading of concessionaire proposal responses. The relationship between faulty or misleading RFP language leading to unintended consequences and allegations resulting in claims of bias was also advanced by others (Alfert, Ryan, Block, & McDaniel, 2012; Hanks, 2014b; Stafford & Bradel, 2013; White, 2013). RFP protests and legal claims of bias are concerns for all stakeholders, especially the small and minority-owned businesses for which government assistance policies have been embedded in public laws and regulations governing all U.S. commercial airports funded by the FAA's Airport Improvement Program (AIP).

In ACRP Report 54, the lack of government-accelerated research on airport concessions focusing on tenant centrality was noted, and airport administrators were encouraged to take a more structured approach to tenant issues in planning airport space utilization. A recent congressional report by the Government Accountability Office (GAO) examined airport-centric development at 14 purposefully selected U.S. airports and found established multilateral collaborative committees composed of airport stakeholders in existence to further airport-centric development (Dillingham, 2013).

Current processes used by U.S. airport evaluating committees that incorporate several quality-rating constructs, such as unweighted evaluation criteria, can render decisions subjective and suspect (ACRP et al., 2011). Airport administrators trust evaluation committee members to make selections objectively. Superior evaluators perform in an exemplary manner when they take in the breadth and depth of all process components, including the self-interests, needs, and objectives of the host airport and the capabilities of the proposing concessionaires (ACRP et al., 2011).

If evaluators focus solely on how organizationally expansive and financially able a competitor is, then a simple high or low rating would be an easy choice, and a clear winner would take all in being awarded an operating agreement. Situations arise, however, where differentiation between vendor quality and future performance is nonexistent or difficult to discern, and picking a winner is largely a matter of evaluator judgment. Serving on an evaluation committee involves more than simply following the steps outlined by the evaluating committee's author—the airport sponsor, whether a government agency or independent authority. In weighing the merits of each concessionaire's proposal response, evaluation committee members are responsible for understanding how the weighted criteria he or she imposes are likely to benefit the airport. Airports of similar hub size and governance type have shared characteristics that do not necessarily correlate with differences and issues of local population demographics. When an evaluator's professional or environmental enculturation mirrors the evaluating airport's organizational culture and governance type, the potential for the cognitive association of similarities is probably greatest, whereas different evaluator enculturation diffuses cognitive connection. When improperly organized and administered, public



policy initiatives promoting business and economic opportunities for qualified small businesses and ACDBEs fail, and public confidence in the initiative is diminished.

### **Problem Statement**

The problem this study examined is the perception of bias when concessionaire proposals are downgraded and unsuccessful proposers allege misconduct in the way evaluation ratings and rankings are determined in contrast with published evaluation criteria, which leads to losing bidder protests and legal challenges (Maser & Thompson, 2013; White, 2013). Whether intentional or not, situations can arise where misinterpretation and/or misapplication of the evaluation criteria cause problems. According to Maser and Thompson (2013), many smaller suppliers do not understand the complexities in responding to RFPs, and “proposals regulations, which were designed to create fairness, [can] have the opposite effect” (p. 301). Airport procurement contracting processes for goods and services are typically landlord centric, principally due to the volume of multilevel government regulations and enforcement requirements (Dillingham, 2013). Concessions contracting processes usually feature rigid airport-landlord to concessionaire-tenant leasehold use provisions, robust administrative procedures, a principal–agent competitive business relationship, award evaluation metrics emphasizing tenant dollar investment for operating space construction build-out, and high airport revenue expectations from the tenant landlord (Fuhr & Beckers, 2009).

### **Purpose of the Study**

The purpose for conducting this study was to compare and analyze the sample concessions RFPs and the benchmark ACRP Report 54, and to identify a discrete group of socioeconomic values that could influence the evaluation rating and ranking of

concessionaire responses. The aim of this study was to provide a more holistic picture of the evaluation selection phenomenon, not to provide a prescriptive approach to concessions procurement or RFP evaluation processes; to do so would be to take a position that could lead to a false perception of promotion favoring the interests of a single stakeholder group.

The objective of this qualitative comparative case study was to encourage development and use of standardized core selection criteria enhanced by supplemental criteria tailored for local markets.. The intent of this study was to bring greater clarity and transparency to a public policy process that is an essential part of the U.S. aviation system in a way that will enhance stakeholder confidence and encourage small and minority-owned business participation.

### **Research Questions**

The research questions established the adequacy of the sample size and provided the canvas for the problem and purpose. The research questions defined the type of data I collected and the procedures necessary to use the data to answer the questions. The following three questions extracted a maximum of in-depth research activity from a complicated case:

RQ1. How do concessionaire requirements and evaluation criteria used at U.S. primary airports compare with those recommended by ACRP Report 54 (ACRP et al., 2011)?

RQ2. How can socioeconomic values relate to decision-maker choices in airport concession procurement processes?

RQ3. How can one set of core evaluation criteria for airport classifications of size and governance differences be justified for common use?

Research Question 1 and Research Question 2 arose out of the problem statement, directly addressed the problem premises of legitimacy and consistency, and helped to orchestrate the progression of study elements that followed. Research Question 3 implied that governance system enculturation affected decision-makers' views of social and economic factors that could have adversely influenced value ratings and rankings. Analysis scholars consider research questions to be the primary objects of textual inferences (Elo et al., 2014; Krippendorff, 2013; Onwuegbuzie, Leech, & Collins, 2012).

To address the research questions, I reviewed airport, general business, and public procurement research material that informed best practice guidance, which included Alfert et al. (2012), Dillingham (2013), Hanks (2014a), Kar (2014), Kar and Pani (2014), ACRP et al. (2011), Thai (2009), and White (2013). I compared documents and analyzed content inferentially for meanings and differences between criteria used in a sample of 42 RFPs from a population of 86 airports categorized by industry size and governance type. The criteria depicted in Appendix C, which I used for my selection of the nonrandomized sample of airport RFPs, included the industry classification for U.S. primary airports, airport passenger capacity of 1 million or more enplanements annually (see Table 1), and airport governance operation by either a government agency or an independent aviation authority.

### **Theoretical Foundation**

The search for theories uncovered several lenses appropriate for examining the complicated airport concessions procurement rating and ranking process. None was

limited to a single business or social domain, which helped to reinforce the study. Decision theories that help in explaining why and how people and organizations decide provided the framework within which I abstracted data in response to the research questions. The final selection of theories referenced for relevancy and importance to my study produced the socioeconomic factors from the gaps found in the review of literature relevant to the qualifications and evaluation criteria contained in ACRP Report 54 and the sample RFPs. The purpose for having competitive RFP and evaluation processes is to help airport evaluation committees identify a future best performer to select. The theoretical foundation established for this study was appropriate because “the hallmark of theory is prediction” (Friedman, as cited in Devlin & Jacobs, 2013, p. 1018), and the subject and topic of my study both hinged on behavior mechanisms that determine future outcomes.

### **The Socioeconomic Factors**

The social factors include human and/or behavioral motivators of equity, justice, morality, power, and sustainability. The economic factors include the economic influencers of agency, competition, rational choice, stakeholder theory, and the macroeconomic tripartition of supply, demand, and price. These social and economic theories form the socioeconomic concerns affecting the design and implementation of concessionaire selection criteria. Rational choice, social equity, and justice are embodied in the business ethics of socially and economically sound, equitable, and deliberately construed and implemented concessions procurement processes. Chapter 2 contains greater detailed expression and review of the theories relied on in support of this socioeconomic foundation.

Table 1

*U.S. Airport Classifications*

Airport Classifications		Hub Type: Percentage of Annual Passenger Boardings	Common Name
<b>Commercial Service:</b> Publicly owned airports that have <i>at least</i> 2,500 passenger boardings each calendar year and receive scheduled passenger service <b>§47102(7)</b>	<b>Primary:</b> Have <i>more than</i> 10,000 passenger boardings each year <b>§47102(16)</b>	<b>Large:</b> 1% or more	<b>Large Hub</b>
		<b>Medium:</b> At least 0.25%, but less than 1%	<b>Medium Hub</b>
		<b>Small:</b> At least 0.05%, but less than 0.25%	<b>Small Hub</b>
	<b>Nonprimary</b>	<b>Nonhub:</b> More than 10,000, but less than 0.05%	<b>Nonhub Primary</b>
<b>Nonprimary</b> (Except Commercial Service)		Not Applicable	<b>Reliever</b> <b>§(47102(23))</b> <b>General Aviation</b> <b>(47102(8))</b>

Note. From "Airport Categories," by Federal Aviation Administration, 2016

([https://www.faa.gov/airports/planning\\_capacity/passenger\\_allcargo\\_stats/categories/](https://www.faa.gov/airports/planning_capacity/passenger_allcargo_stats/categories/)). In the public domain.

<sup>a</sup>Commercial Service Airports are publicly owned airports that have at least 2,500 passenger boardings each calendar year and receive scheduled passenger service. Passenger boardings refer to revenue passenger boardings on an aircraft in service in air commerce whether or not in scheduled service. The definition also includes passengers who continue on an aircraft in international flight that stops at an airport in any of the 50 States for a non-traffic purpose, such as refueling or aircraft maintenance rather than passenger activity.

Passenger boardings at airports that receive scheduled passenger service are also referred to as Enplanements. <sup>b</sup>Nonprimary Commercial Service Airports are Commercial Service Airports that have at least 2,500 and no more than 10,000 passenger boardings each year. <sup>c</sup>Primary Airports are Commercial Service Airports that have more than 10,000 passenger boardings each year. Hub categories for Primary Airports are defined as a percentage of total passenger boardings within the United States in the most current calendar year ending before the start of the current fiscal year. For example, calendar year 2014 data are used for fiscal year 2016 since the fiscal year began 9 months after the end of that calendar year. The table above depicts the formulae used for the definition of airport categories based on statutory provisions cited within the table, including Hub Type described in 49 USC 47102. <sup>d</sup>Reliever Airports are airports designated by the FAA to relieve congestion at Commercial Service Airports and to provide improved general aviation access to the overall community. These may be publicly or privately-owned. <sup>e</sup>General Aviation Airports are public-use airports that do not have scheduled service or have less than 2,500 annual passenger boardings (49 USC 47102(8)). Approximately 88 percent of airports included in the NPIAS are general aviation.

## **Conceptual Framework**

I derived the demographic factors from the qualification requirements and evaluation criteria contained in ACRP Report 54 and sample RFPs categorized by airport size and governance type. I compared and analyzed RFP documents inferentially for variations in meaning of concessionaire qualification and evaluation criteria by airport size and governance type (defined by Table 1), and I compared them against the concessionaire qualification and evaluation criteria recommended in ACRP Report 54. The airport governance models selected for examination in this study were (a) publicly owned and operated by government agencies and (b) publicly owned and operated through independent aviation authorities. Tretheway (2001) listed six airport governance models, which Ernico, National Research Council, Transportation Research Board, Airport Cooperative Research Program, and U.S. Federal Aviation Administration (2012) condensed into the following four generic models, listed from least to most privately controlled:

1. Publicly owned and operated.
2. Publicly owned and privately operated.
3. Mixed public–private ownership and privately operated.
4. Privately owned and operated.

## **Nature of the Study**

This study was primarily a business research effort that relied on behavioral theories of individuals and organizations and drew on a range of social and economic theories. Case study research is useful for answering *how* and *why* questions and where

“relevant behavior cannot be manipulated” (Yin, 2014, pp. 11, 12). Following Yin’s (2014) analysis of research as a secondary source for generating data in a primary research study, I focused on finding concessions contracting and proposal evaluation material that could inform airport administrators on ways to improve procurement initiatives by concentrating on the evaluating tools. Understanding real-world examples of airport contracting required meaningful contextualization of its premise regarding workplace influence on ethical decision making (Wang, Zhong, & Murnighan, 2014). Sufficient evidence existed to indicate that actors from different airport environmental cultures viewed program planning and implementation of airport strategies and concessions contracting differently.

With decision theory forming the portal through which all other abstractions passed, behavioral theories of social and economic factors provided the study’s context. Arriving at reasoned business decisions in two-party settings, therefore, called for an examination of human nature and decision-maker criteria setting and interpretation similar to the deductive Piagetian dual process theory of “transitive reasoning” (Wright, 2012, p. 89). The overarching rationale for my study was that evaluator motivation stemming from personal association or familiarization with one of the two governance types influences the establishment of criteria rating and ranking of bidder protocol, and one or more of the socioeconomic theories examined herein has informed this attachment. The theories examined may not be all inclusive, but sufficient researcher confidence indicates that they are representative of all. An important objective of this study was to uncover evaluation criteria differences that give rise to socioeconomic influences over evaluator rating and ranking decisions. Wherever possible, the

information search encompassed a review of economics, law, social justice, and ethics in gathering data from the RFPs for comparison with ACRP Report 54.

### **Definitions of Terms**

*Airport contracts and contracting:* U.S. commercial airports are FAA certified under Title 14 Part 139, Certification of Commercial Service Airports, and are operated directly by government entities or government-created independent aviation authorities. The airports lease space to companies operating for-profit businesses for the convenience of the traveling public, such as retail stores and parking facilities (Reimer et al., 2009).

*Airport sponsors:* The entities that own most of the U.S. commercial aviation airports (Reimer et al., 2009).

*Concession:* The grant of exclusive privileges by a government, such as being the only seller of a good or service (Kim & Shin, 2001).

*Concessionaire:* A private company that competes for leased space at airports and offers a variety of products and services to airline passengers, airport employees, and the public (Kim & Shin, 1999).

*Deplanement:* Getting off arriving aircraft at an airport terminal (Airport Revenue News, 2013).

*Devolution:* Intergovernmental agency relationships whereby agency function and size decrease due to contracting to private nongovernment organizations and others (Tretheway, 2001).

*Enplanement:* Boarding a departing aircraft from an airport terminal (Airport Revenue News, 2013).

*Hub airport:* Busy commercial service airport (FAA, 2014b).



*In terminal:* The enclosed portion of an airport terminal building (ACRP et al., 2011).

*Meeters and greeters:* In the industry lexicon, refers to those individuals who accompany passengers to or from security positions or gates (ACRP et al., 2011).

*Monopsony:* An economic term that defines a monopolistic activity whereby the market exists with a single buyer (“Monopsony,” 2013).

*Organizational ambidexterity:* An organization leadership’s ability “to both explore and exploit—to compete in mature technologies and markets where efficiency, control, and incremental improvement are prized and also to compete in new technologies and markets where flexibility, autonomy, and experimentation are needed” (O’Reilly & Tushman, 2013, p. 324).

*Primary airport:* Primary airports have four classifications: large hub, medium hub, small hub, and no hub (FAA, 2014b).

*Privatization:* Privatization refers to shifting governmental functions and responsibilities, in whole or in part, to the private sector (Ernico et al., 2012).

*Procurement:* In the sense of a public function, procurement refers to an overall process of acquiring goods and services, which includes selection and solicitation of sources, preparation and award of the contract, and all phases of contract administration through the end of term or life of an asset (Thai, 2009).

*Request for Proposal (RFP):* The RFP method is suitable where airport administrators minimally specify products or services because the potential for product or service differentiation between proponents places qualitative consideration ahead of price (ACRP et al., 2011).

*Request for Qualifications:* The Request for Qualifications (RFQ) method is used for cases in which the buyer believes that the individual or firm reputation and experience of the proponent is the essential factor to take into consideration in evaluating proposals (ACRP et al., 2011).

*Stakeholder:* A stakeholder is “any single individual or group of people or functional bodies that are involved in the process of achieving organisational objectives. Stakeholders can be defined as any group or individual that can affect or be affected by the process of achieving business objectives” (Freeman, as cited in Hamidu, 2015, p. 89).

*Straight bid:* The invitation to bid to specifications method of solicitation used where no differentiating factors in the specified product or service are prevalent, and the price is the primary basis for selection (ACRP et al., 2011).

*Sunk costs:* Sunk costs are already-incurred costs that business owners cannot recover, that do not change regardless of the action chosen, and that business owners should ignore in making a rational choice (Yoder, Mancha, & Agrawal, 2014).

*Tender:* To invite, or accept, a formal offer for a project or a proposal. Tender usually refers to the process whereby a government agency invites suppliers to submit bids or proposals before a finite deadline. Most agencies have a well-defined competitive bidding process to govern the opening, evaluation, and final selection of vendors to ensure that the process is fair and transparent (“Tender,” 2013).

### **Assumptions**

The following assumptions were made from the gaps identified through the literature analysis:

- The guidelines embodied in ACRP Report 54 represented the ethical tenets by which individual airport RFPs should be compared in both narrative and process implementation.
- A premise of legitimacy in government procurement practice indicates that the evaluation criteria used for rating and ranking concessionaire proposals are free of bias and uniformly applied.
- Perceptions of inconsistency when scoring evaluation criteria cause RFP responses to be downgraded.
- Airport concession RFP documents were available and obtainable from the Internet or directly from cooperating airport managers.
- Evidence of associations between evaluation criteria and socioeconomic values contained in ACRP Report 54 and RFPs exists.
- The process used to evaluate the RFP was aligned with the legitimacy premise of an unbiased tender process.

All assumptions applied to each of the three research questions, except for the assumption of document availability.

### **Scope and Delimitations**

The study involved qualitative content analysis and abstraction of socioeconomic underpinnings from the RFPs used by a sample of U.S. primary airports. I compared RFP evaluation criteria against criteria outlined in ACRP Report 54 (ACRP et al., 2011; see Table 10). The study showed why and how data abstracted from variations in RFP concessionaire qualifications and evaluation criteria can influence response ratings and rankings, and to what degree the categorical factors correlated.

Industry-specific experience and familiarity with the study's conceptual framework were both delimiting and boundless for the study in my abstraction, formulation, and presentation of data. The study was bounded because data sources originated from public records documents. Data extraction and inference gathering, however, were boundless because of my industry experience and subject knowledge. As described by Krippendorff (2013), researcher expertise helped increase my study's trustworthiness and reduced outcome bias.

### **Limitations**

According to Yin (2014), case study research does not involve generalizing from a part to a whole, as from a sample to a population from which it came; rather, case study research propositions provide context for “analytic generalization” (p. 41). In my case study, outcome transferability was not diminished because I used a proportionately larger size of a target population (86 of 506, or 17%) of all commercial airports, which mitigated the chance for nontransferability. The lone industry-related RFP evaluation rating criteria contained in ACRP Report 54 came from a survey of airport food and beverage operators. (A better benchmark would have been possible if ACRP Report 54 contained criteria for newsstands and gift shops in addition to those for food and beverage operations.)

Sample size limitation was mitigated by the magnitude of the sample, and sample size saturation was increased further by my level of industry experience. The relatively small population of 86 airports from which to draw the sample of 42 RFP documents had little effect on subgroup participation inequality, which would have skewed the analysis result. Care was taken not to include RFP documents containing nonweighted evaluation

criteria that could have limited the study's focus. Subjectivity, however, was an inherent limitation because, as the researcher, I had control over the design, and my perceptions influenced the document analyses. Although the use of QDA software helped mitigate much of the "soft" data input and manage categorization of an enormous amount of information, judgmental data selection was somewhat obscured. Additionally, the complicated nature of this study required broad use of primary research sources (i.e., original and "mature" researchable references) of fundamental, historical, and legal importance relating to my subject. The study made no allowances for airport geographical locations or municipal area demographic and political preferences, which would have randomized the study's focus.

### **Significance of the Research**

#### **Significance to Theory**

The nature of this study's topic, problem, purpose, and research method required the use of public records and legal documents as sources of information on which to support the data collected. The substantial amount of public and private investment in airport commercial ventures and the short investment recovery time relative to average concessionaire lease-life leaves little room for airport administration or concessionaire judgment errors. Entry into the airport concessions business has higher average financial, economic, political, and technological costs and barriers than entry costs for firms located elsewhere (ACRP et al., 2011; Calabresi & Liebowitz, 2013; Kim & Shin, 1999). This study has the potential to raise the level of opportunity for all process participants, regardless of size and net worth, by adding value to existing research and industry-wide monitoring processes that encourage equal opportunity, especially for small and ACDBE

entrepreneurship, and strengthen airport management's commitment to 49 C.F.R. Parts 23 and 26. Small and protected-class business owners can gain confidence and encouragement from this study's findings in knowing the process for evaluating participation in future processes has undergone such a unique investigation.

### **Significance to Practice**

This research study is significant for owners of small, local, and minority-owned businesses who must rely on fairness and equal opportunity when competing for airport retail operating leases. Small and minority-owned airport concessionaires rely on specific federal laws. These laws include the Participation of DBE in Airport Concessions: Final Rule and Proposed Rule (2005), ACDBE: Program Improvements: Final Rule (2012), and Participation by DBEs in DOT Financial Assistance Programs (2010), requiring compliance features affecting other airport concessionaires and stakeholders to uphold, such as required mentoring and joint-venture contract participation opportunities. Small and minority-owned concessions businesses typically lack sufficient size to endure periods when RFP opportunities are infrequent. The financial and economic costs of market entry and maintenance for concessionaires are significant. Typically, procurement processes occur at 5- or 10-year intervals and last for several months (sometimes a year or more, depending on the number of RFP revisions or protest challenges), which adds to small-scale operator difficulties (ACRP et al., 2011; Fuhr & Beckers, 2009; Kim & Shin, 1999).

### **Significance to Social Change**

This study was timely and valuable because of increased public scrutiny of government-sponsored support programs for business (Stafford & Bradel, 2013). In

response to growing scrutiny of the U.S. Small Business Administration's (SBA's) 8(a) development program, administrators ramped up support for longtime small business owners, DBEs, and ACDBEs to remain in business. Further highlighting the study's significance is the underlying social purpose for which the federal government established public policies regulating commerce in support of minority-owned business establishments and participation in federally assisted programs.

The underlying social purpose of minority-owned business participation in federal assistance programs requires federal and state government contracting for products and services with private parties to be governed by laws, statutes, and ordinances, starting with the Commerce Clause of the U.S. Constitution. Specific laws and ordinances governing federally supported contracting activities undertaken by the U.S. primary airports system that help to regulate these programs were mentioned previously and are all directed toward effecting positive social change.

### **Summary and Transition**

In Chapter 1, I have shown that U.S. commercial passenger airports are valuable community assets that energize and encourage economic growth and stability. The substantial contribution of the airport retail establishment provides further evidence of the airport system's public value. In Chapter 1, I have also informed airport planners on the importance of appropriate criteria for designing competitive RFPs that help to reduce bias and prevent undesirable outcomes (e.g., protests or contract disagreements) in leasing retail space (Maser & Thompson, 2013; White, 2013).

In Chapter 2, I present the necessary theoretical base forming the context for this study. Socioeconomic theories were the pillars upon which I analyzed data for possible

influences in multiple-rater evaluation decisions. Chapter 3 includes an explanation of the methodology, content analysis, data collection, and analysis method used, concluding with an explanation of the importance of the study. Chapter 4 contains the results of the document comparisons and content analyses, showing differences between airport evaluation criteria and the ACRP Report 54 analysis using simple arithmetic to measure trends in concordance and convergence. In Chapter 5, the study concludes with exposition on the benefit of industry-wide acceptance and use of core criteria that are socially positive for evaluating concessionaire RFP responses.



## Chapter 2: Literature Review

The literature search revealed no industry-specific study showing relationships between evaluation criteria policy development, implementation, and decision-maker motivational orientation. Despite having a broad industry-wide resonance for such research, from both a legal and a moral evaluation of concessions policy development and assessment of committee member selection, I could find no such material. ACRP Report 54 is an essential industry guide for use by a multitude of stakeholders and provides airport administrators direction for establishing concessionaire evaluation and selection criteria built on ethical pillars of socioeconomic values attachments.

Throughout the literature review, I searched for topical relevance in research grounded in airport governance and vendor procurement practices. In keeping with my literature review strategy, my approach was to develop a conceptual framework reflecting traditional and contemporary behavioral theories, which gave context to the research problem and provided the theoretical foundation in support of the research topic and linking the concept with the theories (e.g., Hanks, 2014a; Maser & Thompson, 2013; White, 2013).

### **Literature Search Strategy**

As previously noted, the subject-specific research available for examination was minimally representative (e.g., ACRP et al., 2011; Alfert et al., 2012; Graham, 2011; Kar, 2014; Kar & Pani, 2014; Maser & Thompson, 2013; Taylor, 2010; Tellijohn, 2014), and most of the literature available had only limited relevance to the study topic. Available literature was focused primarily on airport financial and economic impact, privatization, space planning, security, concessions programming, and government regulation. This

emphasis on airport operations and administration was insufficient for my purpose, which required a behavioral concentration that would provide the study with context for addressing the research questions. To address the literature gaps effectively, a different approach was necessary because the premise of a “presumptive trust among the government-business participants in the source-selection process” (Maser & Thompson, 2013, p. 291) is reflected by behavioral as well as process responsiveness.

Kar (2014) developed a vendor selection model using a mixed-methods approach and aggregating selection priorities by uniquely investigating group decision making for process and potential for bias. By comparing salient differences between airport RFP concessionaire qualifications and selection criteria against ACRP Report 54, my qualitative study addressed issues similar to those addressed by Kar (2014), with the added premise of consistency and frequencies of attribute influences. I examined information obtained from scholarly journals, government documents, conference papers, business associations, airport operators, newspapers, and other sources containing airport-related topics. Article searches took place principally through databases provided by the Walden University Library, as well as other academic libraries I could access on the Internet. Keyword search entries included *multiple rating, research design, research evaluation, airport retail, passenger demography, capital investment, privatization, nonaviation revenue, airport retail, airport governance, government procurement, government contracting, airport privatization, and airport governance*.

The database search included mainly U.S. airports, and the final selection of research examined included both U.S. domestic and foreign studies. Relevant literature

was located through the following websites, several of which required separate membership and fees:

- Academy of Management—<http://www.aonline.org>,
- Alacra—<http://www.alacrastore.com/help/privacy>,
- American Psychological Association—<http://www.apa.org>,
- Business Journals Online—<http://www.bzjournals.com>,
- Encyclopedia Britannica—<http://www.britannica.com>,
- Emerald Research Group—<http://www.emeraldinsight.com>,
- Financial Times—<http://www.ft.com/home/uk>,
- HighBeam Research—<http://www.highbeam.com>,
- Ingenta Research—<http://www.ingentaconnect.com>,
- Merriam-Webster—<http://unabridged.merriam-webster.com/>,
- Questia Media—<http://www.ingentaconnect.com>,
- Sage Publications—<http://www.sagepub.com>,
- Science Direct— <http://www.sciencedirect.com/science/alerts>, and
- Wiley-Blackwell—<http://www.wiley.com/wiley-blackwell>.

Most of the above websites contained field-specific documents. For example, the Academy of Management, Business Journals Online, and Financial Times offered management subject articles. HighBeam was useful for researching old and new newspapers, magazines, academic journals, newswires, and trade journals. Over the period required for completion of the literature search, technological improvements

combined with upgrades to bibliographical software provided greater direct access for library reference downloading, which was useful and time saving.

### **Gaps in the Literature**

A review of the literature revealed an absence of research on the effect airport size, governance type, or evaluator motivation might have on decision criteria development or RFP response rating and ranking scores. I found no airport-related research comparing contract solicitations for socioeconomic value influences on decision makers or decision outcomes. These voids were the gaps I found in my review of the literature.

ACRP Report 54 and Mills and Koliba (2008) used airports to develop frameworks for operational and performance guidance and accountability in governance. Kutlu and McCarthy (2016) and Merkert and Assaf (2015) used airport governance type to determine the best airport operating profitabilities and efficiencies. Reimer et al. (2009) used airports to identify legalities that affect airport governance relationships and governance-body function and effectiveness. The Kutlu and Reimer research studies helped locate the gaps I was searching for in what was lacking, and paved the way for my study's comparison and analysis of documents. By comparing documents for differences in selection criteria and identifying socioeconomic influences in the concessionaire selection process, this study adds clarity and transparency to a process that will encourage underrepresented business owner participation.

The EBSCO databases were useful for locating articles on airport retailing, government contracting, governance, privatization, competition, and different socioeconomic theories. I reviewed articles from Academic Search Premier, Business

Source Premier, Social INDEX, Science Direct, Military and Government Collection, SAGE for major journals, and *Forum: Qualitative Social Research* (an online peer-reviewed journal for qualitative research). I also obtained articles from *The American Review of Public Administration*, *Harvard Business Review*, *Harvard Journal of Law & Public Policy*, *History of Political Economy*, and *Journal of Business Ethics*, as well as industry-specific articles from *Air Transport World*, *Airport Revenue News (ARN)*, the *Journal of Air Transport Management*, National Academies Press, and ACI. The search involved inputting keywords such as *airport retail*, *airport terminal*, *airport concessions*, *corporate governance*, and *passenger demography from 1993 to 2014*. I obtained many references from the reference list for each scholarly study examined. Other search terms included *principal-agency theory*, *business ethics*, *case method*, *corporate governance*, *decision theory*, *distributive justice*, *Delphi technique*, *equality*, *fairness*, *fiscal policy*, *justice*, *monetary policy*, *political planning*, *positivism*, *power*, *privatization*, *rational choice theory*, *social justice*, *social responsibility*, *stakeholder theory*, *sunk costs*, and *U.S. government*.

Most research studies on public procurement and airport contracting that I examined focused on the logic, structure, and performance of the different models, with microscopic emphasis on the designer's motivation or inspiration about the governance system in which the policy operators and implementers functioned. I uncovered gaps through an exhaustive examination of studies attempting to define best practices that could be applied to airport retail concessions programs (ACI, 2012; ACRP et al., 2011; Calabresi & Liebowitz, 2013; Kim & Shin, 1999). Research studies were found that examined relationships between airport governance type and airport economic

performance (Craig, Airola, & Tipu, 2012; Fuhr & Beckers, 2009); airport terminal size and space allocation (Adler & Gellman, 2012); and airport contractor selection, contract enforcement, and airport operating performance (ACRP et al., 2011).

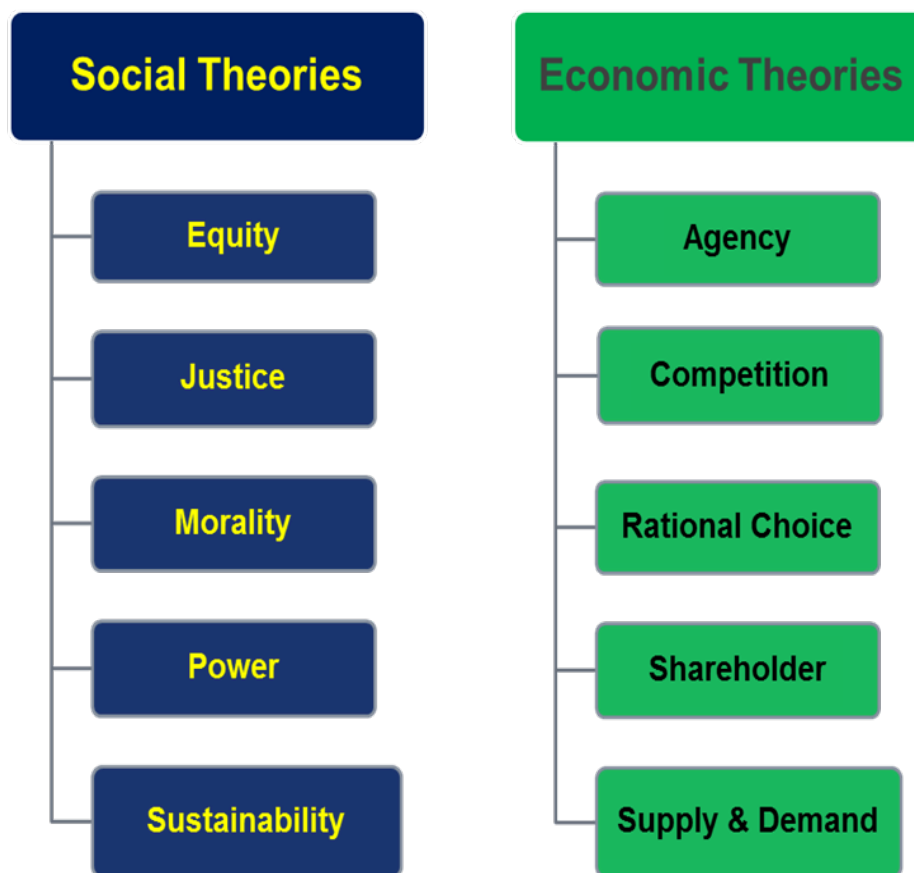
To address the imagined propositions appropriately, it was necessary to turn to a classification of content and process theories of management and motivation relevant to my research study, which led to an examination of theories of agency, competition, equity, justice, power, rational choice, and stakeholder interests within the domain of airport terminal commercial activities. These socioeconomic theories provided the content and helped contextualize the behavioral and reflexive elements within which this research study took shape. Chapter 2 features a discussion of the knowledge gaps that served as a catalyst for this study, a summary of its limitations, and an introduction to Chapter 3.

### **Theoretical Foundation**

The search for theories provided several lenses appropriate for examining the motivational complications surrounding the airport concessions procurement phenomenon. The theories selected for this study are not one dimensional in application to a single business or social domain, which reinforced the study. A core of social and economic decision theories depicted by Figure 2 provided the framework within which I abstracted data in responding to the research questions. The portrayal and use of each research reference involved a concerted effort to narrow application and meaning wherever possible for relevancy and importance to my study topic and subject. The overarching theoretical foundation upon which this qualitative comparison case study rests is manifested in rational choice and social equity and justice theories embedded

within the business ethics of airport concessions procurement processes that are socially and economically rational, equitable, and deliberatively construed and implemented.

### Socioeconomic Value Factors



*Figure 2.* Graphic representation of the comparative socioeconomic factor influences of evaluator ratings and rankings of concessionaire RFP responses.

#### Rational Choice

Decision theories of choice and selection used in this paper are multidimensional, with roots in some disciplines having both social and economic foundations including classical Kantian philosophy, Darwinist biology, and Adams's economics. In a study of ethical behavior in deliberative decision making, Wang et al. (2014) found that choices

framed as calculative decisions resulted more often than not in morally inferior responses to options intuitively addressed. Wang put into question the Kantian view of moral reasoning's dominance over intuition in the decision process. Wang's argument applied to this case study of airport concessions contracting in that the more an evaluator must analyze a concessionaire's business proposal, the greater the risk that the evaluation process will result in a weak selection.

Rational choice theory has both social and economic implications whereby human behavior is grounded in reasoning that finds all action to be fundamentally rational, as individuals consider what they will gain or lose because of their decisions (Blasi, 1999; Woiceshyn, 2011). Contrary to standard rational thought, Martin and Parmar's (2012) study demonstrated that organizational decisions should be socially inclusive rather than deliberatively exclusive and exhaustive (p. 303). Zafirovski (2014) found rational choice theory's economic component diminished

first, by the end or discredit of *homo economicus*, second, the rejection of the premise of exclusive economic motivation, including egoism, third, the refutation of the assumption of fixed "natural" tastes and preferences, and fourth, the replacement of the conception of perfect rationality. (p. 443)

In sociological tongue, where reasonable individuals and organizational leaders make reasoned choices before deciding between alternatives that best suit their self-interests, self-actions align with exchange theory (Bosse & Phillips, 2016). According to Yoder et al. (2014), a sunk cost choice "is irrational because decisions are based on past investments, rather than on unbiased future outcomes" (p. 105). To the extent that rational choice thinking may be egocentric, rationalists would make decisions based on



estimates of personal gain because expected utility is an essential element of rationality in the theory of rational choice (Woiceshyn, 2011). This expectation becomes the rationalist's reference for relating the amount of benefit possible versus the quantity of time and effort it will take (e.g., the greater the benefit with less effort, the better the expectation). Economists refer to this as the *productivity quotient*, which is derived by dividing the output (the problem solution) as the numerator by the input (the resources required to solve) as the denominator (Knott, 2012). These decision concerns are inherent considerations for concessionaires in responding to airport RFPs.

Hampsher-Monk and Hindmoor (2010) explained rational choice by the degree of importance given to the subject choice's reality, instrumentality, and structure. To the extent that rational choice is a *realistic* theory, it would explain actions attributable to the actor's conscious mental state as an agent in the contract transaction (Blasi, 1999; Bosse & Phillips, 2016). For a choice to be rational, the agent must be convinced that his or her action is the one closest to what he or she believes is best personally (Hampsher-Monk & Hindmoor, 2010). On *instrumentality*, Hampsher-Monk contended that individuals have an innate capacity, defined as an *apodictic axiom*, to be credible messengers in giving investigative testimony (Von Mises, as cited in Hampsher-Monk & Hindmoor, 2010). Rational choice is significant to the categorical factors propositions combining cognitive and socially enculturated inclinations of evaluator motivation and RFP response choices explored in this qualitative study.

In examining long-term satisfaction with choices made, Tyengar and Lepper (as cited in Bonezzi, 2012) found that having many alternatives does not achieve greater satisfaction than having fewer options. According to Bonezzi (2012), one could assume

that were a rational thinker to juxtapose a grocery shopper's single choice in the field of alternative brands of cereal with an airport administrator's single choice from the group of concessions competitors, neither would bring longer term satisfaction than if the field of concessionaires was less.

Some researchers use public choice theory to examine public policy based on self-interest and politics, and the earliest theorists argued that policymakers act with the same self-interest as private stakeholders (Oslington, 2012). Since Smith's *An Inquiry Into the Nature and Causes of the Wealth of Nations*, economists have believed that worker self-interests in a competitive market provide a societal benefit through an "invisible hand" (Oslington, 2012; Skousen, 2015); however, evidence is increasing that researchers have overindulged in Smith's idea of self-interest. For example, Manzini and Mariotti (2012) stressed the value of "cognitive categorization" (p. 1162) in their behavioral model and contended that rationality of choice between complexities improves when decision makers categorize alternatives, which reduces decision makers' risk of poor choice making because of an expanded menu of considerations.

### **Social Equity**

According to Shu and Mastracci (2014), social equity is the subjective essence of fairness because it can have multiple interpretations depending on the circumstances of the involved parties. Economists who employ the Pareto principle use a socioeconomic preference based on welfare in evaluating government program efficiency, where any change that elevates one member's status or position in a society does so without harming another member's welfare (Cirillo, 2012; Orme & Cherry, 2015). In cases of law and property rights allocations, other economic research studies have argued that such

allocations are agreeable, so long as benefits outweigh losses (Orme & Cherry, 2015).

The root of contemporary thought on how public goods should be distributed fairly and equitably among the population is Frederickson's 1971 essay on the new public administration (Shu & Mastracci, 2014).

Several examples show that the advocacy of social equity by U.S. government administrations has significantly benefited targeted groups, as strengthened by legislative action in the form of judicial activism (Reimer et al., 2009; Thai, 2009; Tretheway, 2001). Social equity was at the center of the Civil Rights Movement, as delivered by President Kennedy in his 1963 televised address (Kennedy, 2009). The literature is robust with examples showing social equity at the root of public policy that advances small, DBE, and ACDBE assistance programs (e.g., Civil Rights Act of 1964; Civil Rights Act of 1964/Title VI; social contract theory ("Constitution," 2016); Kennedy, 2009; Participation of DBE in Airport Concessions: Final Rule and Proposed Rule, 2005; Participation by DBE in Department of Transportation Financial Assistance Programs, 2010).

Terman (2014) used a state concrete example (Florida) to examine the equitable relationship between minority-preference purchasing policy directives and "the content and character of bureaucratic response" in the context of principal-agent theory (Terman, 2014, p. Abstract). Terman concluded that current studies measure bureaucratic response regarding regulatory compliance and budgetary outputs but fail to measure bureaucratic response implementation regarding an alliance with policy-maker intent (see Moe, 1994; Pitts, 2011; Arrowsmith & Hartley, 2002, cited in Terman, 2014). According to Terman (2014):

Disingenuous policy intentions can translate into loose implementation guidelines or bureaucratic gaming that suggests implementation is officially the purview of agencies and heavily influenced by the policy sentiments of political institutions. This behavior is yet another example of how politics can affect government administration. Future research is needed to show how public organizations can counteract the bureaucratic frustration with political disingenuousness or policy infeasibility so that policies can be efficient and implemented with integrity. It is of particular importance to find solutions for the implementation problems that arise in such a significant and controversial issue area as MBE procurement. (p. 546)

Terman's (2014) study helped reinforce Kingdon (as cited in Birkland & Armament, 2013) in defining the principal-agency and agenda-setting powers of policy implementation administrators such as those airport administrators who design and implement concessions procurement policies and practices. According to one political study of policy administrators,

Administrative organizations are, in their own right, sites of politics. They are other things as well, of course. But they are political insofar as they entail phenomena such as power relations, authority structures, ideological commitments, rights and obligations, and decisions regarding "who gets what, when, how." (Lasswell, as cited in Moniyhan, 2014, p. 320)

### **Theoretical Linkage**

Rating and ranking proposers in a competitive airport concessions procurement process typically involve criteria-based evaluator judgment and analysis of relative

differences between competitors based on evaluator differences in perceptions of quality and performance (Airport Cooperative Research Program et al., 2011). A continuous search for equilibrium between competing dualities is a unique feature that permeates throughout this comparative case study. For example, a busy airport's terminal building that acts as a hub of transportation also takes on the nature of a shopping mall; or rigidly construed external rules for rating and ranking competitors that are intended to bind evaluators and subjective rationale used instead when rating and ranking. The theories connecting the ethics of decision-making and moral judgment in making decisions show how inherently clear expressions of moral judgment by decision makers can result in moral dilemmas for airport proposal evaluators. For example, deciding which criteria to give a higher score or rank, higher expected revenue, or more DBE/ACDBE support—both morally correct. These natural human conditions link this study topic to several studies (e.g., Pitesa & Thau, 2013; Teper, Zhong, & Inzlicht, 2015; Wang, Zhong, & Murnighan, 2014; Zafirovski, 2014).

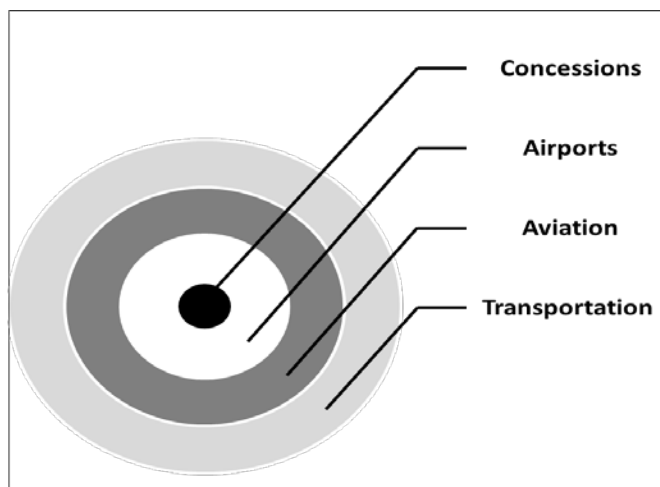
According to Kretchmar (2016), it was John B. Watson who first coined the term, behaviorism. Whether and how internal or external stimuli condition human behavior has drawn an abundance of theoretical perspectives found in works on human behavior which argued for a stimulus-response approach over the entrenched reflective methodology. According to Watsonian theory, people act in response to the various nudges of their environment, which researchers can observe, scientifically measure, and replicate (p. 6). The basis of Watson's model was Pavlov's conditional reflex theory whereby stimulation induced predictable reactions in laboratory animals (p. 2). Watson cast the human expression as a response to stimuli, which makes for an objective

observation of human behavior. Watson, according to Kretchmar, viewed the study of human behavior in psychology most efficient when using the scientific method for evidence of predictable future behavior. Watson's views on the environment conditioning of behavior is relevant to my assumption of airport governance enculturation and conditioning of socioeconomic value influences on evaluation process.

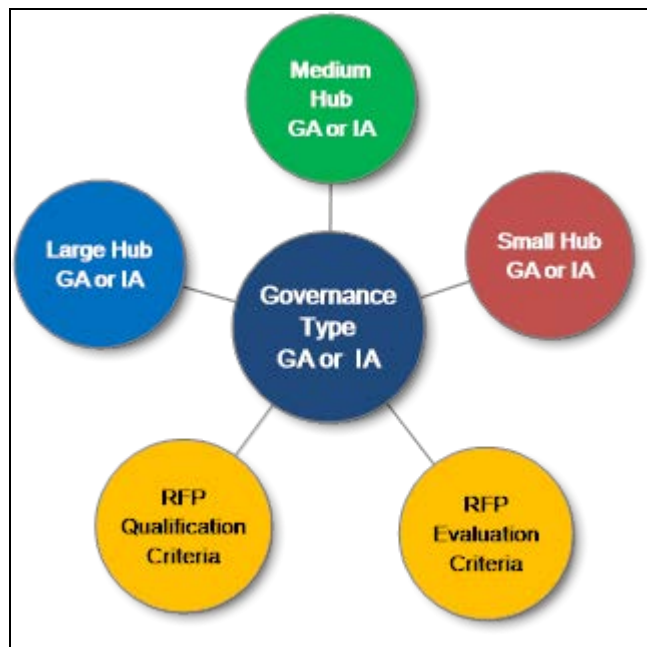
### **Conceptual Framework**

The demographic factors in this qualitative comparative case study were provided by the narrated qualification requirements and evaluation criteria contained in ACRP Report 54 and RFPs categorized by airport size and governance type. The conceptual framework within which these factors operate is that of airport size and governance type depicted in Figure 3. A proposition is that evaluation committee members from different airport governance systems choose differently between alternatives when considering socioeconomic factors associated with evaluation criteria.

## **Airport Concessions Industry**



*Figure 3.* The airport concessions industry. Depicted as a subunit of the airport system as part of the aviation industry's component of the U.S. transportation system.



*Figure 4.* Stand-alone factors consisting of airport hub sizes, RFP qualifications, and evaluation criteria bounded by airport governance types.

This framework, coupled with the research questions, established the foci and set the boundaries for the purposive stratified sampling decision. Figure 4 shows how the factors of airport hub size and RFP qualification and evaluation criteria are bound by the system of airport governance. The two principal bodies of theory within the domain of government procurement policy that influence and inform the airport concession industry's process for evaluating and awarding competitive concessions contracts are derived from the behaviorists and economists. The first group belongs to a social model (e.g., the human and or behavioral motivators including equity, justice, morality, power, and sustainability). The second group belongs to an economic model (e.g., the economic influencers of agency, competition, rational choice, stakeholder theory, and the macroeconomic tripartition of supply, demand, and price). Combined, these social and

economic theories form the socioeconomic concerns that drive an airport administration's design and the implementation of concessionaire selection criteria.

Using airport size and governance type as the conceptual framework made the qualitative comparative study ideally suited for comparing differences in selection criteria used by airport administrators in concessionaire procurement processes. The logical connection between the concept and the research approach is a premise that airport administrators and officials operating within government-controlled environments uphold the same core standards in developing and using concessionaire evaluation criteria as those who report to independent aviation authorities, irrespective of airport size. Where evaluators favor one element over another in rating and ranking concessionaire proposals, issues of motivation and bias are nurtured by personal socioeconomic preferences conditioned by the evaluator's cognitive attachment to a particular airport governance type. The study outcomes provide valuable intelligence for industry leaders in analyzing and designing improved procurement activities. Chapter 2 includes my introduction and discussion of various management and social theories examining organizational and human behavior that affect competitive bidding and decision-making outcomes.

### **Propositions**

Three propositions were derived from the assumptions made and are listed in no specific order. First, I contend that government-controlled airports assign greater weight to issues of control and revenue generation when evaluating concessionaire proposals than airports operated by independent authorities. Next, I assert that the evaluation criteria used by airports operating under direct government agency attach different social and economic values to the criteria than airports operating under independent authorities.



A third proposition is that familiarity or association with a particular airport hub size and/or governance type influences the way evaluation criteria are developed and how evaluation committee members rate and rank RFP responses.

### **Airport System**

The U.S. aviation system is enormous when considering passenger travel and cargo shipping, with five of the top ten airlines and airports in the world (Airports Council International [ACI], 2012). Administrators in the Federal Aviation Administration (FAA) classify airports according to the official classification system mandated by U.S. law in 49 U.S.C. § 47102 (see Table 1). According to a recent FAA report, civil aviation's contribution to the U.S. economy in 2012 totaled \$1.5 trillion (FAA, 2014b).

The airport business is a complex set of commercial activities that require comprehensive planning and diligent execution (Airport Cooperative Research Program et al. (2011). Most U.S. primary airports use the straight and highest bid, the RFP submissions, request for letters of interest, and the Request for Qualification (RFQ) credentials for attracting concessions operators (Fuhr & Beckers, 2009; Airport Cooperative Research Program et al., 2011; U.S. Department of Transportation [DOT], 2008). Numerous laws and ordinances governing federally supported small and minority owned business contracting activities undertaken by the U.S. primary airports system help regulate these programs. According to ACRP Report 54, deregulation of the U.S. aviation industry occurred in 1978 (Airport Cooperative Research Program et al., 2011). Commercial activities inside U.S. airports, however, remain highly regulated officially by various government agencies and unofficially as a dynamic marketplace. The

dichotomous result is a regulated airport concessions sub-industry operating within a deregulated airline carrier industry.

More than 4,000 airports operated in 2012, most of which were publicly owned and controlled (Alfert et al., 2012). The DOT, through the FAA, regulates U.S. airports and carriers operating out of U.S. airports. The FAA is one of the three separate administrations under the DOT. The other two are the FHA and the Federal Transit Administration. Airports are important community assets that provide the economic impetus for powering community growth and stability (Airport Cooperative Research Program et al., 2011). The sheer physical size and economic magnitude of commercial airports help develop a community's full potential by ensuring stable growth, bolstering long-term business development, and providing large-scale employment opportunities, both internal and external.

Airports Council International is a global association that represents airport owners in general interest areas and is an important association voice that helps foster cooperation with partnerships throughout the air transport industry. The council produces detailed statistical analysis and practical publications for organizations such as the International Civil Aviation Organization, which is an advocate for developing the air transport carrier international standards. According to a recent ACI study, responses from 604 participating airports on airline passenger traffic showed that 3.12 billion passengers, representing 62% of 5.03 billion total passengers, arrived and departed from worldwide terminals in the fiscal year 2010-2011 (ACI, 2012). ACI reported figures that show preliminary rankings of the 36 most trafficked airports in the world with 1.7 billion passengers in the fiscal year ended September 30, 2014.

Table 2 shows 12 out of the 30 (40%) worldwide airports are domestic U.S. locations, with Atlanta's Hartsfield International in first place transiting approximately 96 million enplaning and deplaning passengers during the 12 months period ended September 30, 2014. Researchers at the DOT's Bureau of Transportation Statistics recently reported that 574.3 million scheduled passengers traveled on U.S. and foreign-owned airlines serving the United States in 2014, which represented a 2.4% increase over 2013 (DOT Group 04, 2011).

Table 3 depicts the latest DOT U.S. airlines activity figures comparing the 12-month periods ended September 30, 2013, and 2014, which shows an increase of 13.4 million in total U.S. airlines domestic and international passengers transited in 2014 over 2013. The year 2014 increase in total passengers was robust considering the number of air carrier flights for the same period decreased by 3.0%. Table 4 shows that for the same 12-months period ended September 30, comparing only domestic scheduled airline travel on U.S. airlines, passenger transits increase by 2.3% while the number of air carrier flights for the same period decreased by 3.6%. The FAA administers the Airport Improvement Program (AIP) through which it is the major grantor of federal funds used for airport planning and development by local municipalities.

Table 2

*Passenger Rankings of 30 Top Worldwide Airports FYE 09/30/2014*

Rank	Airport	IATA	City	Passengers	%
1	Hartsfield International	ATL	Atlanta	95.5	1.0
2	Beijing Capital International	PEK	Beijing	84.6	1.6
3	Heathrow	LHR	London	73.2	1.8
4	Tokyo Haneda	HND	Tokyo	71.6	5.2
5	Los Angeles International	LAX	Los Angeles	69.8	6.3
6	Dubai International	DXB	Dubai	69.5	7.7
7	O'Hare International	ORD	Chicago	69.2	4.4
8	Charles de Gaulle	CDG	Paris	63.3	2.5
9	Dallas-Fort Worth International	DFW	Dallas	63.0	4.4
10	Hong Kong International	HKG	Hong Kong	62.1	5.9
11	Frankfurt	FRA	Frankfurt	59.5	3.3
12	Barajas Soekarno Hatta	CGK	Jakarta	57.5	-3.0
13	Istanbul	IST	Istanbul	55.1	9.9
14	Schiphol	AMS	Amsterdam	54.3	4.0
15	Changi	SIN	Singapore	54.8	1.5
16	Guangzhou Baiyun	CAN	Guangzhou	54.1	4.7
17	Denver International	DEN	Denver	53.5	1.8
18	New York Kennedy	JFK	New York	52.4	5.3
19	Shanghai Pudong International	PVG	Shanghai	49.9	7.6
20	Kuala Lumpur	KUL	Kuala Lumpur	49.2	9.0
21	San Francisco International	SFO	San Francisco	46.8	5.0
22	Bangkok International	BKK	Bangkok	46.5	-8.7
23	Incheon	ICN	Incheon	44.3	7.4
24	Charlotte/Douglas International	CLT	Charlotte	44.3	3.3
25	Las Vegas	LAS	Las Vegas	42.6	2.2
26	Sky Harbor International	PHX	Phoenix	41.5	2.9
27	Barajas	MAD	Madrid	41.0	1.7
28	Miami International	MIA	Miami	40.8	1.8
29	Houston International	IAH	Houston	40.7	2.6
30	Munich	MUC	Munich	39.4	1.9

*Note.* From *World Airport Traffic Report*, by Airports Council International, 2014, retrieved from <http://www.aci.aero/Data-Centre/Monthly-Traffic-Data/Passenger-Summary/12-months>. Copyright 2013 by Airports Council International. Adapted with permission. IATA = acronym for the International Air Transport Association. Highlighted text designates U.S. primary airline carriers.

Table 3

*2013-2014 Domestic and International Airline Travel on U.S. Airlines*

Activity	Monthly			Year to date		
	Sep 2013	Sep 2014	% change	2013	2014	% change
Passengers (in millions)	58.2	59.9	3.0	560.9	574.3	2.4
Flights (in thousands)	746.7	726.7	-2.7	6942.3	6731.9	-3.0
Revenue passenger miles (in billions)	66.6	68.4	2.7	638.0	654.2	2.5
Available seat miles (in billions)	81.5	83.5	2.4	764.3	779.7	2.0
Load factor <sup>a</sup>	81.6	81.9	0.3	83.5	83.9	0.4
Flight stage length <sup>b</sup>	759.0	779.6	2.7	768.6	791.5	3.0
Passenger trip length <sup>c</sup>	1144.0	1140.8	-0.3	1137.4	1139.1	0.1

*Note.* Adapted from *T-100 Market and Segment*, by U.S. Department of Transportation, Bureau of Transportation Statistics, 2014, retrieved from [http://www.rita.dot.gov/bts/sites/rita.dot.gov.bts/files/press\\_releases/airline\\_traffic\\_data.html](http://www.rita.dot.gov/bts/sites/rita.dot.gov.bts/files/press_releases/airline_traffic_data.html) bts058\_14.

<sup>a</sup> Change in load factor points. <sup>b</sup> The average nonstop distance flown per departure in miles. <sup>c</sup> The average distance flown per passenger in miles.

These municipalities are the owners of most U.S. airports and, as such, considered the airport's FAA sponsor. All public, commercial airports operate in airlines at a 2.9% passenger increase of 2.2 million in year-to-date 2014 over 2013. Approximately one-half of all U.S. commercial aviation airports function by state statutory authority derived from state legislative action or state constitutional law. Table 5 shows international scheduled airline travel on U.S. branches of municipal governments reporting directly to a local government administrator (Reimer et al., 2009). The remainders of these commercial aviation airports answer to independent aviation authorities who, in turn, are accountable to a branch of local or state government (Craig et al., 2012).

Table 4

*2013-2014 Domestic Scheduled Airline Travel on U.S. Airlines*

Activity	Monthly			Year-to-date		
	Sep2 013	Sep2 014	% change	2013	2014	% change
Passengers (millions)	50.8	52.5	3.4	486.1	497.3	2.3
Flights (thousands)	683.3	663.1	-3.0	6,295 .9	6,071.4	-3.6
Revenue passenger miles (billions)	44.7	46.3	3.7	436.5	448.5	2.7
Available seat-miles (billions)	55.2	56.5	2.2	521.2	527.6	1.2
Load factor <sup>a</sup>	80.9	82.1	1.2	83.8	85.0	2.6
Flight stage length <sup>b</sup>	644.2	660.3	2.5	656.2	673.6	
Passenger trip length <sup>c</sup>	879.6	882.8	0.4	897.9	901.8	0.4

*Note.* Adapted from *T-100 Market and Segment*, by U.S. Department of Transportation, Bureau of Transportation Statistics, 2014, retrieved from [http://www.rita.dot.gov/bts/press\\_releases/bts058\\_14](http://www.rita.dot.gov/bts/press_releases/bts058_14).

<sup>a</sup> Change in load factor points. <sup>b</sup> The average nonstop distance flown per departure in miles. <sup>c</sup> The average distance flown per passenger in miles.

Table 5

*2013-2014 International Scheduled Airline Travel on U.S. Airlines*

Activity	Monthly			Year-to-date		
	Sep 2013	Sep 2014	% change	2013	2014	% change
Passengers (millions)	7.4	7.5	0.5	74.8	77.0	2.9
Flights (thousands)	63.4	63.6	0.3	646.4	660.5	2.2
Revenue passenger miles (billions)	21.9	22.1	0.6	201.5	205.7	2.1
Available seat-miles (billions)	26.3	27.0	2.7	243.2	252.0	3.6
Load factor <sup>a</sup>	83.3	81.6	-1.7	82.9	81.6	-1.2
Flight stage length <sup>b</sup>	1997.0	2024.2	1.4	1863.4	1875.6	0.7
Passenger trip length <sup>c</sup>	2951.2	2955.6	0.1	2693.0	2671.1	-0.8

*Note.* Adapted from *T-100 Market and Segment*, by U.S. Department of Transportation, Bureau of Transportation Statistics, 2014, retrieved from [http://www.rita.dot.gov/bts/press\\_releases/bts057\\_13](http://www.rita.dot.gov/bts/press_releases/bts057_13). Data in the public domain.

<sup>a</sup> Change in load factor points. <sup>b</sup> The average nonstop distance flown per departure in miles. <sup>c</sup> The average distance flown per passenger in miles.

## Concessions

A major part of the air transportation system and vital part of any large commercial airport's passenger service component is the airport's retail shopping mall. Retail sales from airport gift shops, newsstands, eating establishments, and parking garages in many cases generate between 40% and 50% of the total revenue received by many U.S. commercial airports according to a recent report published by Airports Council International [ACINA] (2013). Concessions Benchmarking Survey Results reported by ACINA for CY2012 showed these non-aeronautical operators are part of a \$7.56 billion dollar industry that generated 44.8% of all U.S. commercial airport revenue in the calendar year 2012 (p. 13). The airport retail industry includes companies that compete for leased space at airports and specializes in the sale of a variety of goods and services to airline passengers, airport employees, and the public.

Within the industry, the term used for these companies is "concessionaires" because, as such, they must pay a "concession fee" to the airport in the form of rent for the privilege of occupying valuable commercial airport space. *Concession* describes the right or privilege for a particular use granted by an airport sponsor (usually the municipal owner of the airport). Concessions typically include newsstands, gift shops, restaurants, barbershops, banks, foreign exchange moneychangers, parking lots, duty-free, and other types of specialty stores. ACINA described how the business growth of non-aeronautical revenue in airports has grown from 1970 through 2013 through creative retail and customer service programs (Airports Council International-North America, 2013, p. 12).

Airport Cooperative Research Program et al. (2011) reported on airline passenger purchasing preferences as follows:

According to multiple surveys at airports by Airport Interviewing and Research, a survey research company, 73% of passengers on average make purchases at concessions. Of these, 68% make a food and beverage purchase, 25% make a newsstand purchase, and 11% make a specialty retail purchase. Some passengers make purchases in multiple categories. (p. 12)

In responding to the impact of concessions on airport economics, ACI World Director General Angela Gittens commented as follows:

Non-aeronautical revenues are a vital component in the economic aspects of airports. During the downturn, 2007-2009, the diversification of airport revenues cushioned the impact of lower passenger and freight volumes and safeguarded operating profits. Non-aeronautical revenues critically determine the financial viability of an airport, as they tend to generate higher profit margins than aeronautical activities, the latter frequently representing a zero sum game, or producing a deficit representing a zero sum game, or producing a deficit. (ACI, 2012, p. 1)

In the ACRP Report 54 survey, 49 airport concession managers and nine concessionaires who reported the following:

In-terminal concession programs have gained a higher profile over the years and have become significant contributors to the financial and operational success of today's airports. Developing and managing in-terminal concession programs requires the application of sound commercial practices adapted to the unique constraints of airport terminals, an understanding of the needs of passengers, and



an understanding of the public procurement requirements under which individual airports operate. (Airport Cooperative Research Program et al., 2011, p. 1)

For someone not directly associated with aviation or its related venues, the typical image is of airplanes and airports, with little or no notion that a support service subsystem, known industry-wide as airport concessions, plays such a vital role in the welfare of an airport and local community. Typically, airport commercial operations staff initiate the procurement, solicitation, and award processes intended to attract top-notch concessionaires for leased space (Airport Cooperative Research Program et al., 2011). The primary achievement goals in most airport procurement processes are to ensure competitive fairness and to receive the highest revenue return in varying order of preference (Thai, 2009). Several side objectives may also exist, such as diversity of product, service, or ethnicity of business ownership representation (Airport Cooperative Research Program et al., 2011) that outlined ten specific achievement goals common for the airport concessions programs shown in Appendix H and examined in Chapter 4, Data Analysis. Regardless of the structure or presentation of these processes, the overarching aim of many airport managers is to derive high rent revenues from the concessions while encouraging a high level of competitive opportunity in the offering.

ACRP Report 54 described the advantages and disadvantages of four approaches to airport management of concessions (see Appendix A). According to several studies, the general concessions leasing and administration methods currently in use nationwide at U.S. airports are:

- Direct leasing: The airport directly leases particular space to different retail operators. The responsibility for conducting outreach meetings, soliciting

tenants and evaluating proposals, administering leases, and monitoring individual retail operations lies solely with the airport, although the airport administration can elect to contract with third-party management as the agent to conduct these activities (Airport Cooperative Research Program et al., 2011, p. 121).

- Prime (or master) concessionaire: The master concessionaire develops and operates a substantial portion of the space and subleases it to various retail operators including ACDBEs and local businesses. In this arrangement, the master concessionaire is responsible for funding the capital improvements and making the minimum guarantee or percentage of gross sales payments to the airport for the leased area, both of which pass through to subtenants (Airport Cooperative Research Program et al., 2011, p. 122).
- Third party (or Master Developer): Under the pure developer approach, a third-party developer constructs, finances, manages and operates the airport retail program. There are also alternative developer-led methods, such as engaging a developer solely in leasing and managing the retail program. The airport or other sources would provide financing. The third-party management structure consists of a combination of the direct leasing and master concessionaire methods (Airport Cooperative Research Program et al., 2011, p. 123).
- Hybrid/third-party manager: The airport could have a hybrid combination to realize the benefits of the different methods while minimizing the disadvantages. Under both pure and third-party management structures, the

airport could hire a professional property management firm to administer the total retail program on behalf of the airport as its agent (Airport Cooperative Research Program et al., 2011, pp. 125, 126; see also ACI, 2012; Thai, 2009; Tretheway, 2001).

In comparison with conventional shopping mall retailers, concessionaires face several key operational and administrative challenges daily that are unique to the airport environment. Airport governance and location are issues of significance to concessionaires (Craig, Airola, & Tipu, 2012). The design of concessionaire procurement and solicitation processes and award of operating contracts are issues affecting a concessionaire's ability to compete and maintain market presence. Airport managers design and award operating contracts by market share, which can become highly politicized issues of public policy in airport governance and concessionaire procurement practices. Appendix A includes one concessionaire's view of several operational challenges faced by concession managers.

In most municipalities, the airport is the single greatest economic engine and at-interest stakeholder demands and expectations are high. For concessionaires, the perceived need for relief from multilevel government compliance is high, and compliance is often seen as broad, difficult, and overly restrictive. For airport managers, the vitality and dynamics of managing and operating an airport in a deregulated transportation system require particular attention, especially since the events of September 11, 2001 (Craig et al., 2012; Thai, 2009; Airport Cooperative Research Program et al., 2011; Tretheway, 2001; DOT, 2008). As a direct result of security issues, airport tenants have

had to alter their business models, which have challenged their abilities to compete for new airport leasehold contracts.

### **Affirmative Action**

**Small and disadvantaged business enterprises.** The federal legislation that authorized the DOT's DBE program was the Safe, Accountable, Flexible, Efficient Transportation Justice Act: A Legacy for Users (2005). The DOT's ACDBE and DBE programs are administered primarily through the FAA, FHA, and the Federal Transit Administration (FTA). President Kennedy initially introduced the term *affirmative action* during his first year in office as a way to eliminate continuing discrimination.

Shortly after, President Johnson's advocacy of the "Great Society" engraved affirmative action as a primary federal government tool for granting preferential treatment in contracting with private individuals and firms that qualified as economically or financially disadvantaged, principally because of racial discrimination and inequality (Bradley, 2008). President Kennedy facilitated the genesis for the minority owned business program's introduction into the airport concessions industry in his televised 1963 speech following the Birmingham, Alabama, civil rights confrontation, wherein he implored Congress "to enact legislation giving all Americans the right to be served in facilities which are open to the public—hotels, restaurants, theaters, retail stores, and similar establishments" (Kennedy, 2009, p. 1).

Following President Kennedy's assassination, Congress enacted Title VI, 42 U.S.C. § 2000d et seq. as part of the Civil Rights Act of 1964, which also prohibited discriminatory practices by airports receiving Airport Improvement Program funds. The DBE program was DOT's principle way to influence minority participation in state and

local procurement opportunities, and the ACDBE is specifically for DBEs doing business as airport concessionaires. The program's main objectives were to ensure that small ACDBE and DBE owners could compete fairly for federally funded transportation-related projects, to ensure participating ACDBEs and DBEs are legitimate under the guidelines, and to help ACDBE and DBE owners compete elsewhere. Conceiving and awarding competitive contracts for operating airport retail stores has a reciprocal relationship with these programs.

Congress enacted the first DBE statutory provision in 1983 requiring a minimum of 10% of all funds authorized by the FHA and Federal Transit Administration would go to DBEs, to which the DOT adopted a similar goal for women-owned small businesses. All DBE owners were encouraged to seek certification in the following areas: licensing, stock ownership, bonding experience, principal ownership, and financial capacity. In 1987, the Federally Defined Disadvantaged List began to include women.

**The ACDBE Program.** DOT administrators established the ACDBE Program to prevent discrimination in evaluating, awarding, and administering contracts with airport concessionaires, *ex-post facto*. Enforcement requirements help level opportunities for ACDBEs to compete in concession RFPs offered and publicized by the nation's airports (Participation of DBE in Airport Concessions: Final Rule and Proposed Rule, 2005). It is important to note, however, with the enactment of the first affirmative action legislation and its subsequent proliferating events, as each new federal administration came into office, constitutional challenges of reverse discrimination became prevalent (Bradley, 2008). On November 4, 2008, the U.S. Court of Appeals for the Federal Circuit issued an opinion in *Rothe Development Corporation v. Department of Defense and Department*

*of the Air Force* (2011), which held it to be unconstitutional to set aside any part or the whole of a government contract for the award based on race (Taylor, 2010). Issues of constitutionality in the writing and application of legislation can present obstacles for protected class concessionaires in attempts at securing airport contracts.

Under Public Law 95-507, the staff members of the DOT's Office of Small and Disadvantaged Business Utilization ensure small and disadvantaged businesses receive fair treatment and equal opportunity to compete and receive DOT- and FAA-sponsored business opportunities. The Office of Small and Disadvantaged Business Utilization customers include the following:

- Small businesses
- Small disadvantaged businesses
- 8(a) small business assistance firms
- Woman-owned businesses
- Historically underutilized business zone businesses
- Veteran-owned small businesses
- Service-disabled veteran-owned small businesses
- Disadvantaged business enterprises

**Airport privatization.** After public outrage has occurred regarding questionable concessions contract awards or practices, public pressure has increased in some communities where airports governed by municipal governments are located that have deliberated whether to change to an independent aviation authority or sell all or part of the airport to private ownership (Tellijohn, 2014). Clear justification for choosing one form of governance is virtually nonexistent because supportive studies typically include

subjective assumptions based on compliance and control (Ernico et al., 2012; Kim & Shin, 1999). Information gleaned from a comprehensive analysis of RFP documents will reveal differences that may be useful when making future determinations regarding this issue of governance.

Except for the Stewart International Airport, privatized and nongovernment-owned U.S. commercial airports are nonexistent (Ernico et al., 2012, p. 19). Ironically, the privatization of aviation (e.g., airline passenger carriers) and nonaviation (e.g., the retail concessionaires) services at airports are a typical undertaking. Scholars have contended that airport privatization is a concocted strategy for devolving government expenditures and influence (Ernico et al., 2012; Graham, 2011) supported by evidence that privatizing occurs when special interests seek opportunity or bureaucrats try to escape accountability (Hampsher-Monk & Hindmoor, 2010; Hodgson, 2012; Woiceshyn, 2011).

Mills and Koliba (2008) examined airport complexities under three governance structures and found that although private airports have less democratic governance, they are held accountable by a profit motive, stakeholder oversight, and an inner desire to be apolitical, which indicates that the expectation of accountability is more likely to exist in the least controlled system (Mills & Koliba, 2008; Sørensen & Torfing, 2005). Although the need for public policy scrutiny did not necessarily lack attention in Mills and Koliba's study, it reflected the same overall importance, as did Graham (2011).

Mills and Koliba (2008) recognized the different accountability levels of responsibility and performance efficiency between airport governance systems in stating the following:

The challenge for public administrators is to find ways to understand, improve, and encourage lateral accountability structures among members of governance networks. For instance, the airport authority structure utilized by PIT [Pittsburg International Airport] provides an interesting arrangement in which market-based incentive structures are merged and integrated with public sector accountability structures. Partners in this arrangement use private sector expertise in retail, airport, and business management to make the airport run more efficiently while maintaining the democratic haven that we believe is crucial to preserve accountability to citizens and allow the realization of expectations. (p. 45)

Thai (2009) explained that public procurement is complex and involves so much more than selecting suppliers that a broader consideration for comprehension is possible by involving individual governing systems, structures, and leadership. Thai found procurement performance to be favorable when it is influenced adeptly by supplier selection and contract enforcement. ACRP Report 54 cautioned that a one-size-fits-all best practice or preferred approach is nonexistent because, with few exceptions, U.S. commercial airports have different government requirements for contracting with concessionaires (Airport Cooperative Research Program et al., 2011, p. 4). Virtually all researchers agreed that no single best practices approach can lead government procurement officers to the single best supplier (Ernico et al., 2012; Airport Cooperative Research Program et al., 2011).

Thai's (2009) handbook included 66 individual and collaborative authors who collectively contributed 41 articles on public procurement within the framework of public policy and could not identify one best practice. Several studies identified relationships



between airport stakeholders to determine a meaningful metrics and benchmark tools for measuring and managing airport performance (Kutlu & McCarthy, 2016; Merkert & Assaf, 2015; Prakash & Barua, 2016). Although these studies covered the systemic foundations of public procurement from the macro to the micro, none offered the single best approach.

According to researchers at the FAA, while most government-controlled airports have procedures to handle bid or proposal protests, those operating under independent authorities do not (Alfert et al., 2012, p. 14). In a 2014 GAO report (Dillingham, 2013) required under the Competition in Contracting Act of 1984, bidders filed 2,429 bid protests in the fiscal year 2013 (see Table 6).

Table 6

*Bid Protest Statistics for Fiscal Years 2009-2013*

	FY 2013	FY 2012	FY 2011	FY 2010	FY 2009
Cases filed <sup>a</sup>	2429 (↓ 2.0% <sup>b</sup> )	2475 (↓ 5.0%)	2353 (↑ 2.0%)	2299 (↑ 16.0%)	1989 (↑ 20.0%)
Cases closed	2538 <sup>c</sup>	2495	2292	2226	1920
Merit (sustain and deny) decisions	509	570	417	441	315
Number of sustains	87	106	67	82	57
Sustain rate	17.0%	18.6%	16.0%	19.0%	18.0%
Effectiveness rate <sup>d</sup>	43.0%	42.0%	42.0%	42.0%	45.0%
ADR <sup>e</sup> (cases used)	145	106	140	159	149
ADR success rate <sup>f</sup>	86.0%	80.0%	82.0%	80.0%	93.0%
Hearings <sup>g</sup>	3.36% (31 cases)	6.1% (56 cases)	8.0% (46 cases)	10.0% (61 cases)	12.0% (65 cases)

*Note.* From GAO General Counsel Letter B-158766, January 2, 2014, Bid Protest Annual Report to Congress for Fiscal Year 2013, retrieved from <http://www.gao.gov/assets/660/659993.pdf>

<sup>a</sup> All entries in this chart are counted regarding the docket numbers (B numbers) assigned by the GAO's General Counsel's Office, not the number of procurements challenged. Where a protester files a supplemental protest, or multiple parties protest the same procurement action, various iterations of the same B number are assigned (i.e., 2, 3). Each of these numbers is a separate case for purposes of this table. <sup>b</sup> From the prior fiscal year. <sup>c</sup> Of the 2,538 cases filed in FY 2013, 259 are attributable to GAO's bid protest jurisdiction over task or delivery orders placed under indefinite-delivery/indefinite-quantity contracts. <sup>d</sup> Based on a protester obtaining some form of relief from the agency, as reported to GAO, because of either voluntary agency corrective action or the GAO's General Counsel's Office sustaining the protest. This figure is a percentage of all protests closed this fiscal year. <sup>e</sup> ADR = alternative dispute resolution. <sup>f</sup> Percentage of cases resolved without a formal GAO decision after ADR. <sup>g</sup> Percentage of fully developed cases in which GAO conducted a hearing; not all fully developed cases result in a merit decision.

Some recent criticisms made over the issue of protests involving a variety of sector evaluation committee irregularities and conflicting interests led to calls for procurement reform (Alfert et al., 2012; Hanks, 2014a). In most cases, states and local municipalities also have requirements that govern the concessions procurement process and, although the process receives periodic federal government review for compliance, the DOT and FAA rely on all individual airport administrations to resolve bid protestations locally. A recent article featured in the Friday, December 4, 2015, edition of *The Miami Herald*, entitled “Tensions rise as community waits for Liberty Square decision.” This situation involved a local government-sponsored affordable living housing project case where an evaluation committee member rated and ranked one construction company bidder so far above the maximum points allowed and the other so low as to prompt a legal review of the outlier member’s scoring sheet (Smiley, 2015). Such an obvious and extensively drawn evaluation outlier by a single evaluator can suggest a perception characteristic of what Tanaka and Hayashi’s (2016) study defined as *kansei-dango*—“bid rigging” by collusion (p. 1).

### **Literature Review**

The overarching theoretical foundation in support of this qualitative comparison case study included decision and social theories of rational choice, equity, and justice, which required special emphasis on original and “mature” research sources of fundamental, historical, and legal importance for topical and subject relevance.

The next two sections of this chapter examine several theories taken from social and economic paradigms that have the ability to influence how airport procurement policy and program planners adopt and implement concessionaire evaluation criteria and

whether the program results will become issues for stakeholders in the airport procurement process. How decision makers manage with these mostly subjective factors in attempting to maintain objectivity within a governance system environment that is vulnerable to subjective internal and external influences will determine whether the result of a concessions evaluation is justifiable and ethically valid or innately susceptible to stakeholder protestations.

### **From the Social Paradigm**

**The social contract.** The social contract is a century-old rationalist view of responsible inter-human behavior. How decision makers may conceive this view has a significant bearing on how airport evaluation committees rate and rank concessionaire RFP responses. The theory provides a timeless fountain that springs forth a quantum of behavioral and motivational theories. Conceptually, the Rawlsian approach applied to business finance is based the social contract in conjunction with cooperation and fair play that help “provide a democratic and secular framework for ethical behavior” (Sandal, 2012). Social contract theory (SCT) is the most dominant of the theoretical perspectives that attempt to prescribe how members of society can enjoy tranquil lives (constitution, 2016). Socrates and Plato revised the theory and tried to define in broad terms how members of society wished others would treat them as individuals and in groups (Byerly, 2013).

The first full exegesis on SCT came from the 1651 publication of *Leviathan* where Thomas Hobbes’s mechanical views of human misery indicated that SCT was no more than a quid pro quo treaty between the absolute rule and its followers (constitution, 2016; Laskar, 2014). Hobbes’s style for sustaining social tranquility is the constant point

of departure from which theorists differ in interpreting SCT (constitution, 2016, p. 2). John Locke viewed humankind's essential nature as far less chaotic and in need of organized effort for ordered control (Laskar, 2014). Rousseau's belief in a logical inclination of humanity toward freedom and equality served as the basis for his 1754 *Discourse on Inequality* argument against tyranny (Hodgson, 2012). Notwithstanding numerous interpretations of what the social contract terms should contain, a reorientation effort to bring real-life meaning to SCT's abstraction has since undergone numerous worthwhile iterations (Auchter & Dziewa, 2013; Byerly, 2013; Eckerd & Hill, 2012; Rkein & Andrew, 2012). Conceptually, SCT might be viewed as an inherent part of a government initiative such as the ACDBE component of an airport RFP process.

**Justice.** The essence of this qualitative study centers on justice and ethics in business, with particular emphasis on social justice in the business of equitable airport concessions contracting. The value for governing authorities in allocating public goods and privileges fairly and equitably is of prime concern, particularly where equity is subject to multiple interpretations (Shu & Mastracci, 2014). The basis of these business relationships is justice and fairness. (Rawls, as cited in Shu & Mastracci). Contrary to the rational choice theory, Rawls's idealistic philosophy removed all self-interest from consideration so that contracting parties could adopt mutually beneficial transaction outcomes. [In the case of airport contracting where the locus of data necessary for proposers to investigate in a bid proposal is proprietary and state controlled, Rawls's philosophy would be unrealistic]. Rawls, according to Suh and Mastracci, had this to say about the value of government relative to justice:

Justice denies that the loss of freedom for some is made right by the greater good shared by others. It does not allow that the sacrifices imposed on a few are outweighed by the larger sum of advantages enjoyed by many. (p. 491)

The Rawlsian theory of justice and fairness influences much of U.S. government policy (Dierksmeier & Celano, 2012; Shu & Mastracci, 2014). Rawls's first principle of justice "advocates for an equal to the most extensive basic liberties compatible with a similar liberty for others" (as cited in Suh & Mastacci, p. 492). Paradoxically, Rawls's second principle (p. 492) indicated that whenever unequal distribution benefits accrue to the least advantaged, the result is desirable. The question posed in this qualitative comparative case study is whether there is evidence of decision maker attachment to socioeconomic values that represent *a fortiori* proof of Rawls's second principle.

**Power.** In this study, power refers to an authority embedded in every business transaction. In contracting for services between users and suppliers, written agreements codify the authority to perform and enjoy mutually agreed on benefits (Alfert et al., 2012; Fuhr & Beckers, 2009; Maser & Thompson, 2013; Reimer et al., 2009), much as in the lease agreement between airport property owners and concession renters for operating retail stores in airport terminal buildings. Various multilevel government authorities monitor and control airport terminal tenants. Understanding the role of power in this business relationship is crucial to efficient program implementation. The influence attached to personal power becomes problematic when government agencies misdirect the power of superiority, or perceived power of superiority, and threaten the security or well-being of the less powerful (Shapiro, 2014). Organizationally, how organization leadership set up regular lines of communications and lines of authority to carry out job

functions and responsibilities establishes the rationality of decision-making (Scott, 2003).

Extant to the presence of a rational decision-making system, members of the organization perceive that clear and unambiguous policy statements of goals and procedures governing individual behavior also determine decision outcomes (Scott, 2003). Airport procurement officials grapple with clarity when trying to design and publish first-class public requests for competitive proposals. Rational theorists contend that the formalization is necessary for holding the group together, despite individual member diversities and personal likes or dislikes (Merton, as cited in Scott, 2003). Therefore, a rational approach would favor formalization of an airport retail procurement that can withstand public scrutiny and serve the best interest of the sponsoring airport administrators.

This method does not necessarily mean that airport RFPs should be written in the broadest and most legalistic narrative style and substance. On the contrary, as pointed out in ACRP Report 54, “Limit the number of pages to increase focus on what is important and reduce the workload of the evaluation panel, which can be significant on major procurements” (*Streamlining the RFP*, in Airport Cooperative Research Program et al., 2011, p. 168). Rational theorists contend that even imperfect formalities offer better tools for improving rational actions. Contrarians argue that it is the group leader’s ability to exert power and influence over the organization that renders formal structures no better than the leader’s misdeeds (Stinchcombe, as cited in Scott, 2003). These scholarly views have relevance and significant bearing on this research study as they relate to airport (as lessor) and concessionaire (as lessee) in a business relationship.

Austin and Jones (2015) examined governance through an educational lens and found external or internal forces to shape the form and substance (e.g., what the marketplace as an external force dictates versus what management as an internal force decides). Government workers with administrative authority have the power to set agendas, which has enormous ethical implications (Birkland & Warnement, 2013) and shows how airport administrators can influence outcomes through means much like all other government department heads. Government agency administrators have considerable influence over what policy agendas include and often have direct access to those who ultimately must approve the plan (Birkland & Warnement, 2013).

Prime examples of government agency administrative power to influence public policy are the airport ACDBE and MBE program as outgrowths of Affirmative Action. Affirmative action was initiated to prevent discrimination in federal contracting programs towards minority-owned businesses. Subsequent case law was initially viewed to disaffect affirmative action utilization because of higher justification standards for use of minority preferences in federal contracts. According to Snider, Kidalov, and Rendon (2013), the opposite occurred because agency administrators took advantage a loophole in the affirmative action program that allowed for expedited contract awards for convenience, which circumvented the program's legal standards and congressional intent. This is what Snider et al. (2013) had to say:

Governance of diversity in federal contracting has thus become more an exercise in expedience and convenience than in recognizing and redressing disadvantage and discrimination. When agencies focus inwardly, on their own interests of efficiency, rather than outwardly, on the public they are supposed to serve,



perceptions of government commitment to enhancing minority opportunities via federal contracting are eroded. This failure of diversity governance reflects a failure to invest in the capacity to govern more specifically, in the capacity to contract as constituted in people and organizational processes. Unless federal agencies increase their contracting capacities, they will likely continue to rely heavily on minority preference programs, mainly for the sake of convenience. (p. 2)

This de facto ability to influence decisions without someone holding them directly accountable or responsible for outcomes is a concern for competitors in an airport retail opportunity, from the pre-award evaluation of concessionaire proposals through the ex-post facto evaluation of contract performance. The number of years employed will often automatically qualify civil service administrators as experts in the field, and the senior-most administrators receive a high degree of deference (Blasi, 1999). Where policy administrators can act as unregistered lobbyists beholden to no one for their dual interests, policy directives that are ambiguous openly invite the exercise of latitude in introducing discretionary supplements to contract terms and provisions, which makes for de facto legislation without due representation (Anderson, 2015).

Conflicting interests can have debilitating effects on organizational structure and performance (Koduah, van Dijk, Akua Agyepong, & Agyepong, 2016; McDermott, Fitzgerald, & Buchanan, 2013). McDermott et al. (2013) stressed the need for good practice behavior by government staff members in coping with the ambiguities of policy expectations.

Policy implementers may have biases and self-interest inclinations that cause unexpected consequences and severe complications for intended policy outcomes (Koduah et al., 2016; McDermott et al., 2013). Seidl (2007) contended that cognition alone is inadequate for making informed choices, and, ultimately, whether decision-making is transparent will determine whether stakeholders perceive their organizations favorably. The focus of this study was on preoperational issues of a contract solicitation, evaluation, and award relative to the way organizational climate and culture control the overall phenomenon, which is also a reasonable predictor of whether post-award complications or harmony between the transacting parties will prevail after the award and throughout contract implementation and duration. Where all human beings have different degrees and types of biases and forms of manifestations of these biases, the guidelines embodied in ACRP Report 54 represent the ethical tenets by which to make comparisons between the individual airport RFPs in both the narratives and process implementations.

**Morality.** Discussing how government administrators address the issue of resource allocation among its citizens in a way that fails to include its moral underpinnings is like trying to explain the sunshine without mentioning the solar system, heat radiation, or light. It is reasonable, therefore, to expect that any reflective thought on the allocation of public property, such as an airport retail operating license, also include underlying SCT issues of justice, equity, and fairness (constitution, 2016). Americans tend to view these qualities through the lens of a federally constituted democratic and capitalist society that owes its existence to values derived from the moral domain (Backhouse & Bateman, as cited in Muchlinski, 2012). Were it not so, all notions of an egalitarian society would be merely ideological symbolisms rather than pragmatic

applications of basic moral reasoning.

**Sustainability.** According to Byerly (2013) and Laskar (2014), the genesis for promoting a protectable and sustainable human environment is Thomas Hobbes' social contract theory (SCT), which stated: "Beginning man lived in the state of nature... had no government and... no law to regulate them...[agreed to] respect each other...*pactum unionis* [and] live in peace and harmony...[and] obey authority...*pactum subjectionis*" (Hobbes, cited in Laskar, 2014, p. 1). Sustainability and environmental protection are synchronously asserted by several of the sample documents analyzed and compared in this study. Berkooz (2015) assessed U.S. airport master plan incorporation of sustainable features such as reduction of gas emissions, improved airplane deicing, and LEED certification models to be "on the rise" (p.1).

The collection of social paradigm theories discussed in this chapter forms a construct of subjective motivations encountered by the decision makers in addressing the economic theories that lie within a construct of objectivity. In transitioning from the social to the economic paradigm, the following segment includes several theories that can influence business decision makers, which is relevant to this study.

### **From the Economic Paradigm**

**Agency.** Agency theory is a model for efficient and fair transacting of interests between parties (principals and their agents) through a series of contracts. Agency theory assumes both the principal and the agent are motivated by self-interest that promotes opportunism and self-interest, which can blind decision makers into false judgments of their counterparts and contract performances (Bosse & Phillips, 2016). The focus of an agency relationship as a microeconomic tool is how organizations relate to their

contracts, particularly when interactions between superior principals and subordinate agents directly affect firm performance (Bosse & Phillips, 2016). Drawing on this view is a comparison between the power of airport administrative authority and concessionaire submissiveness when challenged on issues of operational performance and financial risk of failure.

In contracts, the principal–agent theory also includes an assumption regarding the presence of certain costs that require negotiation between the contracting parties (Bosse, 2016), called transaction costs. Transaction costs impute a price for making economic exchanges. For example, the cost associated with conducting new product or service market research, contract preparation, or enforcement of an existing contract represent the cost of making the transaction happen and for its continued good standing. In this respect, the way airport concessions RFPs require production and presentation of written proposals can add significantly to a concessionaire’s cost for submitting a proposal. Transaction cost is an economic term used in an efficiency argument, which, if solely relied on in decision tree analyses, or for reference in attempting to control transaction costs, could be misleading (Bosse & Phillips, 2016).

Agency adequately describes the difficult circumstances by which an airport retail tenant is expected to operate within the realm of unique contracts, relationships, environmental uncertainties, and exceptionally high market entry costs. Theories of agency help to establish the moment and importance of this study’s potential value to airport stakeholders, especially the airport administrators and evaluators who determine concessionaire selections, because they add consideration of cost for a what-if result.

**Competition.** Competition exists where more than one buyer and one seller exist

in the marketplace (perfect competition includes many buyers and sellers), similar goods and services and many substitutes are available, market entry is relatively easy, and the market determines prices (Salvadori & Signorino, 2013). In this study, competition refers to the RFP proposal and evaluation process in an imperfectly competitive market because market entry is difficult and the airport manager is a single buyer of retail occupancy who controls prices and conditions of tenant offerings. The opposite of a perfectly competitive marketplace is where a single-buyer monopsonist (“Monopsony,” 2013), single-seller monopolist (Calabresi & Liebowitz, 2013), or an oligopoly of at least two oligopolists control the entire marketplace (Salvadori & Signorino, 2013). Most commercial passenger airports throughout the world that have shopping complexes within their terminal buildings exhibit one or all of these three characteristics. For example airports as monopsonist single-community buyers of airport concessions services, single operators or exclusive item concessionaires in airports as monopolists, and two or more retail operators controlling all the retail stores in an airport as oligopolists.

The ability to transition from the status quo to survive in the face of environmental change often requires “organizational ambidexterity” (O’Reilly & Tushman, 2013, p. 324) for a firm to be nimble enough to “simultaneously compete in mature businesses” (O’Reilly & Tushman, 2013, p. 333) and keep modern. Commercial enterprises, whether public or private, are social groups, and just as biological organisms adapt to environmental change, social group members will undertake offensive and defensive maneuvers that allow them to adjust and make corrections that are necessary for survival and achieving dominion whenever advantageous. For an organization to

succeed, it is necessary for both concepts to synchronize and stimulate sound organizational management, workplace efficiency, and relevancy.

Contrasted with Keynesian centralized planning (Fuller, 2015; Skousen, 2015), Frederick Hayek's fundamental message depicted the market as the most efficient production and allocation system. Government intervention, according to Hayek, only creates market dysfunction, which leads to a misallocation of resources. Governments that freely encourage individual entrepreneurship and freedom for individual initiatives to receive and respond to market signals maximize efficient resource allocations, as Smith's invisible hand (Oslington, 2012; Skousen, 2015). The freedom for accessing financial and economic opportunity assumes market players have equal access to complete information, which is not altogether true because competition for production, utilization, and consumption of products and services creates unbalanced market intelligence and informational asymmetry (White, 2013). Where this asymmetry exists, one party in the transaction has better information, which makes market allocation efficiency less likely to occur.

**Supply and demand.** In circumstances where aspects of airport concessions activities are quantified, the economic concept of supply and demand is used. Evidence indicates that governing bodies overseeing major U.S. commercial airports act as market regulators through their business operations and properties offices. In the structure and implementation of economic and financial public assistance initiatives and operating under federal, state, and local laws, these departments share similar managerial responsibility for ensuring the presence of social equity components (Bradley, 2008). Macroeconomic theorists examine industrial relationships and the effects of change on

the aggregate supply, demand, and price of goods and services in a defined total marketplace (Betz, 2014), and most major U.S. commercial airports classify as marketplaces.

The United States economy features a capitalistic democratic system based on free-market supply and demand. The U.S. federal government is the chief arbitrator of commercial and legal interpretations and the national defender and, as such, exercises a significant and substantial influence on the marketplace, especially when ensuring social equity in the distribution of public goods and services (Backhouse & Bateman, as cited in Muchlinski, 2012). The nation's central bank, the Federal Reserve (Fed), enables the federal government to correct market imbalances through monetary and fiscal policies (Betz, 2014). For example, where an excess supply of products and/or services exist, and prices are depressed, the Fed can act to stimulate consumer demand by lowering interest borrowing rates to its member banks, which leads to lower consumer borrowing rates and to buying securities in the open market. Conversely, where excess demand and danger from inflation exist, the federal government can act to diminish consumption by taxation, through raising interest borrowing rates to its member banks, and through the sale of securities in the open market (Friedman, 2014).

Sometimes government administrators become overly engaged in markets where the presence of political agendas lessens social benefits due to excessive costs. One of the principal goals of government activity is to redistribute the income of its citizens (Wade, 2012). Proponents of income distribution policy are quick to point to the Social Security system's ability to reduce citizen dependence on welfare through worker earnings

contributions for eligible benefits intended to reflect the employee's degree of individual contributions.

**Price relativity.** Economists view the economic concept of price valuation about the supply or demand for a product or service. There are value differences held by persons who evaluate competitive proposals (the sellers) and those who submit proposals (the buyers). In this qualitative comparative case study, the product is the concessionaire's ability to sell goods or services to airline passengers, airport employees, visitors, and guests from exceptionally high-value rental areas owned by the sample taken from 86 commercial U.S. airports featured in this study (see Appendix C). Given the scarcity of space versus the demand, the price for this right (rental cost) is expectedly higher than most off-airport sites, such as a regional or neighborhood shopping mall.

The theory of supply and demand has substantive meaning only when the price is a factor in the equation, and the ratio of supply to demand for products or services determines the selling price for such goods or services. The principle of the application describes how much a consumer wants and is willing to pay for something he or she values, such as a good or service. All other things equal, the relationship between price and demand is linear (Sabatelli, 2016). In other words, price increases as demand increases, and price decreases as demand decreases. Hypothetically, the principles of supply and demand are equal when the price is relatively stable (Sabatelli, 2016). A classic example of supply and demand equilibrium is the price of ground beef, which has had relatively stable year-round consumer pricing until recently ("Supply Squeeze Push US 'Choice' Beef Price to New High," 2014). Market demand occurs when the population in the entire market wants a particular a good or service, and market research



executives will gladly invest heavily just to see how high the potential is for what they offer publicly.

The relationship between supply, demand, and the price is also reciprocal (Betz, 2014). When the supply of a given product or service is greater than its demand, the product or service price will decrease substantially. Conversely, when demand is at a high and supply is low, the price will tend to be higher. There are times when situations occur where the supply and demand for a product or service undergo significant fluctuation due to changes in pricing that are said to be *price elastic*. Whenever fluctuations in the supply or demand do not occur as prices increase or decrease, such product or service are considered price inelastic (stable).

The presence or absences of acceptable substitutes that closely resemble the preferred choice also influence the elasticity of any good or service (Sabatelli, 2016). This phenomenon is evident in the administration of federal or municipal minimum wage laws, where industry going-wages increased by government's attempt to raise market wages. Some political activists contend that government-forced minimum wage increases cause employers to lay off higher paid employees and employ less costly minimum-wage employees, which creates an unnecessary social cost by adding people to the unemployment roll.

The theories of supply, demand, and pricing relativities are significant concepts in the competitive procurement phenomenon because financial returns on investment (ROIs) are huge factors in decision making by both airport administration and business owners. The financial viability for a concessionaire to operate at a major U.S. airport is an important consideration in the airport's public offering, and the "price" for operating

space is the amount of total rent, and other financial terms concessionaires are willing to offer and accept in their RFP responses.

**Stakeholder.** Stakeholder theory supports using a moral code to assign responsibility to organizations to balance the use of power (Brunsson, 2015). Where Blasi (1999) advocated agency over impulse in judging moral behavior, stakeholder theory assumes the existence of shared values that are critical to at-interest parties (Turner, 2014). By examining private sector administrator relationships and public sector stakeholders, Turner (2014) considered management style and perception of public managers as relationships subject to significant influence. In instances where private sector stakeholders saw power and legitimacy on the public side, private sector actors were less inclined to negotiate differences. However, wherever public sector actors sought to impose conflicting interests, private sector actors were not as cooperative (Turner 2014).

Of all the stakeholders in the airport concessions industry, the government agency in charge has the greatest comparative advantage over all the others for reducing its costs, primarily because it is also a legally authorized enforcement agent, and concessionaires who accept the legitimacy and potential power of the airport administration have a greater chance for a healthy relationships is critical.

The principal nongovernment stakeholder within the aviation industry is the airline carrier group. Since the 1978 deregulation of the transportation industry, tangible evidence exists to conclude that the U.S. government may have made a poor decision when faced with the dilemma of whether to lower the barriers so more people would benefit from lower costs or maintain control to preserve quality and industrial security.

Airline passenger surveys show that customer service has deteriorated since deregulation and that passenger satisfaction is far less than before when compared to the ticket cost per mile. With the airlines' accumulated losses in the trillions and low-cost air carriers maximizing niche advantages, the probability for large-scale mergers and acquisitions, or outright bankruptcy filings as survival strategies, is high ("American Airlines, US Airways Announce \$11 Billion Merger," 2013).

Mills and Koliba (2008) used airports to develop a framework for accountability in governance systems. Kutlu and McCarthy (2016) used airport governance type to determine the location of airport operating efficiencies. Reimer et al. (2009) identified legal issues that affect airport governance and the relationship between governance type and the governing body's functional efficiency. Careful analysis and comparison of official public documents obtained from multiple airports and examined for variations in evaluation criteria informed my study's findings. Mills and Koliba (2008) asked a single question: "In the complexities of governance networks like airports, how does the selection of organizational structure affect public accountability" (Abstract). Tretheway (2001) described six alternative airport governance structures: (a) departments of government, (b) semi-independent government agencies, (c) government corporations, (d) quasi-government airport authorities, (e) joint venture government-private partnerships, and (f) privatized for-profit corporations.

Most U.S. airports are government operated (Ernico et al., 2012; Graham, 2011), which several researchers have noted is atypical worldwide (Mills & Koliba, 2008; Reimer et al., 2009; Airport Cooperative Research Program et al., 2011; Tretheway, 2001). According to Reimer et al., (2009),

Airports are often characterized by their ownership, but . . . governance structure . . . determines how an airport is managed, operated, and developed. . . . In spite of the multiplicity of governance models, there has been relatively little analysis of the advantages and disadvantages of different governance structures and how well different types of public entities perform the function of governing airports. (pp. 2, 3)

From its earliest formation, the United States has been "... a government of laws, and not of men" (John Adams, *Novanglus Essay No 7, 1775*, cited in Garcia, 2015). U.S. law includes governing contracts that are both public and private. Federal common law governs U.S. federal government contracts through a distinct area of law that stands apart from and often in opposition to business contract law (Fuhr & Beckers, 2009). The Uniform Commercial Code sets forth business contract law passed by state legislatures and is standard among the states. Common law is also predominant in government contracting at the state level and is relatively uniform from state to state, which state courts rely on for precedent in evidentiary findings of facts and applications of the law (Ho, 2015). Although common law between states can vary and change through legislative action, federal common law governs a prime contractor, and most government contracts involve subcontractors governed by state contract laws. This difference in the rules often gives rise to contract disputes, particularly in the case of airports and the special legislation and applicable regulations (Mills & Koliba, 2008; Reimer et al., 2009). Given the various ways that government entities can outsource goods and services (e.g., airport retail concessions); improvements in performance evaluation attract attention (Ernico et al., 2012; Graham, 2011).

Airport performance research has been criticized for failing to consider the significance of nonaeronautical services (Merkert & Assaf, 2015). My research addressed the knowledge gaps left unaddressed by the literature applicable to airport concessions contracting. Absent public outrage and/or protest filings, prior research activity showed indifference to concerns of the airport concessions evaluation and selection process (DOT, 2008; Airport Cooperative Research Program et al., 2011). Conversely, strategies for program implementation, monitoring, and post-award contract maintenance are relatively well published (DOT, 2008; Airport Cooperative Research Program et al.). I found no scholarly research support suggesting that workplace familiarity with one or more governance systems influence decision making.

My study's contribution to industry is its transformative ability to effect process improvements by unveiling latent biases in the evaluation and award process. The study advances positive social change by removing doubt that small and minority owned businesses will be able to compete evenly (Fuhr & Beckers, 2009). Because of this study's outcome, protected-class business owners, local entrepreneurs, and leaders of smaller sized organizations will be encouraged to compete for airport concessions operating contracts. Such a finding merits future research using a wider governance typology.

Initially, the literature review focused on qualitative research methodologies to determine whether a phenomenological, case, or mixed method would be the appropriate research design. Expanding on ACRP Report 54 (in Airport Cooperative Research Program et al., 2011), Mills and Koliba (2008), Kutlu and McCarthy (2016), Merkert and Assaf (2015), and Reimer et al. (2009), the socioeconomic theories for relationships were

examined for linkage with differences between airport RFP evaluation criteria and airport governance systems.

### **Summary and Conclusions**

The first part of Chapter 2 included a range of literature examined through the lens of socioeconomic theories and the dynamics presented for decision-making in competitive situations. The second part included studies of airport governance issues in accountability, performance efficiency, and legalities in meeting stakeholder expectations. Gaps emerged where there were no studies that considered the effect of policy maker or evaluator motivation based on cognitive association with airport governance type or hub size in the development and implementation of policies for rating and ranking supplier proposals.

Kutlu and McCarthy (2016) examined airport ownership forms and efficiencies and found governance type to be the basis of a research study of airport activity and efficacy performance. I located several contemporary studies of airport governance that informed and reinforced my study. For example, Craig et al., (2012) compared airport governance system performance and found US airports operated by independent authorities were 40 percent more technically efficient than government agency operated airports. This same study also found higher labor and material costs at independent airports reduced the advantage to less than 5 percent. In contrast, Kutlu and McCarthy's (2016) study on airport ownership found no cost differences between government and authority owned airports. Ernico et al. (2012) presented *ACRP Report 66: Considering and Evaluating Airport Privatization* as a guidebook for airport stakeholders in considering the pros and cons of moving from government operated to privatized

initiatives. (Craig et al., 2012; Ernico et al., 2012; Fuhr & Beckers, 2009; Graham, 2011; Mills & Koliba, 2008).

Chapter 2 included substantial evidence in a broad analysis of research studies that helped deliver a socially rewarding, clinically rigorous, and uniquely relevant industry research paper. Thai (2009) offered public procurement as a complex system involving “more than the procurement process alone” (p. 3). Airport concessions contracting process enhancement helps solidify process transparency and relevance for all participants regardless of company size, individual worth, business volume, or owner demographics. According to Olejniczak and Śliwowski (2015), rationalists mistakenly believe decision makers have set minds regarding choice preferences resulting from careful planning and deliberation and fail to consider the “emerging approach to policy analysis—applied behavioral science....which combines cognitive psychology with sociology, law, and economics” to decision concerns (Kahneman, cited in Olejniczak & Śliwowski, 2015, p. 2). Applied to government policy initiatives, this new approach is now in use in U.S. public policy interventions such as the ACDBE and DBE programs. That my research thesis proved to be socially productive is stellar, especially for DBEs, ACDBEs, and other small business owners who otherwise might be precluded from competition, tacitly or otherwise.

Chapter 3 included a discussion of the qualitative design, data collection, analysis plan development, and results of the document comparisons and literature gaps. Document comparison involved analyzing content for socioeconomic factors attributable to how concessionaire RFP responses are rated and ranked. Ultimately, the results of my study require further research efforts that include human participant response

measurements in triangulating to identify inherent decision-maker bias that will further assist airport administrator-led improvements.



### Chapter 3: Research Method

Chapter 3 defines the case study design and data collection, comparison, and analysis methods. The intent of my study was to compare qualification and evaluation criteria contained in 42 airport RFP documents issued between 2007 and 2015, which I obtained from 35 of the 86 U.S. primary airports (of which 32 documents contained rating percentage weights) with qualifications and criteria outlined by ACRP Report 54 (in ACRP et al., 2011, p. 158).

The purpose for conducting this study was to compare and analyze the sample concessions RFPs and the benchmark ACRP Report 54, and to identify a discrete group of socioeconomic values that could influence the evaluation rating and ranking of concessionaire responses. In comparing qualification and evaluation selection criteria between the documents, a more holistic picture of the evaluation phenomenon developed, offering an improved standard for use in U.S. airport concessions evaluation and selection processes. Support for adoption of criteria tailored for specific airports will enhance the core criteria by bringing greater clarity and transparency to a public policy process and encouraging small and minority-owned business participation.

The study's findings extended ACRP Report 54 (in ACRP et al., 2011), Alfert (2012), Kutlu and McCarthy (2016), Martin and Parmar (2012), Merkert and Assaf (2015), Mills and Koliba (2008), Olejniczak and Sliwowski (2015), Reimer et al. (2009), and Snider et al. (2013) with new information for program administrator consideration in designing future RFPs. The findings uncovered a potential for evaluation rater cognitive associations of airport size and governance that could contribute to perceptions of faulty procurement process designs or implementations of competitive proposal processes.

## **Research Design and Rationale**

The conceptual framework within which the RFP qualification and selection factors operate involves airport size and governance type. A proposition is that evaluation committee members representing different airport governance systems and hub sizes choose differently between alternatives when considering socioeconomic factors associated with evaluation criteria. This conceptual frame, coupled with the research questions, established the foci and set the boundaries for the purposive stratified sampling decision.

The research questions gave definition to the type of data collected and the procedures necessary to use the data to answer the questions. The following three questions educed a maximum of in-depth research activity from a complicated case:

- RQ1. How do concessionaire requirements and evaluation criteria used at U.S. primary airports compare with those recommended by ACRP Report 54 (ACRP et al., 2011)?
- RQ2. How can socioeconomic values relate to decision-maker choices in airport concession procurement processes?
- RQ3. How can one set of core evaluation criteria for airport classifications of size and governance differences be justified for common use?

As previously stated in Chapter 1, RQ1 and RQ2 arose out of the problem statement, directly addressed the problem premise, and helped to orchestrate the progression of study elements that followed. Research Question 3 addressed the role that governance systems play in forming decision-makers' views of social and economic factors that could influence value rating scores and rankings.

### **Case Study**

How data are gathered and processed is a concern for any decision-making body, and how a decision maker arrives at his or her decision favoring one winner among several competitors is a measure of the construct that the research questions helped to illuminate. According to Miles et al. (2014), case study research is “a phenomenon of some sort occurring in a bounded context” (p. 28). Yin (2014) described the boundary between the case and its contextual setting as not always clear and subject to change as research activity continues. According to Yin, the flexibility in case study research writing makes it exceptionally useful in the social sciences and comprehensive for examining phenomena beyond theory, which allows for a higher level of real-life problem solving.

### **Document Comparison**

Yin (2014) emphasized the need for careful identification of the various tools available for use in analyzing case study evidence. Onwuegbuzie et al. (2012) recognized that analysis and interpretation are possible within a document or between documents. According to Onwuegbuzie et al., “Analysis of literature takes one of the two forms: within-study literature analysis or a between-study literature analysis” (p. 5). In both instances, researchers mine information for a stated purpose out of secondary data sources authored by others. Between-document analyses involve comparing and contrasting data obtained from several sources, and several research studies have shown that document comparisons are sound strategies for a case study using content analysis (Elo et al., 2014; Franco & Pessoa, 2014).

### **Constant Comparison Analysis**

Constant comparison analysis, as described by Strauss and Corbin (as cited by Ouwuegbuzie, Leech, & Collins, 2012) involves the following actions:

1. Build theory—as opposed to testing it;
2. Provide researchers with analytic tools for analyzing data;
3. Assist researchers in understanding multiple meanings from data;
4. Provide researchers with a systematic and creative process for analyzing data;  
and
5. Assist researchers in identifying, creating, and seeing the relationships among components of the data when constructing a theme. (p. 13)

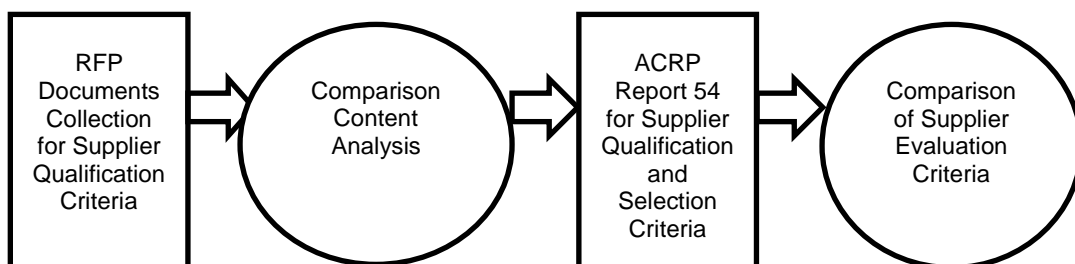
Constant comparison analysis was developed as a tool for iteration across emerging evidence in grounded theory research (Lawrence & Tar, 2013). Constantly comparing data to that which had been coded and categorized previously enabled me to move forward in an organized and efficient manner in each of the NVivo processing phases.

### **Content Analysis**

Researchers considered early content analysis to be a quantitative means of analyzing text by using numbers to classify and categorize material with little regard for contextual meaning (Krippendorff, 2013). Interest in the social values of New York newspaper journalism in the late 19th century famously evidenced this notion, whereby political journalists began measuring content categorically by columnar inches to prove space equanimity (Krippendorff, 2103, p. 12). Krippendorff (2013) contemporaneously

characterized content analysis as “exploratory in the process and predictive or inferential in intent” (p. 1).

Qualitative case study proved to be the best research method for comparing differences in RFP evaluation standards used by airports and those recommended by ACRP Report 54, which described the form of the rubric used to analyze RFP data. Conducting qualitative content analysis enhanced study validation and allowed for transferability of features to other complex organizational settings where layered governance and multiple categorization issues exist (Yin, 2014). Baxter and Jack (2008) favored the use of multiple data sources in a case study, thereby supporting my rationale for using a qualitative comparative case study design with qualitative content analysis driven by the RFP documents and the need to explore the evaluation process through several lenses. The criteria contained in ACRP Report 54 represented the industry-surveyed arithmetic mean of core criteria that I used for benchmarking comparisons of evaluation criteria obtained from the sample RFPs.



*Figure 5.* Qualitative study comparing airport RFP documents and ACRP Report 54 (ACRP et al., 2011) for variances in evaluation qualification features and criteria.

Table 7

*Design Matrix Qualitative Case Document Comparison Study Method*

Data collection	Procedure
Obtain 42 RFPs from 86 U.S. primary airports categorized by governance type (see Appendix C1), each with at least 1 million enplaned passengers annually.	Search the Internet for listed concessions RFPs. All required records are available through appropriate government and industry source websites.
Review the in-context socioeconomic drivers, the selection criteria recommended in ACRP Report 54 (ACRP et al., 2011), and those of the sample RFP documents obtained from various airports.	Observe and note socioeconomic relationships that could have links to differences between evaluation criteria and airport governance systems. With NVivo qualitative software used to code and record airport RFP selection criteria categorized by airport size and governance type featuring percentage ratings, importance rankings, the degree of comments by ancillary statements, and thematic coding analysis, the evaluation criteria from each source will undergo analysis.
Qualitative comparison of the selection criteria recommended in ACRP Report 54 (ACRP et al., 2011) and those of the sample RFP documents obtained from various airports.	Document analysis for differences in criteria for individual airports, classification of airports, and comparison with the benchmark criteria depicted in ACRP Report 54 (ACRP et al., 2011).
Amplification of findings and implications about the issues discussed in the study introduction (Chapter 5).	Conclude the research through dual elements of discursive writing and a focus on detail as cornerstones in my data analysis section.

*Note.* RFP = Request for Proposal.

Therefore, use of the qualitative case method was not only solidified by the self-contained data within the RFP documents, but content validity was increased qualitatively as a byproduct of my extensive industry-specific knowledge and emic approach in making observations. Figure 4 depicts the progression stages used to compare and analyze the document contents. I compared the RFPs for evidence of socioeconomic influences on the procurement process and evaluation criteria differences by size and type of airport governance system (see Figure 3). Moreover, the results

indicated the extent to which socioeconomic factors influenced the decision outcomes addressed in Chapters 4 and 5.

Finding a connection between cognitive affiliation with disparate airport governance systems and evaluator decisions would help remediate airport concessionaire selection processes in ways that are commercially viable and enhance public policy for meeting social goals. The strategy used to examine the documents is illustrated in Table 7, which traces the steps taken in this research study.

### **Role of the Researcher**

My role as the researcher in this qualitative case study involved gathering the RFP documents for comparison, performing the necessary comparisons and analyses, and meeting the reporting requirements expected in arriving at a conclusion. I derived all document data from public records documents available on the Internet. My prior experience as the president and chief executive officer of a chain of airport retail concessions facilitated the gathering and analysis of documents with a greater depth of understanding that allowed for a meaningful conclusion. I have retired from direct involvement in the organization I once headed, which was reorganized under new ownership and operated by a management team led by my son. In my conduct of this study, my comparisons, analyses, and reporting of and about public data have presented no known concerns or conflicts of any kind whatsoever. Implicit knowledge of the topic and subject evolved from “arm’s length” business relationships that were contractually insulated from personal and organizational power over any person or entity associated with the sample population, and no direct human contact was necessary for conducting this study.

The RFPs were uniquely suitable for qualitative content analysis due to my familiarity with the process. The documents provided the data necessary to perform this research and the motivation to conduct it. According to Krippendorff (2013, p. 173), a researcher's industry-acquired insight strengthens the process of abstraction, and intuition is beneficial to the descriptive narrative. Miles et al. (2014, p. 42) identified researchers' interpretive and creative talent as critical skills for conducting qualitative methods. To the extent that interpretations of meaning were inferred, use of qualitative data analysis software (QDA) augmented by hand coding, thick description, and triangular workflow prevented researcher expertise interference. Research data concerned public policy issues available both in print and online, and though public records requests were necessary to obtain some RFPs, written permission for use was not required. Based on the documents that drove the data gathering, assembling, and reporting process, existing literature was extended through the contextual definition of my complex case study.

## **Methodology**

### **Document Selection Logic**

The population of 86 airports was purposefully selected because, collectively, it represents 92% of all U.S. commercial airport passenger traffic. Airports that are classified according to DOT and FAA parameters and governed either directly by government agencies or independently by aviation authorities comprised the population. From this population, I developed a sampling frame of participating airports and obtained 42 RFP documents used for procuring concessionaire operators (see Appendices C1 and C2). Table 7 shows the procedure used to compare the RFP documents contextually for socioeconomic influence drivers and variances in categorical factors.



Sample size in this study was relational and appropriate, as the target population ( $n = 86$ ) accounted for 92% (683 million) of the 739 million enplanements handled by all 506 commercial U.S. airports in 2013 (Federal Aviation Administration, 2014a). This factor shows an overwhelming dominance in U.S. air passenger transportation by airports with 1 million or more passenger enplanements annually. While qualitative theorists have shown that sample size is relative to a study's purpose (Bacchetti, 2013; Whitehurst, 2014), constructionists tend to exaggerate sample size as a condition or measure of reliability or credibility (Elo et al., 2014; Houghton, Casey, Shaw, & Murphy, 2013; Lawrence & Tar, 2013). It has been shown that research studies with relatively small sample sizes are acceptable in cases where populations are difficult to reach and samples are difficult to obtain (Whitehurst, 2014). In qualitative research, validity defers to *appropriateness* and reliability defers to *consistency* (Leung, 2015). Bacchetti (2013) challenged positivist overreliance on the positive predictive value ( $p < 0.05$ ) because the information contained in the adjacent value areas are disregarded (Bacchetti, 2013, p. 2).

### **Instrumentation**

Merriam (2015) asserted that the primary data collection and analysis instrument is the researcher. As the sole investigator, I was the primary research instrument because the industry-specific knowledge and experience I had acquired were necessary for conducting the research study as designed (Krippendorff, 2013; Miles et al., 2014). I examined ACRP Report 54 and the 42-document sample of airport RFPs with a concentration on the concessionaire qualification requirements and evaluation committee criteria identified in each document. Coded data were selected, marked, and entered into a self-created Excel spreadsheet in advance of the comprehensive NVivo software coding

and categorization of factors related to the research questions. All forms used for data capture were developed using Excel or NVivo software. RFP documents were examined in order to glean nuanced and embedded meanings that addressed the research questions and addressed socioeconomic propositions, evaluation criteria, criteria weighting, and governance patterns required for abstracting the information and developing the context narrative.

### **Procedures for Data Collection**

Reviewing all Walden requirements helped to ensure that the methods selected to collect and analyze documents and data (including my reliance on a database expert for technical instructions when processing queries and reports in NVivo) were acceptable and within the established dissertation guidelines. Upon receipt of approval from Walden University's Institutional Review Board (IRB) to conduct the qualitative comparative case study, I began comparing documents. A copy of the approved IRB report is attached as Appendix K.

## **Data Analysis Plan**

### **Document Comparison**

A within-document examination of ACRP Report 54 and each of the 42 RFPs allowed me to infer data references to the potential for influences of social and economic values that could be attributed to workplace enculterations from airport governance type and hub size. Following the within-document analysis, a between-document comparison and thematically analyzed categorization of data provided *prima fascia* evidence of authenticity that helped to solidify study credibility and transferability. All documents were examined with a concentration on concessionaire qualifications requirements and

evaluation committee criteria wherein I observed, coded, and recorded differences and inferred meanings in arriving at socioeconomic associations between the various document evaluation criteria and airport governance systems.

Table 8 portrays the research questions, the source of materials, method of data gathering, and research tools used for textual analysis. The data collected manually and transferred to Excel spreadsheet allowed me to enter the demographic information electronically as cases (nodes) into the NVivo program categorized according to airport size, RFP document characteristics, and airport governance type. ACRP Report 54 provided recommended guidelines for structuring ideal airport concessions program from which I inferred meanings and differences identified with airport governance type, airport capacity, hub size, and concessionaire qualification and evaluation criteria.

Data were logged and coded for patterns and conceptualization of thematic representations, which helped render all stages of this research study's analytical process confirmable and transparent. To complete the analysis required in response to the research design, I carried out the following eight-phase procedure:

- Phase 1—I located and transcribed qualitative comments, demographic, and other document profiling information such as RFP by airport name, governance type, airport size, benchmark document (ACRP Report 54) preferences for into NVivo, both directly and imported from a self-prepared spreadsheet table.

Table 8

*Research Matrix Formatting*

Components of research	Primary source	Method	Tool
1. How do concessionaire requirements and evaluation criteria used at U.S. primary airports compare with those recommended by the ACRP Report 54?	ACRP Report 54 and 42 distinct RFPs.	Search content for explicit evidence of evaluation criteria and point weighting.	Summative content analysis and constant comparison
2. How can socioeconomic values relate to decision-maker choices in airport concession procurement processes?	ACRP Report 54 and 42 distinct RFPs	Search content for inferences attributable to socioeconomic values.	Summative content analysis, constant comparison, and NVivo data capture.
3. How can one set of core evaluation criteria for airport classifications of size and governance differences be justified for common use?	Data collected for Research Questions 1 and 2	Cross-reference for trends and themes	Frequency counts and Summative content analysis

*Note.* The 42 RFPs were obtained from 35 airports, and of the 42, 32 contained weighted rates for evaluating five benchmark criteria. Three of five benchmark criteria were rated by all RFPs, and two were not.

- Phase 2—I deconstructed the data into clearly labeled general themes supported by defined rules for inclusion of a broader document driven open coding of the airport RFPs.
- Phase 3—In Phase 3, I re-ordered the developing themes into categories grouped and organized into a logical framework for distilling, re-labelling and merging to ensure that labels and rules for inclusion accurately reflected the coded content.
- Phase 4—The restructured themes were then ‘coded on’ and placed into sub-themes for greater depth and understanding. Thematic qualities such as divergent views, negative cases, attitudes, beliefs, values, and behavior were coded to produce clearer insights into the embedded meanings.
- Phase 5—In phase 5, I reduced 100 data nodes further through consolidation and refining that produced a more abstract and conceptual map suited for the final coding framework.
- Phase 6—In this phase, I summarized content coding by empirical findings against the categories, and considered primary sources contextually with the literature gaps.
- Phase 7—At this stage, findings became self-audited by data beyond the textual quotes and expanded on deeper embedded meanings, which resulted in evidence-based findings that were rooted in the data I used for verifying the findings.

- Phase 8—The analytics created throughout the process were synthesized into a coherent, cohesive, and well-supported draft of the findings and discussion chapters, which resulted in the production of this thesis’s final two chapters.

In Phase 1 Open Coding, I entered the evaluation criteria and weights for each case from the original text of ACRP Report 54 and the sample of airport RFPs (see Table 9). My intention in moving through Phases 2, 3, and 4 was to synthesize and consolidate all RFP qualification and evaluation criteria to determine informational similarities. Attributes and qualifying factors were then interpretively coded, analyzed, and synthesized in the preparation for the Chapter 5 discussion (procedurally outlined in Table 7).

Table 9

*Example of Weighted Evaluation Criteria*

Criteria	Weight
Overall mix of brands/concepts	
– Mix of brands including local brands in creating a “sense of place”	
– Individual concepts and suitability	
– Strength of brand(s) – local, regional, national	
– Rationale and justification for the proposed brand/concept	25
Financial return and investment commitment	
– Financial return over the term of the concession agreement and reasonableness of the pro forma	
– Pro forma sales and revenue projection – first 5 years	
– Supporting justification for sales projection (benchmarks, performance of other businesses, rationale, etc.)	
– Statement of how the proposed concepts will maximize sales and revenue, including anticipated capture rate and target market	
– Capital investment commitment	25
Customer service, marketing, and operations plan	
– Training, quality assurance plan, plan for handling peak periods and increasing throughput	
– Customer service standards, approach to providing service during peak periods, customer feedback, complaint and resolution process, service monitoring, and quality control	
– Customer payment types and additional service enhancements	
– Management plan, including on-site management, local hiring, training, development	
– Merchandising and pricing plan	
– Sustainability plan (recycling, power conservation, use of locally produced products)	
– Marketing and promotions plan	20
Aesthetics and design	
– Proposed design(s), incorporation of “sense of place”	
– Use of available space to maximize sales and customer service	
– Consistency with tenant design standards	15
Experience and qualifications	
– Experience with particular brand or concept; local management; record of accomplishment; depth of experience; and support systems.	
– Experience, qualifications, track record of company	
– Previous operating experience	
– References	
– Recognition, awards, favorable reviews, honors, etc.	
– Demonstrated financial ability to perform	15
Total Points	100

*Note. From Resource Manual for Airport In-Terminal Concessions (ACRP Report 54, p. xx), by ACRP et al., 2011, Washington, DC: National Academies Press. The table presents an example of weighted evaluation criteria from a large hub airport food and beverage RFP. Each criterion is listed, along with descriptors that help the evaluators understand the criterion. Five overall criteria are used in this example, with a total of 100 points. More criteria and more points can be used.*

As I proceeded to code weighted evaluation criteria and “soft attributes” (e.g., best practices and most of the benchmark document’s recommended concessionaire performance qualities through to Phase 4, it became apparent that the alphabetical listing of sources and case nodes was slow and unexpectedly arduous. The time spent proved worthwhile, however, as I was able to uncover and identify additional ways to categorize and expand upon the known case factors and attributes. By improvisation and inclusion of manual coding and purposeful reading of specific document sections known through experience to contain the pertinent information, I was able to refine subtle nuances further into inferred interpretations. The combined use of NVivo and manual coding enabled me to explicate a specific set of reflective qualities emanating from the taxonomy of bureaucratic creation in each RFP.

Reduction of the coded data enabled me to reach a final representation of meanings by which inferences and attributions arrived with confidence. By consolidating case nodes into subsumptive components, I was able to visualize associations between the reordered set of the socioeconomic theories examined in Chapter 2 into two theoretical classifications of *rational choice* for the economic aspect and *social equity and justice* for the social aspect. I uncovered divergent views, negative cases, attitudes, beliefs, values, and behaviors, which were coded to produce clearer insights into the embedded meanings. I used Excel spreadsheet software for developing the demographic profile necessary for responding to the research questions that enabled me to break down Research Questions 1 and 3. I then categorized each RFP by airport hub size and governance type. My effort to draw extended social meaning from the results of this textual analysis in responding to Research Question 2 adhered to principles of both social



and economic theories. A basic premise of this study is that the social theories examined exert influence on decision makers in different ways that can affect concessionaire selection processes and diminish financial and economic opportunities, especially for financially and economically disadvantaged small and minority-owned concessions operators.

### **Content Analysis**

Snelson (2016) described qualitative content analysis as “a descriptive research method involving the development of a coding frame and qualitative coding of data” (p. 5). I read the contents of each RFP document and developed categories to glean nuanced and embedded meanings in addressing the research questions. Hsieh and Shannon (as cited in Hashemnezhad, 2015) defined three distinct approaches for conducting qualitative content analysis:

- **Conventional**—used where coding categories are derived directly and inductively from the raw data. This is the approach used for grounded theory development.
- **Directed**—used where initial coding starts with a theory or relevant research findings. Then, during data analysis, the researchers immerse themselves in the data and allow themes to emerge from the data. The purpose of this approach usually is to validate or extend a conceptual framework or theory.
- **Summative**—starts with the counting of words or manifest content, then extends the analysis to include latent meanings and themes. This approach seems quantitative in the early stages, but its goal is to explore the usage of the words/indicators in an inductive manner. (p. 60)

I elected to use the summative approach because it provided the best data necessary in responding to the study's conceptual and theoretical frameworks for expanding on Kutlu and McCarthy (2016), Merkert and Assaf (2015), Mills and Koliba (2008), Airport Cooperative Research Program et al. (2011), and Reimer, Putnam, and McDaniel (2009). According to Hamad et al. (2016), "a summative approach to qualitative CA goes beyond counting words to include the latent content, the process of interpreting the content, and the discovery of the underlying meaning and alternative terms for the words" (p. 5). The NVivo software assisted qualitative content analysis included factors of socioeconomic propositions, evaluation criteria, criteria weighting, and governance patterns necessary for abstracting information and context narrative for my research study's premises. I compared, content-coded, analyzed, and categorized all sampled RFP documents by airport size, governance type, and descriptive analysis of variances in criteria, criteria weighting between government agencies operated airports, and independent authority operated airports.

In the initial Phase 1 open coding process, I examined the evaluation sections contained in ACRP Report 54 and the 42 airport RFPs and coded 985 references to the criteria evaluation ratings contained in 32 RFPs. The initial coding categories and factor classifications established a proper base that allowed for an adjustment to the data alignment and final accommodation of all uncovered criteria as follows:

- ACDBE participation;
- Aesthetics and design;
- Customer service, marketing, and operation plan;
- Experience and qualifications;

- Financial return and investment commitment;
- Overall mix of brands, concepts; and
- Proposal presentation quality.

### **Interpretive Coding**

Interpretive coding is also described as “values coding... [where] the application of codes onto qualitative data that reflect a participant’s values, attitudes, and beliefs, represent his or her world view” (Saldaña, 2013, p. 110). Document comparison and content analysis began with coding the deciphered categorical factors (e.g., the supplier qualification and evaluation criteria, airport governance, and size) using NVivo 11 QDA software. Dey offered a axiom that says, “With categories, we impute meanings, with coding we compute them” (as cited in Saldaña, 2013, p. 8). In this respect, my goal was to produce an ordered and categorized data set that would enable consolidation of meanings and yield plausible explanations for any differences. Table 10’s superimposition of Krippendorf’s (2004) hierarchal analysis depicts the focused approach to content analysis and constant comparison methodologies for coding, classifying, and analyzing data in response to the research questions. The ability to electronically search documents for singular or multiple words or a phrase using simple or advanced queries was critical in my search for meanings. The NVivo queries I made were broad and varied when necessary, and narrow and pointed where useful. The query wizard, text search, and word frequency functions were used for different purposes during the analysis and reporting phases. For example, word-specific and broad context searches for word and root text for *brand*, *social*, *financial*, *experience*, *customer*, *pricing*, *capacity*, *agency*, *protest*, *compliance*, *evaluation*, to name a few. In analyzing

the data, I was interested in five key areas:

- What was said—I drew upon the content of the nodes I created;
- How it was said—I drew upon the annotations and memos including observations from personal experience;
- How much of it was said; the document “voice(s)”—I drew upon the coding patterns generated by the sources and references coded at a node using Excel to visualize the weighting of codes;
- Who said it—I drew upon the case nodes using matrices to explore and intersect document profiles within my thematic framework; and
- The literature—I imported and coded the literature (by the query) to the thematic framework.

Table 11 depicts the numeric assessment ratings recategorized and shows how the ACRP Report 54 document is defined by the criteria contained in the airport RFPs. Each variation in RFP rating criteria was considered necessary for assessing contract performance capability and then subsumed by category in preparation for the code reductions. Phase 4 data were reduced to a final set of five categorizations that mirrored the example shown in the benchmark document, ACRP Report 54. The analysis was relatively straightforward and more consistent because, unlike primary data, the structured literature could be coded by automation as well as by hand. Each word, term, phrase, and paragraph was analyzed and coded thematically according to both the study's factors of weighted evaluation criteria, airport size, and governance system.

Table 10

*Analytical Hierarchy to Data Analysis*

Analytical process	Krippendorff practical application in NVivo	Strategic objective	Iterative process throughout analysis
What data are analyzed? How are they defined What is the population from which they are drawn (Source)	Phase 1: Transcribing and formatting demographic and other profiling information into a single table for import into a computer aided qualitative data analysis system (NVivo)	Data Management (Open and hierarchal coding through NVivo) ↓	Who said what? ↕ Why did they say it? ↕
What are the context about which the data are analyzed (Encoding Process)	Phase 2 – Open Coding Phase 3 – Categorization of Codes Phase 4 – Coding on Phase 5 – Data Reduction/Consolidation	Descriptive Accounts (Reordering, ‘coding on’ and annotating through NVIVO) ↓	How did they say it? ↕ What inferences may be drawn? ↕
Exploring relationships and patterns across categories (Channel, Message, Recipient)	Phase 6: Generating Analytical Memos	Explanatory Accounts (Extrapolating deeper meaning, drafting summary statements and analytical memos through NVIVO)	To whom did they say it ↕ With what effect?
Integrating data to write findings (Decoding Process)	Phase 7 – Validating analytical memos Phase 8– synthesizing analytical memos		

*Note.* Stages and process involved in qualitative analysis. Adapted from *Content Analysis: An Introduction to Its Methodology* (3<sup>rd</sup> ed., p. xx), by K. Krippendorff, 2013, Thousand Oaks, CA: Sage.

Through a background of social and economic theories, each RFP was compared against the benchmark ACRP Report 54 for evidence of socioeconomic influence drivers arising from evaluator association with the categorized factors. The method for achieving data reduction and consolidation was accomplished by coding source data from ACRP Report 54 and the RFPs into separate case nodes classified and categorized in four iterations that were slightly different from the Krippendorf model (see Table 10). Coding this way enabled me to imagine meanings existentially, as the nodes began to mutate and grow into various subdivisions in moving from Phase 1 *open coding*, to Phase 2 *categorization coding*, to Phase 3 *coding on*, to Phase 4 *data reduction coding*, and through to the final stage (Bazeley & Jackson, 2013). The data underwent summations categorically through the Phase 2 and 4 analyses and coding process, and refinements to researcher explanations. Table 11 shows how the seven criteria categories coded in Phase 2 were derived from both the ACRP Report 54 and the 32 RFPs examined. I searched for words and phrases recommended by the benchmark document that were implicit or implied in the narratives of each RFP's protocol or procedure. Initially, I used the word descriptors *collaborative*, *deleterious*, and *tenuous* to define inferred meanings and effect of coded narratives from the airport documents about the future performance of concessionaire tenants. The final reduction of theoretical attachments initially classified as congruent, cooperative, or collaborative was reclassified as *imprecise*.

Table 11

*NVivo Phase 2 to Phase 4 Grouping of RFP Evaluation Criteria*

Phase 2 criteria	Phase 2 to Phase 4 subsummation with explanation
ACDBE participation	<i>Office of Contract Compliance – ACDBE Goals.</i> ✓ A measure of concessionaire willingness to include minority operator(s) to participate in financial and economic opportunities.
Aesthetics and design	<i>Design, Material, and Sustainability; Proposed Concept and Design; Merchandising, Concept, and Design Plan; Transition Plan, Layout, and Merchandising Display; and Quality of Furnishings.</i> • Proposed design(s). A “sense of place”—available space sales maximization, customer service—tenant design standards, consistency.
Customer service, marketing, and operation plan	<i>Customer Service and Quality Control; Customer Service, Management and Operations Plan; Concept, Menu Selection, Service, and Pricing; Management Plan; Managing, Operating, Maintaining, and Ownership; and Operation Plan.</i> • Training, quality assurance plan, plan for handling peak periods and increasing throughput—Customer service standards, approach to providing service during peak periods, customer feedback, complaint and resolution process, service monitoring, and quality control—Customer payment types and additional service enhancements—Management plan, including on-site management, local hiring, training, development—Merchandising and pricing plan—Sustainability Plan (recycling, power conservation, use of locally produced products, etc.)—Marketing and promotions plan.
Experience and qualifications	<i>Experience and Background; Experience; Background, and Qualifications; Airport Experience and Qualifications of Past Performance; Overall Project Experience and Performance; and References.</i> • Experience with particular brand or concept; local management; record of accomplishment; depth of experience; and support systems. \– Experience, qualifications, track record of company – Previous operating experience—References—Recognition, awards, favorable reviews, honors, etc.—Demonstrated financial ability to perform
Financial return and investment commitment	<i>Financial Capability; Financial Plan; Financial Offer; Economic and Financial Return to the City; Compensation to City; Concession Rent; MAG Proposal; Percentage Rent; Proposed MAG; Business Plan; Proposed Concession Plan; and Design Intention and Capital Investment.</i> • Financial return over the term of the concession agreement and reasonableness of the pro forma. – Pro forma sales and revenue projection – first five years— Supporting justification for sales projection (benchmarks, the performance of other businesses, rationale, etcetera). –Statement of how the proposed concepts will maximize sales and revenue, including anticipated capture rate and target market. – Capital investment commitment.
Overall mix of brands/concepts	<i>Brands; Concept; Concept and Design; and Creation of a Sense of Place.</i> • Mix of brands including local brands in creating a "sense of place"— Individual concepts and suitability— Strength of brand(s) – local, regional, national— Rationale and justification for the proposed brand/concept
Presentations	<i>Presentation and creativity of the conceptual ideas and vision.</i>

*Note.* Italics signify words and phrases used in the documents; the checkmark “✓” represents the researcher’s explanation, and bulleted paragraphs are statements excerpted from the benchmark papers.

### **Discrepant Cases**

According to Roller and Lavrakas (2015), a technique for amplifying research study outcomes is to identify data parts that either “contradict or otherwise conflict with the prevailing evidence” (p. 42). There were 12 instances where I considered the results of distribution frequencies for coded textual references as outliers because their number were unique to one segment of the study factors and excessively beyond the weighted averages of other similarly categorized items. These occurrences are examined in the study results segment of Chapter 4.

### **Economic Theories Interpretation Guides**

The economic factor influencers derived from theory are described as follows:

- Agency—described by textual references to specific contractual terms and conditions.
- Competition—conditions that help stimulate and advance commercial enterprise whether intentional or not.
- Rational Choice—expressed as economic self-interest.
- Stakeholders—expressed in terms that benefit third party shared interests.
- Supply and Demand—expressed as references to the number of airline passengers or amount of airport revenues.

### **Social Theories Interpretation Guides**

The social factor influencers derived from theory are described as follows:

- Morality/Ethics—expressions marked by clarity and transparency of purpose.
- Power—expressed by dominance.



- Social Equity—voiced by fairness.
- Social Justice—expressed as indiscriminate economic opportunism.
- Sustainability—expressed as being environmentally impactful.

After reexamining the structure of the economic and social theory genres, component factors were analyzed for reciprocities between genres and 25 associations were inferred where social and economic theory and narrated application narratives met. From the data, I was able to create a platform that allowed both specific and nuanced interpretative meanings where applicable (illustrated graphically in Table 12).

The first column in the Table 12 matrix contains five defined economic theory factors cross-referenced with corresponding social value attachments. A list of attributes that established the theoretical rubric used to set the analysis of each economic theory coded for social theory associations follows:

- Agency as *moral-ethical*—contractual terms and conditions that show clarity and consistency. (Keyword roots are *contractual* and *clarity*).
- Agency as *power*—expressions showing dominance in contracting terms and conditions. (Keyword roots are *contractual* and *dominance*).
- Agency as *social equity*—defined by statements that show fairness in expected delivery of obligations. (Keyword roots are *contract* and *fairness*).

Table 12

*Theoretical Attachment Matrix*

Theory	Moral/ ethical (clarity)	Power (domination)	Social equity (fairness)	Social justice (indiscrimination)	Sustainability (environment)
Agency (contractual)	Clear, consistent, and transparent contractual wording	Statements that convey contracting party dominance	Contractual terms showing fairness in expected deliverables	Contractual terms that provide for economic opportunities without differentiation	Contractual terms and conditions that are environmentally impacting
Competition (commercial)	Clearly defined economic and progressive stimulants	Measures that bestow dominance in commercial enterprise	Fairness in expected delivery of clearly defined economics	Measures that help stimulate and advance commercial enterprise	Provisions that are progressive, economically stimulating and environmentally impactful
Rational Choice (self-interest)	Self-interest that is also objective, transparent, and clearly stated	Statements of self-interest that establish dominance in contractual terms	Expressions of self- interest that do not unfairly affect others	Expressions of self-interest that are indiscriminate	Show of self- interest in providing for environmentally impactful results
Stakeholder (third-party benefaction)	Statements that are clear, transparent, and benefit third-party interests	Statements that consider third-party shared values and bestow dominance in contractual terms	Statements that consider third-party shared values and also show fairness	Statements that consider third- party shared values and do not discriminate	Provisions that consider third- party shared values and are environmentally impactful
Supply & demand (enplanement, passengers, revenues)	Textual quantificatio ns of space and pricing that are clear and transparent	Expressed as space allocation and pricing that show dominance in contractual terms	Expressed as space allocation and pricing that also show fairness	Expressed as space allocation and pricing that are indiscriminate	Expressed as space allocation and pricing that consider third- party shared values and the environment

*Note.* The theory associations are depicted by Table 12 showing each of the economic theories in the first column, aligned with the social theories listed in each succeeding column.

- Agency as *social justice*—contractual terms that provide undifferentiated economic opportunities. (Keyword roots are *contract* and *indiscrimination*).
- Agency as *sustainability*—contains environmentally impactful provisions. (Keyword roots are *contract* and *environment*).
- Competition as *moral-ethical*—progressive and economically stimulating terms expressed clearly and transparently. (Keyword roots are *commerce* and *clarity*).
- Competition as *power*—measures taken that bestow commercial dominance. (Keyword roots are *commerce* and *dominance*).
- Competition as *social equity* —statements that are progressive and economically stimulating that show *fairness*. (Keyword roots are *commerce* and *fairness*).
- Competition as *social justice*—statements that are progressive, economically stimulating, and do not discriminate. (Keyword roots are *commerce* and *indiscrimination*).
- Competitions as sustainability—commercial enterprise provisions that are progressive, economically stimulating and environmentally impactful (Keyword roots are *commerce* and *environment*).
- Rational choice as *moral-ethical*—economic self-interest that is expressed objectively, transparently, and clearly. (Keyword roots are *self-interest* and *clarity*).

- Rational choice as *power*—statements that show self-interest that bestow commercial dominance. (Keyword roots are *self-interest* and *dominance*).
- Rational choice as *social equity*—statements of self-interest that are also fair. (Keyword roots are *self-interest* and *fairness*).
- Rational choice as *social justice*—expressions showing self-interest that stimulates economic opportunity. (Keyword roots are *self-interest* and *indiscriminate*).
- Rational-choice as *sustainability*—statements that show self-interest that are environmentally impactful. (Keyword roots are *self-interest* and *environment*).
- Stakeholder as *moral-ethical*—statements that are clear and transparent that benefit third-party interests. (Keyword roots are *beneficial* and *clarity*).
- Stakeholders as *power*—statements that consider the third party shared values and bestow dominance in contractual terms. (Keyword roots are *beneficial* and *dominance*).
- Stakeholder as *social equity*—statements that fairly consider third party shared values. (Keyword roots are *beneficiary* and *fairness*).
- Stakeholder as *social justice*—statements that consider third party shared values nondiscriminatory. (Keyword roots are *beneficiary* and *indiscriminate*).
- Stakeholder as *sustainability*—provisions that consider third party shared values and are environmentally impactful. (Keyword roots are *beneficiary* and *environment*).

- Supply & demand as *moral-ethical*—expressed as numerical, spatial, and financial conditions that are clear and transparent. (Keyword roots are *enplanements, passengers, revenues, and clarity*).
- Supply & demand as *power*—expressions of numerical, spatial, and financial conditions that bestow contractual dominance. (Keyword roots are *enplanements, passengers, revenues, and dominance*).
- Supply & demand as *social equity*—expressed as numerical, spatial, and financial conditions that also show fairness. (Keyword roots are *enplanements, passengers, revenues, and fairness*).
- Supply & demand as *social justice*—expressed as numerical, spatial, and financial conditions that are indiscriminate. (Keyword roots are *enplanements, passengers, revenues, and indiscrimination*).
- Supply & demand as *sustainability*—expressed as numerical, spatial, and financial conditions that consider the third party shared values and the environment. (Keyword roots are *enplanements, passengers, revenues, and environment*).

### **Issues of Trustworthiness**

QDA software provided the required trustworthiness and plausibility and ensured transparency by enabling me to provide an audit trail. Use of NVivo for logging data movements, coding patterns, and mapping of conceptual categories and thought progression also helped me to render all stages of the analytical process confirmable. The ability to capture meanings and patterns helped facilitate a more detailed and comprehensive analysis and report of findings without conceding the interpretive task to

computer logic. As Bazeley and Jackson (2013) explained, “The use of a computer is not intended to supplant time-honored ways of learning from data, but to increase the effectiveness and efficiency of such learning” (p. 2).

### **Credibility**

Using QDA software to facilitate coding and record data by the qualification and evaluation criteria gleaned from the documents enabled me to categorize attributes and identify themes with ease. I identified the RFPs and demographics and entered data into Excel for determining categorization dependencies before use of QDA software. The *ACRP Report 54* and sample RFPs were manually annotated then electronically scanned into NVivo for coding, category refinement, identification of trends, and developing themes. Use of multiple theories and information sources within a qualitative case research design featuring document comparisons and qualitative content analyses by an industry-expert researcher provided a recursive and reflexive strategy that has enhanced this study’s credibility.

### **Transferability**

Potential issues of non-transferability were mitigated by the size of the target population, and an appropriate sample size improved the likelihood for transferability by the number and variety of documents compared and data analyzed and generated. Transferability is increased further by thick description and the homogeneity between category factors of same hub size and governance type, which, in the absence of demographic and political concerns or considerations, also reduced risk.

**Dependability**

Results of the document comparisons are easily replicable because the sources supplying the data came from fixed public records. Hypothetically, where Airport X's RFP weighting for the evaluation criterion "financial return" matched the ARNP Report 54's benchmark recommendation, the base values would remain unchanged (all other things equal) no matter how many replications were attempted. Reliability of the non-numeric factors and inferences derived from the researcher's depth of understanding, the constant comparing of documents, combined use of manual and electronic coding, and the thickness of case and outcome descriptions all contribute to greater stability and dependability.

**Confirmability**

Researcher knowledge and industry experience make this qualitative case research study reflexive. All data are gathered, compared, analyzed, contrasted, and described from authentic public records. The theories presented has contextualized the behavioral and reflexive elements within which this qualitative research study has evolved, and the use of QDA software for the coding and thematic analysis of document content has helped to produce a descriptive and inferential research effort that is innately reflexive and recursive.

Table 13

*Research Alignment Matrix*

General management problem	Specific management problem	Purpose statement	Research questions	Identify gap(s) in the literature	Framework (conceptual and theoretical)
The perception of inconsistency in evaluation ratings and rankings that occur when concessionaire proposals become down-graded.	Losing proposer allegations of misinterpretation, misconception, or misapplication of core evaluation criteria leading to claims of bias, losing bidder protests, and legal challenges .	To compare and analyze airport concession RFPs for congruence in qualification and evaluation criteria selection between the sample RFPs and the benchmark ACRP Report 54, and to explicate a discrete group of socioeconomic value influences and process drivers.	<p>The research questions established the adequacy of the sample size and provided the canvas for the problem and purpose since the range of the problem potential required measurement through the literature gap, all of which were embodied in the research questions. The research questions defined the type of data I collected and the procedures necessary to use the data to answer the questions. The following three questions extracted a maximum of in-depth research activity from a complicated case:</p> <p>RQ1. How do concessionaire requirements and evaluation criteria used at U.S. primary airports compare with those recommended by the ACRP Report 54?</p> <p>RQ2. How can socioeconomic values relate to decision-maker choices in airport concession procurement processes?</p> <p>RQ3. How can one set of core evaluation criteria for airport classifications of size and governance differences be justified for common use?</p>	A review of the literature revealed a void of concern in the influence airport size, governance type, or evaluator motivation might have on the development or application of decision criteria used for evaluating airport concessionaire RFP responses. Not one researcher explicitly compared variations in RFP socioeconomic underpinnings or evaluation criteria differences between airports categorically, neither by governance type nor hub size. These two voids are the gaps I found in my review of the literature.	My study has both, a theoretical and conceptual framework: The overarching theoretical foundation upon which this qualitative comparison case study rests lies in both decision and social theories of rational choice and equity. Rational choice and social equity are embodied in the socially and economically rational, equitable, and deliberately construed and implemented business ethics of concessions procurement processes. The factors in this qualitative comparative case study were provided by the narrated qualification requirements and evaluation criteria contained in ACRP Report 54 and sample RFPs categorized by airport size and governance type.

*Note.* Responses to each of the alignment columnar headings were excerpted from associated parts of this research study's contents.



## **Ethical Procedures**

The major elements of this qualitative case research study have been presented in a logical and consistent stream that correspond to the problem, purpose, and other items. Table 13 illustrates how elements were approached for locating documents, a collection of data, and determining methods and tools for comparing and analyzing text. No human participants were involved, and all data for the qualitative comparative case study arose from public documents available from open Websites, which limited ethical concerns to the personal integrity of the researcher. All data were collected, analyzed, compared, and were marked for permanent storage and availability by me for a minimum of seven years. Perception of ethical concerns over researcher objectivity and reliability in interpreting meaning from the documents was mitigated by the forensic-style analyses associated with my subject knowledge and industry expertise.

## **Summary**

In Chapter 3, I examined the research method, research design, approach and selection, data collection, and data analysis. As themes developed, they were re-ordered into categories and grouped into a logical framework for continued analysis. Reordering included distilling, re-labelling, and merging of categories so that labels and rules for inclusion accurately reflected the coded content categorized by airport size, governance, and analyzed for instances of keywords and phrases. The quality of criteria interpretation and application for evaluating competitive RFP responses are functions of good airport governance. The value object for this study is its contribution for improvement in the evaluation process through a broader understanding of socioeconomic influences related to its implementation and an effective application of both commercial viability and public

policy in meeting social goals. In Chapter 4, I outlined the results of the document comparison and analyzed differences between airport evaluation criteria and those recommended in ACRP Report 54 for concordance and convergence of trends.

## Chapter 4: Results

### Introduction

My purpose in conducting this study was to identify factors that influence evaluator decisions. More specifically, the purpose was to compare and analyze 42 airport concessions RFPs with ACRP Report 54 for congruence in concessionaire selection criteria and to infer from the data socioeconomic decision influencers based on airport governance type and size. The argument presented by my thesis is that the ability of small and minority-owned businesses to participate becomes severely limited when airport concessions RFPs and/or evaluation processes are inappropriately written or conducted. Securing a prime concession operating contract is capital intensive, and many small businesses are financially unable to afford excessive presentation and capital investment costs or “bundling in” as part of a larger bidding consortium in an attempt to achieve competitive scale.

In support of my argument, the RFP documents were compared and analyzed against ACRP Report 54, and several areas of social and economic influence on evaluation outcomes were identified and highlighted. Through constant comparison of textual and numerical data, valid inferences were made possible based on the context of each document. In Chapter 4, these data are explained and graphically portrayed in support of the findings. An assumption of legitimacy in the rating and ranking of suppliers who compete for government contracts requires the development and implementation of bias-free evaluation criteria that are uniformly applicable (Maser & Thompson, 2013). The issue of bias prompted research questions that addressed similar situations where perceived inconsistencies and allegations of misinterpretation,

misconstruction, or misapplication of evaluation criteria result in less favorable proposal ratings and rankings of competitors for airport concessions contracts.

### **Research Questions**

The three research questions guiding this study are restated as follows:

RQ1. How do concessionaire requirements and evaluation criteria used at U.S. primary airports compare with those recommended by ACRP Report 54 (ACRP et al., 2011)?

RQ2. How can socioeconomic values relate to decision-maker choices in airport concession procurement processes?

RQ3. How can one set of core evaluation criteria for airport classifications of size and governance differences be justified for common use?

Research Question 3 was designed specifically to examine airport governance influence on decision-makers' views of socioeconomic factors in the development and implementation of processes for rating and ranking competing airport concessions RFPs.

### **Research Setting and Demographics**

The demographics for this qualitative comparative case study are the narrated qualification requirements and evaluation criteria contained in ACRP Report 54 and RFPs categorized by airport size and governance type. Concessions are big business for commercial passenger airports worldwide. Most concessionaires are awarded intermediate to long-term lease operating contracts using the Request for Proposal (RFP), a competitive supplier selection process with multiple variations. A qualitative comparative case study was used to explore the evaluation processes used at U.S. airports from which RFPs were obtained from a stratified population of 86 primary airports

purposefully selected because they represented 92% of all U.S. commercial airport passenger traffic. The documents required for this study were purposefully obtained as proposed. The spread of retailer categories and dates of RFP issuance were only partially controlled, however, because the available number, quality, and RFP issue timelines obtainable were source-driven. Table 14 shows the mix of 42 RFPs featuring various airport and concession category demographics. It is important to note that although the demographics are asymmetrical, all RFPs are imbued with similar socioeconomic factors, which neutralizes any concern in this study for concession-mix shortcomings.

Organizations comprising the concessions industry range from very large multinationals to medium and small-size regionally and locally situated firms. Many of the smaller companies are federally registered entities that qualify as socially, economically, and financially disadvantaged business enterprises (DBEs). This research study centers on the same phenomenon in the decision process that also determines small business, DBE, and ACDBE inclusiveness.

Table 14

*Airport Participant Demographics for RFP Sample Data Collection*

Alias	Yr	Cat	Gov	Hub	Lease	Primary Term	Opt	Loc	Sq Ft	Pax Enp
Atlan	2	F&B	GA	Lq	Op&D	Long (8	3	25	25.	45.0
Atlan	2	F&B	GA	Lq	Op&D	Long (8	0	6	8.1	45.0
Birmi	2	F&B	IA	Sm	Op&D	Interme	3	14	15.	1.30
Nash	2	F&B	IA	Md	Oper	Interme	0	1	0.4	5.10
Bois	2	F&B	GA	Sm	Op&D	Long	0	9	11.	1.30
Bois	2	NG,	GA	Sm	Op&D	Long (8	0	5	5.7	1.30
Bost	2	F&B	IA	Lq	Oper	Long (8	0	9	8.9	14.8
Charl	2	NG,	IA	Sm	Op&/	Long (8	2	15	18.	1.40
Charl	2	Baq	GA	Lq	Oper	Short (3	2	Ind	Ind	21.3
Dalla	2	F&B	GA	Md	Op&D	Interme	1	22	26.	4.00
Was	2	Displ	IA	Lq	Oper	Long (8	3	12	Ind	20.4
Denv	2	DF &	GA	Lq	Oper	Interme	0	2	4.6	25.0
Dalla	2	NG,	IA	Lq	Oper	Combo	0	15	9.8	29.0
Des	2	Spec	IA	Sm	Op&D	Short (3	0	2	0.1	1.10
Detro	2	DF	IA	Lq	Oper	Long (8	3	5	9.8	15.7
New	2	NG	IA	Lq	Oper	U/A	0	6	5.9	17.6
Laud	2	Baqq	GA	Lq	Oper	U/A	0	47	3.2	11.5
Hous	2	DF &	GA	Md	Op&D	Long (8	0	8	7.4	5.40
Hous	2	NG,	GA	Md	Op&D	Long (8	0	14	7.1	5.40
Bush	2	F&B	GA	Lq	Op&/	Long (8	0	6	5.7	19.0
Jack	2	F&B	IA	Md	Oper	Interme	3	3	1.3	2.50
Kenn	2	F&B	IA	Lq	Op&/	Interme	0	43	30.	25.0
LAX	2	NG,	GA	Lq	Op&D	Long (8	0	22	20.	32.4
Orlan	2	F&B	IA	Lq	Oper	Interme	0	1	1.2	16.9
Midw	2	NG,	GA	Lq	Op&D	Interme	2	21	19.	9.90
MIA1	2	NG,	GA	Lq	Op&D	Long (8	2	26	23.	19.4
MIA2	2	NG,	GA	Lq	Op&D	Interme	2	6	1.2	19.4
Milw	2	Spec	GA	Md	Op&D	Interme	2	7	4.3	3.20
Minn	2	NG,	IA	Lq	Op&D	Long (8	0	50	75.	16.3
O'Ha	2	F&B,	GA	Lq	Op&D	Long (8	0	16	16.	32.3
Phoe	2	F&B	GA	Lq	Op&/	Long (8	0	36	76.	19.5
Phoe	2	NG,	GA	Lq	Op&/	Interme	3	38	37.	19.5
Roch	2	F&B	IA	Sm	Oper	Interme	5	1	1.2	1.20
San	2	F&B,	IA	Lq	Op&/	Combol	0	22	26.	8.90
San	2	Vendi	GA	Md	Oper	Interme	0	26	0.6	4.00
Louis	2	F&B	IA	Sm	Oper	Long (8	2	10	24.	1.70
Louis	2	NG,	IA	Sm	Oper	Long (8	2	6	10.	1.70
SanF	2	NG	GA	Lq	Oper	Interme	0	1	0.4	21.7
SanF	2	NG,	GA	Lq	Oper	Interme	2	1	5.2	21.7
Sacr	2	F&B	GA	Md	Op&D	Interme	0	4	4.4	4.30
John	2	Parki	GA	Md	Oper	Short (3	2	74	17	4.50
Tam	2	DF &	IA	Lq	Op&/	Long (8	0	33	35.	8.30

*Note.* The proper name of the alias for each airport's RFP by year published is listed above is shown in Table C1. Columnar headings *Alias* = abbreviated airport name; *Yr* = publication year; *Cat* = category of products or services offered; *Gov* = airport governance, *Hub* = airport hub size small (Sm), medium (Med), or large (Lg); *Lease (Type)*: *Op* = concession operator; *Dev* = Developer; *F&B* = Food and Beverage (denotes restaurant facilities); *DF* = Duty Free; *NG* = News and Gifts; *Spec* = specialty; *Vendi* = vending machine dispensed product; *Primary Term* = lease duration; *Opt* = number of option years; *Loc.* = number leasehold premises; *SqFt* = total square feet (in thousands); *PaxEnp* = total number of passenger enplanements (in thousands) for most current year reported by airport.

### **Data Collection**

Internet searches for public records of RFP data from the sampled airports and industry websites yielded more than 100 RFPs online, from which a sample of 42 issued between 2007 and 2015 from 86 U.S. primary airports was purposefully selected and collected. The sample RFPs' concessionaire qualification requirements, weighted evaluation criteria, and socioeconomic context relevant to the study's research questions were constantly compared and analyzed against ACRP Report 54 for differences in factors of airport governance type, hub size, and evaluation qualifications recommended by the benchmark document. The RFP sampling frame was then used to code the data categorically in advance of my cognitive interpretations and inferences for meanings. Frequency distributions and importance rankings were used to measure the relevance and content of the qualitatively analyzed documents.

Differences in evaluation criteria advanced by the benchmark document and those contained in the sample of RFPs were recorded using QDA software. The social and economic theories examined in Chapter 2 were continuously compared for coding relevancies. Electronic keyword search repetitions directed me to content for inferences of nuanced and direct associations between the social and economic process drivers. The amount of textual references for coding uncovered a robust field of factorial influencers that was ripe and ready for harvest. There were no changes from Chapter 3 in the original plan for collecting data.

### **Data Analysis**

The assumptions and propositions helped to illuminate the path forward in this research study as themes developed through the coding and categorization of data and

inferences made. Table 15 illustrates how the “soft data” (e.g., the coding in support of the socioeconomic factor analyses) aligned against the assumptions and propositions in helping me to stay on course, a process that helped to maintain the anchorage necessary for responding to each research question. Table 15 was drawn from two horizons: an upper horizon showing six assumptions of existing conditions to be taken for granted, each of which equating with being a *premise*, *presupposition*, or *supposition*, and a lower horizon of four propositions for a comparative discussion of meaning to be either *assertive* or *debatable*. In the matrix for each of the two horizons, I show how I interpreted and coded document content wherever the narrative was relevant, actually or figuratively, to the research questions. The matrix indicates that all of the assumptions except nonapplicability for the proposition that availability and obtainability existed. The findings for soft data are discussed more comprehensively under the heading entitled “Socioeconomic Influences.” The segment immediately following presents the findings for the point evaluation rating and ranking systems for each RFP document analyzed and compared against ACRP Report 54.



Table 15

*Research Question Associated Assumptions and Propositions*

Assumption	Metonym	RQ1	RQ2	RQ3
<ul style="list-style-type: none"> <li>Guidelines embodied in ACRP Report 54 represent the ethical tenets by which individual airport RFPs are compared in both narrative and process implementation.</li> </ul>	Presupposition	✓	✓	✓
<ul style="list-style-type: none"> <li>Legitimacy in government procurement practice indicates that the evaluation criteria used for rating and ranking concessionaire proposals are free of bias and uniformly applied.</li> </ul>	Premise	✓	✓	✓ <sup>a</sup>
<ul style="list-style-type: none"> <li>A perception of inconsistency occurs in evaluation rating and ranking whenever concessionaire RFP responses are downgraded.</li> </ul>	Premise	✓	✓	✓
<ul style="list-style-type: none"> <li>Airport concession RFP documents were available and obtainable from the Internet or directly from cooperating airport managers.</li> </ul>	Presupposition	✓	N/A <sup>b</sup>	N/A <sup>c</sup>
<ul style="list-style-type: none"> <li>Evidence of associations between evaluation criteria and socioeconomic values contained in ACRP Report 54 and RFPs exists.</li> </ul>	Supposition	✓	✓	✓
<ul style="list-style-type: none"> <li>The means by which proposal evaluators are expected to implement the RFP evaluation process were compatible with the legitimacy premise.</li> </ul>	Supposition	✓	✓	✓
Proposition	Metonym	RQ1	RQ2	RQ3
<ul style="list-style-type: none"> <li>Government-controlled airports assign greater weight to issues of control and revenue generation when evaluating concessionaire proposals than airports operated by independent authorities.</li> </ul>	Contention	✓	✓	✓
<ul style="list-style-type: none"> <li>The evaluation criteria used by airports operating under direct government agency authority attach different social and economic values to the criteria than those operating under independent authorities.</li> </ul>	Assertion	✓	✓	✓
<ul style="list-style-type: none"> <li>Familiarity or association with particular airport hub size and/or governance type can influence evaluation process development and committee member rating and ranking of RFP respondents.</li> </ul>	Contention	✓	✓	✓
<ul style="list-style-type: none"> <li>Evaluation committee members from different airport governance systems choose differently between alternatives when considering socioeconomic factor associations with evaluation criteria.</li> </ul>	Assertion	✓	✓	✓

*Note:* For purposes of this research study, an *assumption* is a condition that is taken for granted and equates with *premise*, *presupposition*, and *supposition*. *Propositions* are points put forth for discussion and equate with *assertion* (as *declarative*) and *contention* (as *debatable*). <sup>a</sup>The assumption outcome is one of the drivers for the RQ3 response. <sup>b</sup>The availability of documents has a direct relation to undergoing this study and, as such, examining RQ2; but has no bearing on RQ2 qualitatively. <sup>c</sup> Similarly, the availability of documents has a direct relation to undergoing this study and, as such, examining RQ3, but has no bearing on RQ3 qualitatively.

### **Weighted Rating and Ranking Criteria**

The five matrices in Appendix D (shown as Table D1 through Table D5) depict the coded postreduction results of the array of criteria and alignment of percentage rates for 32 out of 42 RFPs sampled and containing criteria weights. Each matrix is presented in descending order of the benchmark rating percentages and shows a line-by-line representation of rating values assigned by the RFPs to the criteria:

- Table D1 Brand Mix 25%
- Table D2 Financial Return 25%
- Table D3 Customer Service 20%
- Table D4 Aesthetics and Design 15%
- Table D5 Experience and Qualifications 15%

Two criteria assigned weighted rates by RFPs (namely, ACDBE Participation and Proposer Presentation) were not addressed as such in ACRP Report 54's benchmark example, and only one of the 32 weighted RFPs included Proposer Presentation as a criterion. The 11 RFPs that did not contain weighted evaluation criteria were excluded altogether in my response to RQ1. All 42 RFPs in the sample, however, were coded and included in my responses to RQ2 and RQ3. The weighted evaluation criteria that were actually coded and compared to the benchmark example are shown in Table 9.

**Findings for benchmark criterion "25% brand mix."** The first evaluation point rating coded and compared was observed from the reduced and recategorized criterion Brand Mix. From the analysis of 32 RFPs containing weighted criteria, nine ratings ranged from 5% to 40%. The nine ratings were compared to the designated base rate of

25% assigned by the benchmark example for the brand mix. The comparison showed that seven RFPs matched with the 25% benchmark, 20 did not, and five had no discernable criterion weighted for comparison (see Appendix D, Table D1). Twenty-one percent of all weighted RFPs matched the 25% benchmark rate, 63% did not, and 16% were not rated for the brand mix criterion.

**Findings for benchmark criterion “25% financial return.”** The second RFP evaluation point rating coded and compared was observed from the reduced and recategorized criterion Financial Return. From the analysis of 32 RFPs containing weighted criteria, seven rates were found to range from 10% to 33%. A comparison of the seven ratings to the base of 25% assigned by the benchmark example for financial return showed seven RFPs aligned with the benchmark and 25 not matched (see Appendix D, Table D2). Twenty-two percent of all weighted RFPs matched the 25% benchmark rate for financial return, and 78% did not.

**Findings for benchmark criterion “20% customer service.”** The third RFP evaluation point rating coded and compared was observed from the reduced and recategorized criterion Customer Service. From the analysis of 32 RFPs containing weighted criteria, nine rates were found to range from 10% to 40%. The nine ratings were compared to the base of 20% assigned by the benchmark customer service. The comparison showed that nine RFPs were matched with the benchmark, 20 were not matched, and three had no discernable criterion weighted for comparison (see Appendix D, Table D3). Twenty-eight percent of all 32 weighted RFPs matched the 20% benchmark rate, 63% did not, and 9% were unrated for the customer service criterion.

**Findings for benchmark criterion “15% aesthetics and design.”** The fourth RFP evaluation point rating coded and compared was observed from the reduced and recategorized criterion Aesthetics and Design. From the analysis of 32 RFPs containing weighted criteria, seven rates were found to range from 10% to 28%. The seven ratings were compared to the base of 15% assigned by the benchmark example. The comparison showed that 11 RFPs were matched with the benchmark, 14 were not matched, and seven had no discernable criterion weighted for comparison (see Appendix D, Table D4). Thirty-four percent of all weighted RFPs matched the 15% benchmark, 50% did not, and 16% were unrated for the aesthetics and design criterion.

**Findings for benchmark criterion “15% experience and qualifications.”** The fifth and final RFP evaluation point rating coded and compared was observed from the reduced and recategorized criterion Experience and Qualifications. From the analysis of 32 RFPs containing weighted criteria, nine rates were found to range from 10% to 50%. The nine ratings were compared to the base of 15% assigned by the benchmark example experience and qualifications. The comparison showed that seven RFPs were matched with the benchmark and 25 were not matched (see Appendix D, Table D5). Twenty-two percent of all weighted RFPs matched the 15% benchmark for experience and qualifications, and 78% did not.

**Summary of analysis of weighted rating and ranking criteria.** A range of 17 percentage scoring rates extending from 5% to 50% was extracted from the 32 RFPs containing weighted criteria. Table 16 highlights the findings of the percentage rating and ranking values and summarizes the matches by weighted criterion. Not all of the 32 RFPs included weighted rates for each of the five criteria; otherwise, the total number of

coded reference occurrences would have equaled 160 instead of 147 as shown. Five RFPs did not rate brand mix, two did not rate customer service, and six did not rate aesthetics and design. Of the 27 ratings for the brand mix, seven matched the 25% benchmark (26% of the RFPs weighted for brand mix and 22% of all 32 RFPs containing weighted criteria), 20 were not matched, and five had no discernable criterion weighted for comparison.

Of the 32 ratings for financial return, seven matched the 25% benchmark, or 22% of both the RFPs weighted for financial return and all RFPs containing weighted criteria, and 78% did not. For the 30 customer service ratings, nine matched the 20% benchmark, or 30% of the RFPs weighted for customer service and 28% of all RFPs containing weighted criteria. The aesthetics and design criterion received 26 ratings of which 11 matched the 15% benchmark, or 42% of the RFPs weighted for aesthetics and design and 34% of all RFPs containing weighted criteria. The final benchmark criterion of experience and qualifications received 32 ratings, of which seven matched the 15% benchmark, or 22% of both the RFPs weighted for experience and qualifications, and all RFPs containing weighted proposal evaluation rating criteria.

Table 16

*Summary of Benchmark Findings Matched by Weighted Criteria*

Rate number	Rate %	25% BM ref	25% FR ref	20% CS ref	15% AD ref	15% EQ ref	Total ref	Total %
1	5	1	–	–	–	–	1	0.68
2	10	1	5	2	2	4	14	9.52
3	12	–	–	1	–	–	1	0.68
4	15	2	3	7	11	7	30	20.41
5	17	1	–	1	1	2	5	3.40
6	20	6	12	9	6	10	43	29.25
7	23	–	1	1	1	–	3	2.04
8	24	–	–	–	–	1	1	0.68
9	25	7	7	6	3	3	26	17.69
10	26	1	–	–	–	–	1	0.68
11	28	–	–	–	1	–	1	0.68
12	30	3	3	1	1	3	11	7.48
13	33	–	1	–	–	–	1	0.68
14	35	3	–	1	–	–	4	2.72
15	40	2	–	1	–	–	3	2.04
16	45	–	–	–	–	1	1	0.68
17	50	–	–	–	–	1	1	0.68
		27	32	30	26	32	147	100.00

*Note.* The benchmark percentages and totals are shown in order of weight by a number of coded references in bold font type; AD = Aesthetics and Design; BM = Brand Merchandising; CS = Customer Service; EQ = Experience and Qualifications; FR = Financial Return and Commitment.

Table 17 summarizes the cross-tabulated findings of the percentage rating values further by showing the actual percentage rates assigned by each RFP to each of the benchmark rates. Not all of the 32 RFPs included weighted rates for each of the five criteria, however, and the unassigned percentage rate designated as *other* was necessary to achieve a 100% balance. Five RFPs were not rated for the brand mix, two did not rate customer service, six did not rate aesthetics and design, and 16 RFPs required researcher assignments of percentage ratings for outcome balance.

Table 18 shows the rating value each airport RFP assigned to a component of evaluation categories that were reduced to the five as defined. The findings illustrated by Tables D1 through D5 and summarized in Tables 16 through 18 showed the example of criteria and rating values recommended by ACRP Report 54 were underachieved by a majority of the RFPs. The data show that four out of five of all RFPs containing weighted criteria averaged less than a 25% match for any one of the five criteria, and only that of aesthetics and design held a higher level of congruence at 42%.

Table 17

*Summary of Weighted Evaluation Scoring Totals by RFP*

RFP title	RFP alias	25% BM	25% FR	20% CS	15% AD	15% EQ	% other
ATL RFP F&B_FC-5191_2010	Atlanta1	20	20	20	—	25	15
ATL RFP_F&B_FC-7976_2015	Atlanta2	15	20	15	15	20	15
BHM RFP F&B_2011	Birmingham	5	20	15	15	25	20
BNA RFP_Sushi_032714	Nashville	20	20	15	20	20	5
BOI RFP_F&B_2014	Boise1	20	20	20	20	20	—
BOI RFP_NG&_Specialti_012214	Boise2	20	20	20	20	20	—
BOS WCEP_Terminal A_100411	Boston	20	25	—	28	17	10
DAL Love_RFP_F&B_021611	Dallas Love	26	23	12	—	24	15
DEN RFP_DF&Spc_042913	Denver	35	10	25	15	15	—
DFW RFP_NG-F&B_093013	DallasFW	20	20	20	20	20	—
DSM RFP_Kiosks_2015	Des Moines	40	20	—	—	20	20
EWR NG-Westfield_2009	Newark	15	25	10	25	25	—
FTL RFP_Baggage Cart_2015	Lauderdale	—	20	15	15	45	5
HOU RFP530342_Pkg 1	Houston1	25	10	25	15	15	10
HOU_RFP530343_RetPk2(1)_2014	Houston2	25	10	25	15	15	10
IAH RFP_Specialty Coffee_100114	Bush	25	10	25	15	15	10
JAX RFP13-34-43101_F&B080913	Jacksonville	35	30	—	10	15	10
LAX RFP_NGS_091609	LAX	30	25	20	15	10	—
MDW RFP Spec, NG, Coffee_2010	Midway	30	15	15	15	15	10
MIA RFP 04-09 (1)	MIA1	—	33	20	20	20	7
MIA RFP NTerm_F&B Spec_2011	MIA2	—	25	23	23	30	—
MKE RFP 6894_Spec. Ret_060514	Milwaukee	25	20	25	—	30	—
MSP RFP_MultiConcessions_2015	Minneapolis	17	25	17	17	17	7
ORD RFP_F&B_Ret_020309	O'Hare	25	25	15	15	20	—
PHX RFP T4_F&B_2010	Phoenix1	25	25	20	20	10	—
PHX RFP T4_NG & Spec._070115	Phoenix2	30	15	10	15	20	10
SAT RFP_Vending_042314	San Antonio	—	30	40	—	30	—
SFO RFP BA E_News_2013	SanFran1	25	15	20	25	15	—
SFO RFP T3 MktPlace_2015	SanFran2	40	10	15	25	10	—
SMF RFP_Spec. Retail_041714	Sacramento	30	30	20	—	20	—
SNA_RFP Parking_012914	John Wayne	—	20	30	—	50	—
TPA RFP_R&DF14-534041091614	Tampa	35	20	25	10	10	—

*Note.* Table 17 shows the spread of percentage values assigned to the benchmark evaluation criteria of 32 RFPs obtained from 26 of the US Primary Airports. AD = Aesthetics and Design; BM = Brand Merchandising; CS = Customer Service; EQ = Experience and Qualifications; FR = Financial Return and Commitment. Shaded rows denote 23 weighted RFPs from airports that are operated by government agencies and unshaded rows denote nine weighted RFPs from airports operated by independent authorities.



Table 18

*Summary of Weighted Evaluation Scoring Totals by Airport Governance*

RFP alias	Government agency						Independent authority					
	25% BM	25 % FR	20% CS	15% AD	15% EQ	% other	25% BM	25% FR	20% CS	15% AD	15% EQ	% other
Atlanta1	20	20	20	—	25	15	—	—	—	—	—	—
Atlanta2	15	20	15	15	20	15	—	—	—	—	—	—
Birmingham	—	—	—	—	—	—	5	20	15	15	25	20
Nashville	—	—	—	—	—	—	20	20	15	20	20	5
Boise1	20	20	20	20	20	—	—	—	—	—	—	—
Boise2	20	20	20	20	20	—	—	—	—	—	—	—
Boston	—	—	—	—	—	—	20	25	—	28	17	10
Dallas Love	26	23	12	—	24	15	—	—	—	—	—	—
Denver	35	10	25	15	15	—	—	—	—	—	—	—
DallasFW	—	—	—	—	—	—	20	20	20	20	20	—
Des Moines	—	—	—	—	—	—	40	20	—	—	20	20
Newark	—	—	—	—	—	—	15	25	10	25	25	—
Lauderdale	—	20	15	15	45	5	—	—	—	—	—	—
Houston1	25	10	25	15	15	10	—	—	—	—	—	—
Houston2	25	10	25	15	15	10	—	—	—	—	—	—
Bush	25	10	25	15	15	10	—	—	—	—	—	—
Jacksonville	—	—	—	—	—	—	35	30	—	10	15	10
LAX	30	25	20	15	10	—	—	—	—	—	—	—
Midway	30	15	15	15	15	10	—	—	—	—	—	—
MIA1	—	33	20	20	20	7	—	—	—	—	—	—
MIA2	—	25	23	23	30	—	—	—	—	—	—	—
Milwaukee	25	20	25	—	30	—	—	—	—	—	—	—
Minneapolis	—	—	—	—	—	—	17	25	17	17	17	7
2'Hare	25	25	15	15	20	—	—	—	—	—	—	—
Phoenix1	25	25	20	20	10	—	—	—	—	—	—	—
Phoenix2	30	15	10	15	20	10	—	—	—	—	—	—
San Antonio	—	30	40	—	30	—	—	—	—	—	—	—
SanFran1	25	15	20	25	15	—	—	—	—	—	—	—
SanFran2	40	10	15	25	10	—	—	—	—	—	—	—
Sacramento	30	30	20	—	20	—	—	—	—	—	—	—
John Wayne	—	20	30	—	50	—	—	—	—	—	—	—
Tampa	—	—	—	—	—	—	35	20	25	10	10	—
Totals	471	451	475	303	494	107	207	205	102	145	169	72
Average all	15	14	15	9	15	3	6	6	3	5	5	2
Ave. wtd.	26	20	21	18	21	11	23	23	17	18	19	12

*Note.* Table 18 shows the spread of percentage values assigned to the benchmark evaluation criteria of 32 RFPs obtained from 26 of the US Primary Airports. AD = Aesthetics and Design; BM = Brand Merchandising; CS = Customer Service; EQ = Experience and Qualifications; FR = Financial Return and Commitment. The data are designated for 23 weighted RFPs from airports that are operated by government agencies and nine weighted RFPs from airports operated by independent authorities.

### **Socioeconomic Influences**

In determining usable data from which to infer and interpret meanings and fit within a range of socioeconomic theories, QDA provided the ability to make numerous replications using keyword and phrase queries in my search for factor attributes and theory associations (see Table 19). The social and economic theories defined by Table 12 and the assumptive and metonymical guideposts depicted in Table 15 were used to identify and code the 939 matches of theoretical attachments depicted by Table 20, which shows the frequencies of socioeconomic theory intersects by airport governance type and hub size. The data stemming from the documents were innately driven by the interpretive factors of attitudes, beliefs, and values that are complemented by the transformative nature of the research orientation supported by the literature review and gap discoveries. Interpretive coding was used to search for evidence of socioeconomic influence from airport governance system attachments to the twenty-five economic and social theory associations of coded and hub sizes subsumed from ACRP Report 54 and the sample RFPs.

Table 19

*Theoretical Attribution Attachment Geneses*

Theoretical attributions	Moral/ethical (clarity)	Power (domination)	Social equity (fairness)	Social justice (indiscrimination)	Sustainability (environment)
Geneses	Teper et al. (2015), Wright (2012)	Anderson (2015), Birkland and Warnement (2013)	Frederickson (in Shu & Mastracci, 2014), Sandal (2012),	Rawls (1971)	Brunsson (2015)
Agency (contracting): Bosse and Phillips (2016),	Ethics and morality are determinants of Principal and Agent relations.	Powerful organizations influence and control contractual relationships.	Fairness is a function of the contractual relationship between parties.	Justice as indiscriminate opportunism is a function of contractual relationships.	Environmental sustenance is influenced by adherence to contractual obligations.
Competition (commerce): Salvadori & Signorino, (2013)	Ethics and long term, ethical and moral decisions determine market superiority.	Powerful organizations influence and control contractual relationships.	Fairness is a function of the control, size, and share of the market.	Justice as indiscriminate opportunism is a function of market control, size, and share.	Environmental sustenance is influenced by the physical execution of commercial activities within the airport.
Rational Choice (self-interest): Zhong (2011), Martin and Parmar (2012)	In the long term, ethical and moral decisions serve the best interests of company owners and employees.	Powerful organizations influence and control contractual relationships.	Fairness is a function of the balance between self-interest and mutual interests.	Justice as indiscriminate opportunism is a function of the control, size, and share of the market.	Decision choices have great influence over environmental issues.
Stakeholder (third party benefaction): Turner (2014), Zattoni (2011)	In the long term, ethical and moral decisions serve the best interests of all stakeholders.	Powerful organizations influence and control contractual relationships.	Fairness is a function of the between-parties' consideration of third party interests.	Justice as indiscriminate opportunism is a function of the between-party consideration of third party interests.	Public pressure over environmental concerns greatly influences the establishment of socially beneficial policies and programs.
Supply & Demand (quantified activity): Betz (2014), Sabatelli (2016),	Business plans serve stakeholders who are best cultivated and maintained through ethical and moral behavior.	Powerful organizations influence and control contractual relationships.	Fairness is a function of the relationship between parties.	Justice as indiscriminate opportunism is a function of the relationship between parties.	Aggregation of all supply and demand factors creates the reason why public pressure for environmental sustenance exists.

*Note.* Each of the five economic theory attributes used in this research study is listed in column one along with the principle research basis as applied to and cross-referenced with a corresponding social theory attribute and principle research foundation.

Table 20

*Socioeconomic Theory Attachment Coding by Governance and Hub Size*

Theoretical attachment	GA	IA	Total	Hub small	Hub med	Hub large
• Agency as moral-ethical (clarity)	66	53	119	17	47	55
• Agency as power (dominance)	75	34	109	23	20	66
• Agency as social equity (fairness)	94	55	149	43	38	68
• Agency as social justice (indiscriminate)	79	60	139	33	48	58
• Agency as sustainability (environmental)	31	24	55	18	12	25
• Competition as moral-ethical (clarity)	13	8	21	2	4	15
• Competition as power (dominance)	19	3	22	7	8	7
• Competition as social equity (fairness)	11	8	19	4	8	7
• Competition as social justice (indiscriminate)	21	9	30	3	9	18
• Competition as sustainability (environmental)	2	1	3	1	2	0
• Rational choice as moral-ethical (clarity)	12	6	18	1	11	6
• Rational choice as power (dominance)	12	5	17	1	4	12
• Rational choice as social equity (fairness)	12	5	17	1	4	12
• Rational choice as social justice (indiscriminate)	5	4	9	3	2	4
• Rational choice as sustainability (environmental)	1	2	3	1	1	1
• Stakeholder as moral-ethical (clarity)	25	3	28	2	7	19
• Stakeholder as power (dominance)	46	13	59	3	10	46
• Stakeholder as social equity (clarity)	23	4	27	12	3	12
• Stakeholder as social justice (indiscriminate)	14	9	23	3	7	13
• Stakeholder as sustainability (environmental)	29	5	34	11	3	20
• Supply & demand as moral-ethical (clarity)	12	5	17	3	4	10
• Supply & demand as power (dominance)	14	7	21	4	6	11
• Supply & demand as social equity (fairness)	5	1	6	1	1	4
• Supply & demand as social justice (indiscriminate)	3	7	10	2	4	4
• Supply & demand as sustainability (environmental)	0	1	1	1	0	0
Totals	624	332	956	200	263	493

*Note.* GA = government agency; IA = independent authority. Each association by airport governance type and hub size depicted by Table 20 enumerates the number of coded reference occurrences.

Inferences drawn from the categorization of socioeconomic factors and cross-relationship influences reflected RFP expressions of business economics and finance. Economic value factor influences, therefore, are likely to extend through to the RFP evaluators whose decisions are influenced by the social value determinants. The social and economic value factor associations held by evaluation committee members intersect at the point where the evaluator thinks over how many or few (if any) points to assign to an evaluation criterion to rate and rank each proposer's response to the RFP. The intersection of socioeconomic value factors solidified the final reduction and bifurcation of the five economic and five social theory influencers examined by this research study into one part *rational choice* representing the outcome of applied decision theory, and one part *social justice* representing the results of applied theories of fairness and justice.

**Findings for socioeconomic attributions.** I considered the following guidelines from ACRP Report 54 for developing “ideal” RFP concessionaire selection tools most relevant to my analysis of underlying factor associations and socioeconomic intersects:

- Assessing customer satisfaction—a set of strategies that can be employed by both airport management and concessionaire management. Successful concession managers use a variety of techniques to measure customer satisfaction. Ongoing measurement allows for continuous improvement of the concession program.
- Depending on the measuring technique used, concession managers can identify issues related to customer service, hours of operation, pricing, product mix, and other matters important to passengers as well as areas needing improvement.

- Qualifications and attributes—desired characteristics of concessionaire contractual capability to perform that are important to the airport.
- Common goal guidelines—for some, a statement of goals for the concession program may seem like a declaration of the obvious. During concession program planning and implementation, however, it may become apparent that some concession program goals are in conflict with others.
- Evaluation and rating criteria—contain numeric value-assessment ratings of concessionaire capability to perform contractually and important to the airport.
- Streamlining the RFP process—the standard form of the RFP evolves over time as new policies are adopted, and experience is gained with its use. It is easy for RFPs to become cumbersome and difficult for proposers to understand. Revising the RFP to eliminate unnecessary requirements and redundancies can make the procurement process easier for all concerned. RFPs can be especially difficult for smaller companies that lack the resources of large national concessionaires.

Tables 21 through 25 illustrate how the social theories discussed in Chapter 2 were considered as influencing factors in the coding of data related to the five economic theory domains— agency, competition, rational choice, stakeholder, and supply and demand. The economic attributes described in Table 12 were developed genetically and classified (see Table 19) according to associations with the parenthetic definitions shown in column one of Tables 21 through 25. These five tables illustrate how the social attribute determinants, expressed as *cooperative, deleterious, or tentative attitude, belief,*

*and value*, are associated with the parenthetical definition shown in the third columnar heading of each table. The expected direction of influential exertion and flow is shown in column two. For example, where RFP terms and conditions reflected an agency relationship and I determined that text was clear and purposeful, and intent transparent as recommended by the benchmark, I would infer an agency relationship driven by ethical and moral values existed—hence the right-to-left directional flow.

The remaining economic attribute theories of *competition*, *rational choice*, *stakeholder*, and *supply and demand* theories were identified, addressed, and coded the way *agency* was examined (see Tables 21 through 25). Of the five major guidelines outlined in ACRP Report 54 for devising an “ideal” RFP, the evaluation and rating criteria are the capstone of the procurement and selection process wherein the remaining four guidelines and other select elements are addressed by the findings shown in Appendix D, Tables D1 through D5. For each of the five above guidelines, the benchmark document contained strategies for concessions operator alignment with airport management similar to the following or assessing customer satisfaction:

- Complaint Letters
- Customer Comment Cards
- Focus Groups
- Mystery Shoppers
- Passenger Surveys
- Sales Performance Monitoring
- Social Networking Sites

- Website Comments

Table 21

*Ethical and Moral Determinant Matrix*

Economic attribute	Direction of influence	Social attribution determinant Ethics/morality (clarity, transparency)
Agency (contracts)	←	Ethics and Morality are determinants of relationships between a Principal and an Agent.
Competition (commerce)	←	Ethics and long term, ethical and moral decisions will determine market superiority.
Rational choice (self-interest)	←	In the long term, ethical and moral decisions serve the best interests of the company's owners and employees.
Stakeholder (3rd party benefit)	←	In the long term, ethical and moral decisions serve the best interests of all stakeholders.
Supply/demand (quantified activity)	←	Business plans serve stakeholders who are best cultivated and maintained through ethical and moral behavior.

*Note.* The social theories of ethics and morality examined by this research study are uniquely attributed to each economic theory as shown in Table 21.

Table 22

*Power Determinant*

Economic attribute	Direction of influence	Social attribution determinant Power (dominion)
Agency (contracts)	↔	Powerful organizations yield great influence and ability to maintain and control reciprocal relationships.
Competition (commerce)	↔	Powerful organizations yield great influence and ability to maintain and control reciprocal relationships.
Rational choice (self-interest)	↔	Powerful organizations yield great influence and ability to maintain and control reciprocal relationships.
Stakeholder (3rd party benefit)	↔	Powerful organizations yield great influence and ability to maintain and control reciprocal relationships.
Supply/demand (quantified activity)	↔	Powerful organizations yield great influence and ability to maintain and control reciprocal relationships.

*Note.* The social theory of power examined by this research study is uniquely attributed to each economic theory as shown in Table 22.



Table 23

*Social Equity Determinant*

Economic attribute	Direction of influence	Social attribution determinant Equity (fairness)
Agency (contracts)	→	Fairness is a function of the agreement and relationship between contracting parties.
Competition (commerce)	→	Fairness is a function of the control, size, and share of the market.
Rational choice (self-interest)	→	Fairness is a function of the balance between self-interest and mutual interests.
Stakeholder (3rd party benefit)	→	Fairness is a function of the between-parties' consideration of third party shared interests.
Supply/demand (quantified activity)	→	Fairness is a function of the relationship between parties.

*Note.* The social theory of equity examined by this research study is uniquely attributed to each economic theory as shown in Table 23.

Table 24

*Social Justice Determinant*

Economic attribute	Direction of influence	Social attribution determinant Justice (indiscriminant opportunity)
Agency (contracts)	→	Justice as indiscriminate opportunism is a function of the agreement and relationship between parties.
Competition (commerce)	→	Justice as indiscriminate opportunism is a function of the control, size, and share of the market.
Rational choice (self-interest)	→	Justice as indiscriminate opportunism is a function of the balance between self-interest and mutual interests.
Stakeholder (3rd party benefit)	→	Justice as indiscriminate opportunism is a function of the between-party consideration of third party interests.
Supply/demand (quantified activity)	→	Justice as indiscriminate opportunism is a function of the relationship between parties.

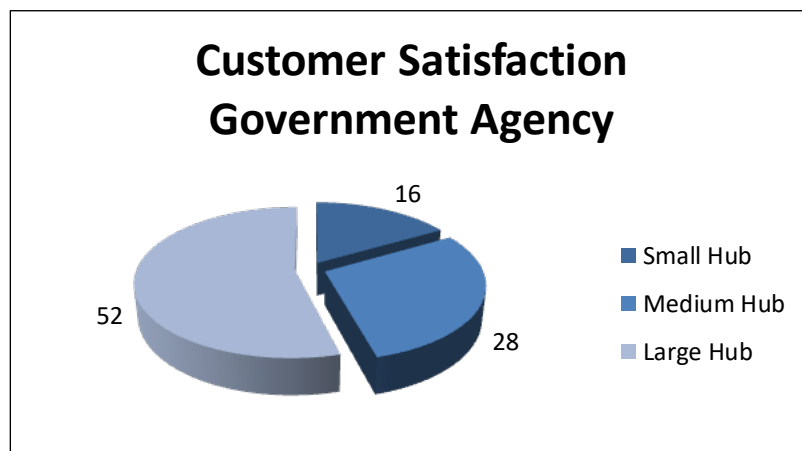
*Note.* The social theory of justice examined by this research study is uniquely attributed to each economic theory as shown in Table 24.

Table 25

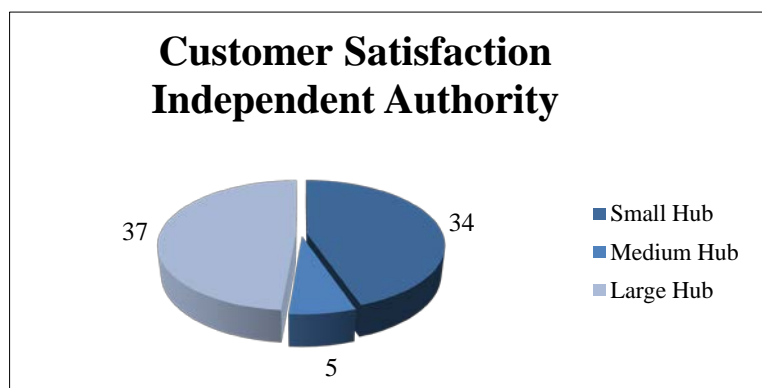
*Sustainability Determinant*

Economic attribute	Direction of influence	Social attribution determinant Sustainability (environment)
Agency (contracts)	→	Environmental sustenance is influenced by the adherence to contractual obligations between the contracting entities.
Competition (commerce)	→	Environmental sustenance is influenced by the physical execution of commercial activities within the airport.
Rational choice (self-interest)	→	Decision choices have great influence over environmental issues.
Stakeholder (3rd party benefit)	→	Public pressure over environmental concerns greatly influences the establishment of socially beneficial policies and programs that sustain the environment.
Supply/demand (quantified activity)	→	Aggregation of all supply and demand factors creates the reason why public pressure for environmental sustenance exists.

*Note.* The social theory of sustainability examined by this research study is uniquely attributed to each economic theory as shown in Table 25.



*Figure 6.* Customer satisfaction, government agency. Number of coded references to benchmarked customer satisfaction recommendations by RFPs for concessions at airport hubs operated by government agencies.



*Figure 7.* Customer satisfaction, independent authority. Number of coded references to benchmarked customer satisfaction recommendations by RFPs for concessions at airport hubs operated by independent authorities.

I identified 172 references in Table 26 classified by governance type and airport hub size, as illustrated in Figures 6 and 7. The findings show that 96 out of 172 references (56%) were recorded for government agencies and 76 (45%) for independent authorities. Out of 89 large hub references (52% of all recorded references), government agencies show 52 (58% of large hub total) compared to large hub independent authorities with 37 (42% of large hub total). Government agency operated airports show 28 references (85% of 33 medium hubs total and 19% of all recorded references) compared to medium hub independent authorities with five (15% of medium hub total). Government agency operated airports show 16 references (32% of 50 small hubs total and 19% of all recorded references) compared to small hub independent authorities with 34 (68% of medium hub total). The data gathered using similar coding procedures for the remaining four qualifications elements (i.e., qualifications and attributes, common goal guidelines, evaluation and rating criteria, and streamlining the RFP process) were reordered and processed from the initial Phase 1 open coding stage through the final reductions.

Table 26

*Assessment of Customer Satisfaction by Governance and Hub Size*

Anony code	Governance		Total references	Hub size		
	GA	IA		Small	Medium	Large
0039	5	—	5	—	—	5
0038	2	—	2	—	—	2
0037	—	9	9	9	—	—
0036	—	4	4	—	4	—
0035	7	—	7	7	—	—
0034	7	—	7	7	—	—
0033	—	2	2	—	—	2
0032	—	3	3	3	—	—
0031	2	—	2	—	—	2
0030	6	—	6	—	6	—
0029	—	1	1	—	—	1
0028	4	—	4	—	—	4
0027	—	4	4	—	—	4
0026	—	1	1	1	—	—
0025	—	4	4	—	—	4
0024	—	1	1	—	—	1
0023	4	—	4	—	—	4
0022	6	—	6	—	6	—
0021	4	—	4	—	4	—
0020	4	—	4	—	—	4
0010	—	1	1	—	1	—
0040	—	5	5	—	—	5
0041	1	—	1	—	—	1
0042	—	3	3	—	—	3
0043	2	—	2	—	—	2
0044	3	—	3	—	—	3
0045	4	—	4	—	—	4
0046	2	—	2	—	2	—
0047	—	5	5	—	—	5
0048	2	—	2	—	—	2
0049	9	—	9	—	—	9
0050	8	—	8	—	—	8
0051	2	—	2	2	—	—
0052	—	1	1	—	—	1
0053	2	—	2	—	2	—
0054	—	16	16	16	—	—
0055	—	5	5	5	—	—
0056	1	—	1	—	—	1
0057	1	—	1	—	—	1
0058	5	—	5	—	5	—
0059	3	—	3	—	3	—
0060	—	11	11	—	—	11
	96	76	172	50	33	89

*Note.* GA = government agency; IA = independent authority. Each association by airport governance type and hub size depicted by Table 26 enumerates the number of coded reference occurrences.

Issues of confidentiality are researcher self-inflicted in how several of the following tables are displayed *categorically* without reference to any single airport. For this reason, I have used the word “anonymous” and its abbreviated form to represent each RFP. Table 27 shows a summary of the number of coded references distributed by airport governance type and hub size for the following guidelines recommended in ACRP Report 54 as “key attributes” (Airport Cooperative Research Program et al., 2011, p. 17):

- Aesthetics
- Capacity
- Customer Service
- Revenue Production
- Sense of Place
- Value
- Variety
- WOW Factor

Apparent in all of the RFPs examined is that concessionaire ingenuity and retailing intelligence are the default qualities, even though these eight key attributes may carry different names. Table 27 shows 141 references of which 41, or 29%, are allocated to airports operated by government agencies and 100, or 71%, assigned to independent airports, indicating a greater attention to the recommended key attributes by a margin of nearly 2.5 to one for the independent authority operations. The 141 references were divided between the airport hub sizes as 40 small, seven medium, and 94 large.

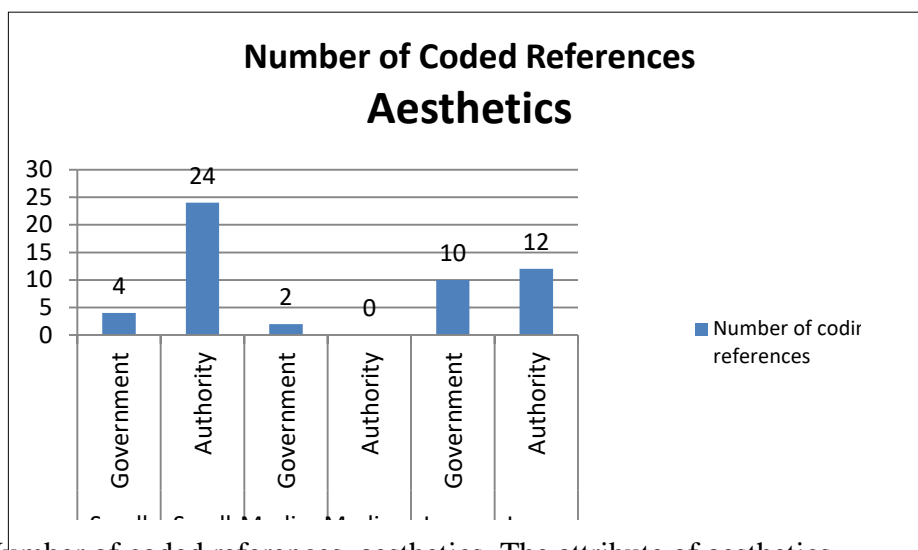
Table 27

*Qualification Key Attributes and Comparisons by Governance and Hub Size*

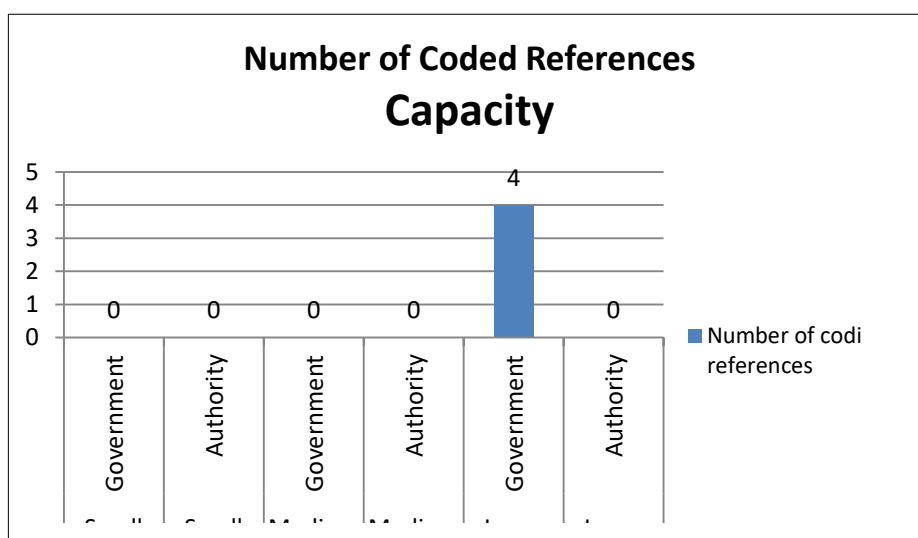
Anony code	Governance		Total references	Hub size		
	GA	IA		Small	Medium	Large
0039	3	—	3	—	—	3
0038	2	—	2	—	—	2
0037	—	1	1	1	—	—
0036	—	—	—	—	—	—
0035	1	—	1	1	—	—
0034	1	—	1	1	—	—
0033	—	1	1	—	—	1
0032	—	5	5	5	—	—
0031	—	—	—	—	—	—
0030	1	—	1	—	1	—
0029	—	2	2	—	—	2
0028	3	—	3	—	—	3
0027	—	6	6	—	—	6
0026	—	1	1	1	—	—
0025	—	16	16	—	—	16
0024	—	1	1	—	—	1
0023	2	—	2	—	—	2
0022	1	—	1	—	1	—
0021	2	—	2	—	2	—
0020	2	—	2	—	—	2
0010	—	—	—	—	—	—
0040	—	15	15	—	—	15
0041	2	—	2	—	—	2
0042	—	1	1	—	—	1
0043	1	—	1	—	—	1
0044	3	—	3	—	—	3
0045	—	—	—	—	—	—
0046	2	—	2	—	2	—
0047	—	3	3	—	—	3
0048	1	—	1	—	—	1
0049	4	—	4	—	—	4
0050	5	—	5	—	—	5
0051	2	—	2	2	—	—
0052	—	—	—	—	—	—
0053	—	—	—	—	—	—
0054	—	27	27	27	—	—
0055	—	2	2	2	—	—
0056	1	—	1	—	—	1
0057	1	—	1	—	—	1
0058	1	—	1	—	1	—
0059	—	—	—	—	—	—
0060	—	19	19	—	—	19
	41	100	141	40	7	94

*Note.* GA = government agency; IA = independent authority. Each association by airport governance type and hub size depicted by Table 27 enumerates the number of coded reference occurrences.

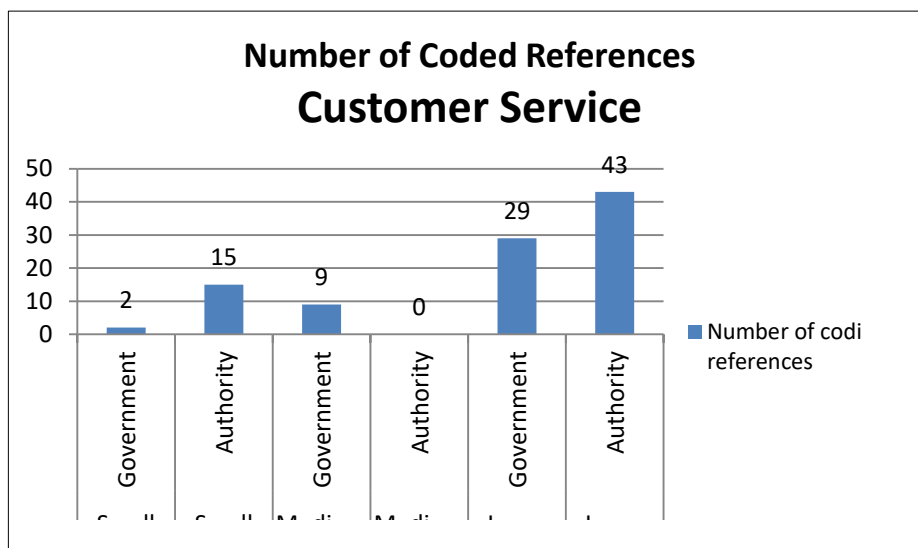
Figures 8 through 15 graphically depict the number of coded references made for each of the key attributes according to airport governance and hub size.



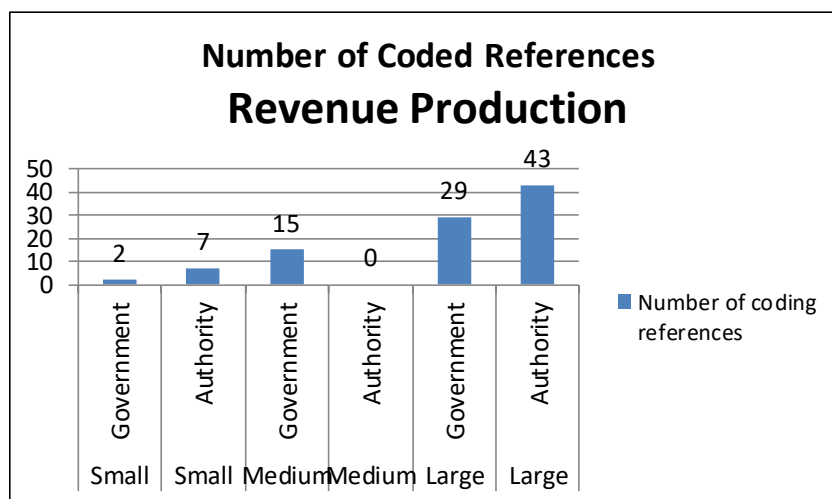
*Figure 8.* Number of coded references, aesthetics. The attribute of aesthetics characterized by contemporary design, visually attractive, high-quality durable materials, and inviting to potential customers that complement the terminal building and surroundings (ACRP et al., 2011).



*Figure 9.* Number of coded references, capacity. The attribute of capacity is “the ability to meet customer demand during seasonal and daily peaks affects customer service and revenues that must be taken into account in planning the concession program” (ACRP et al., 2011 p. 17).



*Figure 10.* Number of coded references, customer service. The attribute of customer service where “most purchases are discretionary. Passengers do not travel to the airport to shop or eat. Providing helpful customer service is essential to maximizing sales and encouraging multiple purchases” (ACRP et al., 2011 p. 17).



*Figure 11.* Number of coded references, revenue production. The attribute of revenue production “is a principal objective of any concession program and successful concession programs demonstrate that revenue production is not an end in itself; rather, it is the result of successfully incorporating multiple attributes into the concession program and providing passengers with an array of concession choices that meets their needs” (ACRP et al., 2011, p. 17).



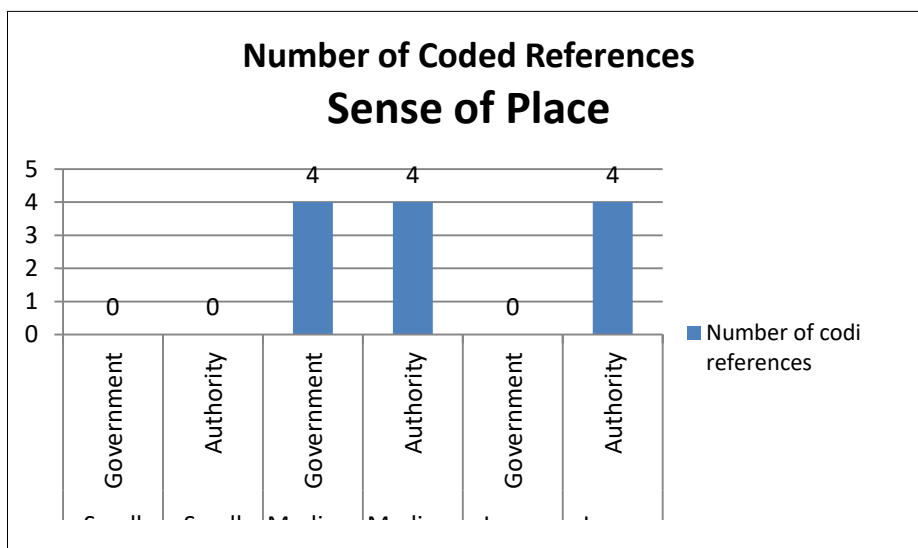


Figure 12. Number of coded references, sense of place. The attribute of a sense of place where “successful concession programs often reflect the unique attributes of their city and region. Concession programs benefit by offering local favorites. Bringing in successful local concepts and incorporating local materials and design aesthetics can also help create a sense of place that differentiates each airport” (ACRP et al., 2011,p. 17).

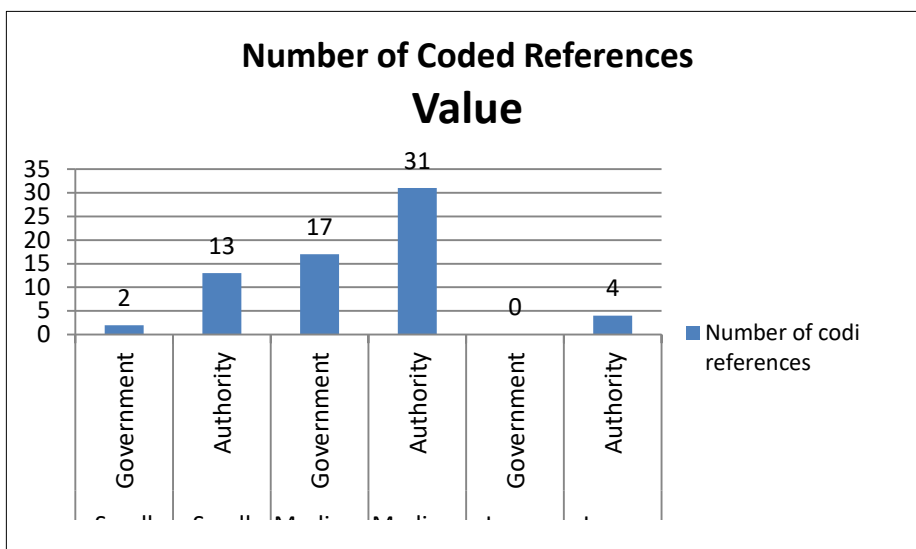


Figure 13. Number of coded references, value. The attribute of value where “historically, value for money has not always been a widely held attribute of airport concession programs, with some airport operators allowing concessionaires to charge customers what the market will bear. Airport operators have adopted a variety of pricing policies, ranging from true “street pricing” to no pricing policy at all. While pricing is important, it is not the only component of creating value for customers” (ACRP et al., 2011, p. 17).

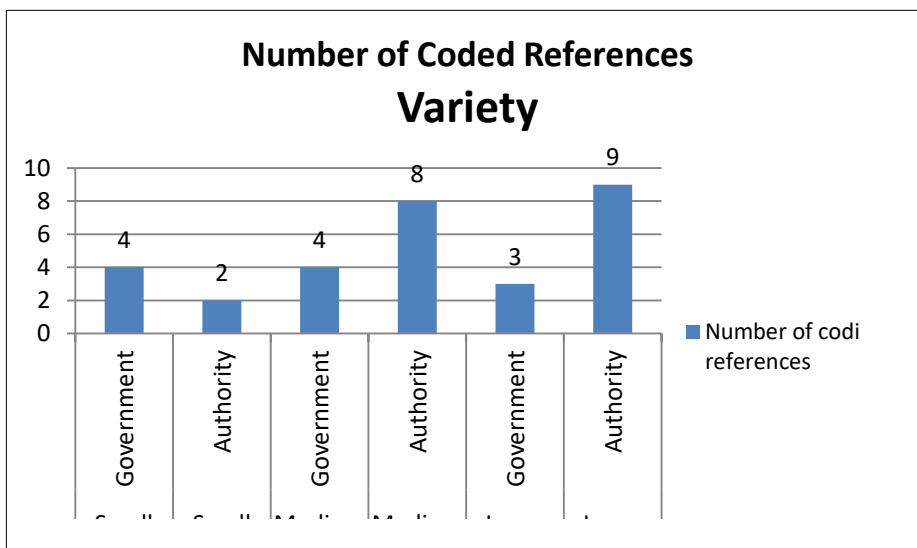


Figure 14. Number of coded references, variety. The attribute of variety where “passengers want choices in food and beverage, retail, and services. The broader the range of options, the more likely it is that the customer will find something he or she wants and the more likely it is that the concessionaire will achieve higher sales and that the airport operator will have higher revenues” (ACRP et al., 2011 p. 17).

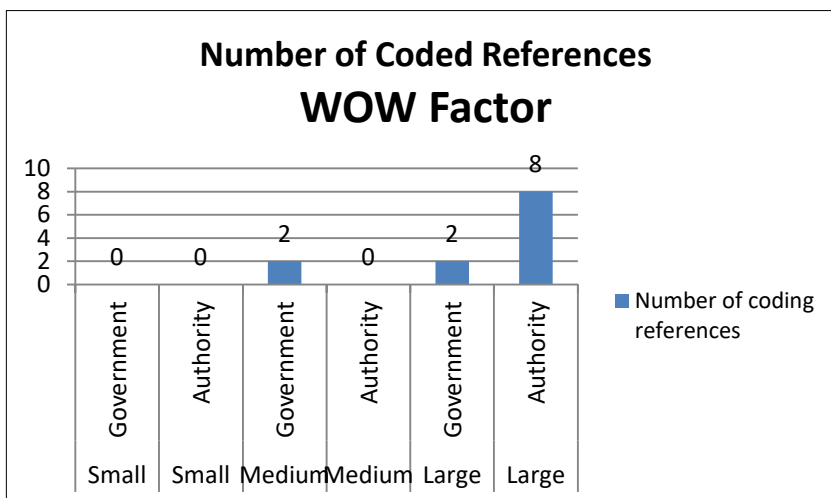


Figure 15. Number of coded references, WOW factor. The attribute of “WOW factor” where “passengers spend considerable time in airports and concessions provide choices on how to use that time. Concessions that are unique, visually interesting, and new add to the overall passenger experience” (ACRP et al., 2011, p. 17).

**Findings for interpretive factors.** Appendix F summarizes and details the results of the content analyses of RFP documents that I compared against ACRP Report 54 for inferences and interpretation of *attitude*, *belief*, and *value* sentiments (see Tables F1 through F7). Data exhibiting collaborative, *deleterious*, or *tenuous* sentiment in RFP approaches to the procurement and evaluation process were coded and classified accordingly. The data presented in Appendix F introduce the RFP documents anonymously with code numbers assigned. To preserve the integrity of the emic from the theoretical rubric to which my study was hinged (see Table 12), it was necessary to define and maintain a precise definition and application of meaning for each of the three sentiment factors.

Saldaña (2013) described attitudes as "the way we think and feel about ourselves, another person, thing, or idea" (Saldaña, 2013, p. 111), which are also defined as "disposition(s)...primarily grounded in affect and emotion... expressive of opinions rather than belief" (Merriam-Webster Online, n.d.). According to Saldaña, beliefs are "part of a system that includes our values and attitudes, plus personal knowledge, experiences, opinions, prejudices, morals, and other interpretive perceptions of the social world" (Saldaña, 2013, p. 111). Merriam-Webster defined beliefs as "statements or a state of affairs to which one is willing to act" (Merriam-Webster Online, n.d.). Values, according to Saldaña, is "the importance we attribute to oneself, another person, thing, or idea" (Saldaña, 2013, p. 111), which the dictionary defines a value as "a statement, clause, or provision that addresses commercial efficacy and viability (Merriam-Webster Online, n.d.).

Document references to sentiments of *attitudes*, *beliefs*, and *values* (as defined) are illustrated by Appendix F, Tables F1 through F9, which shows how the results of 300 recorded inferences of sentiments I gleaned from an aggregation of 42 RFPs and 35 airports were distributed. References to sentiments of *attitudes* are illustrated by Tables F1, F4, and F7. By constant comparison and analysis of expanded content, I was able to infer and allocate 121 sentiments to airports operated by government agencies and 179 to airports operated by independent authorities. The 300 records included 120 *collaborative/cooperative* expressions of sentiments and 180 *imprecise*. From the 300 records, I assigned 79 to expressions of *attitudes*, 186 to *beliefs*, and 35 to *values*.

Table F1 shows that 26 of the 79 expressions coded for attitudes were considered *collaborative/cooperative*, 26 deleterious, and 27 tenuous (deleterious and tenuous combined later through reduction as 53 *imprecise*). The 79 sentiments of attitude were divided into 32 references and allocated to 14 RFPs that were issued by 10 government agency operated airports and 47 references assigned to 11 RFPs issued by nine airports operated by independent authorities. Table F1 data also show that hub size references to *attitudes* numbered 31 small, 13 medium, and 35 large size hubs.

Table F4 data show the 32 references to *attitudes* attributed to airports operated as government agencies were coded as 15 collaborative, eight deleterious, and nine tenuous. References to *attitudes* attributed to airports operated as independent authorities resulted in 11 collaborative, 18 deleterious, and 18 tenuous ((deleterious and tenuous combined later through reduction as 36 *imprecise attitudes*). Table F7 shows 31 references to *attitudes* attributed to small size hub airports were coded as four collaborative, 14 deleterious, and 13 tenuous. There are 13 references for medium size airports of which

eight are coded collaborative, four deleterious, and one tenuous. Large hub airport references to attitudes number 35 that are coded as 14 collaborative, eight deleterious and 13 tenuous.

References to sentiments of *beliefs* are illustrated by Tables F2, F5, and F8. Table F2 shows 186 references coded for sentiments to *beliefs* from which I inferred 82 collaborative, nine deleterious, and 95 tenuous expressions (deleterious and tenuous combined later through reduction as 104 *imprecise beliefs*). The 186 sentiments of beliefs were divided into 66 references allocated to 16 RFPs issued by 12 government agency operated airports and 120 references assigned to 14 RFPs issued by 14 airports operated by independent authorities. Data from Table F2 also show the distribution of references to *beliefs* numbered 104 small size hubs, 16 medium size hubs, and 66 large size hubs. Table F5 data show 66 references to *beliefs* attributed to 12 government-agency operated airports coded as 55 collaborative, four deleterious, and seven tenuous. Airports operated by independent authorities were coded with 120 references to *beliefs* with 27 collaborative, five deleterious, and 88 tenuous sentiments. Table F8 shows 104 references for small size hub airports of which 20 references are collaborative; five are deleterious, and 79 are tenuous. The results also show there are 16 references for medium size airports, of which 11 are coded collaborative, none coded as deleterious, and five are coded tenuous. Large hub airport references to *beliefs* number 66 of which 51 are coded as collaborative, four deleterious, and 11 are coded as tenuous.

References to sentiments of *values* are illustrated by Tables F3, F6, and F9. Data in Table F3 showed 35 references to *values* from 14 RFPs issued by 13 airports from which I inferred 12 collaborative, seven deleterious, and 16 tenuous expressions. Data

also showed that 23 of these references came from eight RFPs issued by seven government agency operated airports, and 12 references from six RFPs issued by six independent authority operated airports. The 35 *values* references were distributed by airport size as seven small size hubs, six medium size hubs, and 22 large size hubs. Table F6 data show 23 references to *values* coded as seven collaborative, five deleterious, and 11 tenuous attributed to airports operated as government agencies and 12 references to *values* from airports operated as independent authorities coded five collaborative, two deleterious, and five tenuous coded references. The third and final matrix presented for findings of *values* is Table F9 that shows seven references for small size hub airports of which four references are collaborative, one is deleterious, and two are tenuous. The results also show there are six references for medium size airports, of which one is coded collaborative, one coded as deleterious, and four are coded tenuous. Large hub airport references to *values* number 22 of which seven are coded as collaborative, five deleterious, and 10 are coded as tenuous.

The overall findings for inferences drawn from coded references to concessionaire qualification and evaluation requirements set forth in the RFPs indicated that researcher defined attitudes (based on Saldaña, 2013) exhibited by government agency operated airports appeared to be more collaborative (15 of 26 coded references, or 58%) than those of independent authority airports (11 of 26 coded references, or 42%). The fact that four of the 26 collaborative references were attributed to small hub government agency airports (15%), eight to medium (31%), and 14 to large (54%) indicated that more collaborative oriented attitudes flow from data originating from large government agency

operated hub size airports than from small or medium hubs regardless of governance type..

Findings for inferences drawn from coded references to researcher defined beliefs exhibited by government agency operated airports appear to be more collaborative (55 of 82 coded references, or 67%) than those of independent authority airports (27 of 82 coded references, or 33%). Twenty of the 82 collaborative references from RFPs are attributed to small hub government agency airports (24%), 11 to medium (13%), and 51 to large (62%) which indicate more collaborative oriented beliefs flow from data originating from large government agency operated hub size airports than small or medium hub independent authority operated airports.

Lastly, findings for inferences drawn from coded references to researcher defined values exhibited by government agency operated airports appear to be more collaborative (seven of 12 coded references, or 58%) than those of independent authority airports (5 of 12 coded references, or 42%). Four of the 12 collaborative references from RFPs are attributed to small-hub government agency airports (33%), one to medium (8%), and seven to large (58%) which indicate more collaborative oriented values flow from data originating from large government agency operated hub size airports than small or medium hub independent authority operated airports.

Based on the 42 RFPs examined, compared, and analyzed, there is sufficient evidence in the findings to suggest that government agency operated airports exhibit greater care and concern to include a substantially larger number of customer satisfaction guidelines (see Table 26). Additionally, as it relates to congruencies between RFP contents and the benchmark document content (ACRP Report 54), Appendix F, Tables

F4, F5, and F6 show 120 government-agency airport congruencies collaborative in 77 instances (64%) whereas independent authority congruencies were coded 43 times (36%).

**Findings for verbosity.** The following excerpt from ACRP Report 54 sets the tone for a condition or provision found in the RFPs: “Limit the number of pages to increase focus on what is important and reduce the workload of the evaluation panel, which can be significant on major procurements” (*Streamlining the RFP*, in Airport Cooperative Research Program et al., 2011, p. 168). I described this and similar conditions or provisions found in my analysis of the documents generically based on my industry experience as *verbose*. For each occurrence where part or all of a demographic or contractual condition or provision was characterized by excessiveness about the subject, it was coded, classified, and categorized as a *verbosity*. Table 28 illustrates a verbosity of conditions shown by RFP structure about the economic and financial opportunity presented.

Table 28

*Verbosities of Single Location RFP Offerings*

Anonymous code	Pages	Words	Chars. + spaces	Loc.	Total sq. ft.	2014 ENPS
0036	293	74,336	496,483	1	441	5,100,000
0056	134	46,552	307,091	1	493	21,700,000
0042	115	43,491	293,576	1	1,228	16,900,000
0051	80	25,610	167,567	1	1,197	1,200,000
0057	52	12,461	81,558	1	5,200	21,700,000

*Note.* Chars. signifies number of typed characters and spaces; *sq. ft.* signifies square footage of location space; *ENPS* signifies the number of enplaned passengers.



Table 29

*Verbosities of RFP Offerings With More than 10,000 Total Square Feet*

Anonymous code	Pages	Words	Chars. + spaces	Loc.	Total sq. ft.	2014 ENPS
0049	157	47,474	317,615	36	76,310	19,500,000
0047	53	17,332	114,596	50	75,691	16,300,000
0050	275	70,744	454,841	38	37,102	19,500,000
0060	43	59,364	388,136	33	35,025	8,300,000
0040	58	16,317	108,984	43	30,264	25,000,000
0030	42	14,657	101,105	22	26,687	4,000,000
0052	97	29,068	190,548	22	26,495	8,900,000
0039	160	35,530	242,824	25	25,749	45,000,000
0054	120	35,938	245,867	10	24,298	1,700,000
0044	50	15,926	107,908	26	23,793	19,400,000
0041	26	7,354	48,786	22	20,956	32,400,000
0043	35	11,610	77,203	21	19,742	9,900,000
0032	63	13,396	90,956	15	18,263	1,400,000
0048	30	9,820	66,012	16	16,663	32,300,000
0037	270	55,895	382,263	14	15,059	1,300,000
0035	211	52,268	344,228	9	11,008	1,300,000
0055	114	35,237	243,036	6	10,208	1,700,000

*Note.* *Chars.* signifies number of typed characters and spaces; *sq. ft.* signifies square footage of location space; *ENPS* signifies the number of enplaned passengers.

For example, RFP 0036 required nearly six times the number of pages, words, and characters to produce a document soliciting prospective tenants for a single location with 92% less space and 77% less passenger traffic than RFP 0057 consisting of 52 pages, 12,461 words, and 81,558 characters. Large offering RFPs soliciting prospective tenants for multiple locations totaling at least 10,000 square feet in space illustrating verbosities are shown in Table 29. RFP 0047 shows the two highest numbers of locations solicited at 50 totaling 75,694 square feet and RFP 0055 with 6 locations and 10,208 total square feet in size. In comparison, RFP 0047 consisted of 53 pages, 17,332 words, and RFP0055 consisted of 114 pages and 35,237 words.

For comparison with ACRP Report 54, issues of verbosity, as defined herein, are measured only by document page-length and number of words because the relevant

benchmark data are limited to the number of pages (166) and words (68,251). A close examination of *verboisities* finds government agency operated airport RFPs and independent authority airport RFPs almost equal, on average, in a number of pages (GA = n100, IA = n73) and words per thousand at 27,516 and 27,521 respectively.

Findings for related factors. Results of coded references to the seven guidelines factors related to key attributes expressed in ACRP Report 54 as “Attributes of Successful Concession Programs” (Airport Cooperative Research Program et al., 2011, pp. 16-17) are shown in Table 31 and Appendix G, Tables G1 through G7. Data presented in Table 30 help explain a discrete set of related factors coded from RFPs and distributed by attribute found in various sections of ACRP Report 54’s guidelines. I attached importance in my analysis of document content intuitively and coded accordingly wherever references to competition, ethics, and lobbying, length of the lease term, “living-wage” as minimum pay, losing bidder protest guidelines, significance of a “right of first refusal” contractual clause, and street pricing restrictive language were found because of personal knowledge and experience. The references for each of the attributes related to key attributes listed in ACRP Report 54 and shown in Tables G1 through G7 are aggregated in the last column of Table 31.

Table 30

*Distribution of Researcher's Attributes Related to ACRP Report 54*

Table	Attribute	Researcher's related qualifying language descriptors	References
G1	Competition	Related to economic theories indicating how competition will be enhanced or restricted.	13
G2	Ethics & lobbying	Related to social theories of morality and ethics showing degree of concern for inappropriate process influences considered or perceived to be unethical.	34
G3	Lease term	Related to economic theories of competition demonstrating opportunities for improving returns on investment (ROI) through depreciation and amortization of capital expenditures.	32
G4	Living wage	Related to social theories of fairness and justice containing requirements affecting a concessionaire's proposed wage rates.	8
G5	Protest guidelines	Related to socioeconomic theories in views expressed regarding proposal protests.	19
G6	Right of first refusal	Related to socioeconomic theories where selection criteria favor incumbent concessions operators.	3
G7	Street pricing	Related to the economic theory of supply and demand Evidenced by airport control over concessionaire pricing policy.	14

Note. Table 30 shows the total number of references coded from the RFPs for each of the attributes the researcher viewed to be related to the attributes defined by ACRP Report 54 and defines the qualitative basis for coding.

Table 31

*Coded References to Related Qualification Attributes*

Anony code	Competition	Ethics & lobbying	Lease term	Living wage	Protest guidelines	ROFR	Street pricing	Total references
0039	1	1	1	—	—	—	—	3
0038	—	1	1	—	—	—	—	2
0037	—	1	—	—	—	—	—	1
0036	—	1	—	—	—	—	—	1
0035	—	1	1	1	—	—	—	3
0034	—	1	1	—	—	—	—	2
0033	—	—	—	—	—	—	1	1
0032	1	—	3	—	—	—	—	4
0031	—	—	—	—	—	—	—	0
0030	—	3	—	—	—	2	1	6
0029	—	—	2	—	—	—	—	2
0028	—	—	—	1	—	—	1	2
0027	1	—	—	—	—	—	1	2
0026	1	—	—	—	—	—	—	1
0025	1	—	2	1	—	—	—	4
0024	—	—	—	—	—	—	1	1
0023	—	6	—	1	—	—	—	7
0022	1	1	1	—	—	—	—	3
0021	1	1	1	—	—	—	—	3
0020	1	—	1	—	—	—	—	2
0010	—	—	1	—	5	—	—	6
0040	—	—	1	—	—	—	1	2
0041	1	1	1	—	1	—	—	4
0042	1	—	1	—	—	—	—	2
0043	—	1	1	—	—	—	—	2
0044	—	1	1	—	1	—	1	4
0045	—	4	1	1	2	—	1	9
0046	—	2	1	—	—	—	—	3
0047	—	—	1	—	—	—	1	2
0048	—	1	1	—	—	—	—	2
0049	—	3	1	—	—	—	1	5
0050	—	4	1	1	4	—	1	11
0051	2	—	1	—	—	—	—	3
0052	1	—	1	—	—	—	2	4
0053	—	—	—	—	—	—	1	1
0054	—	—	1	—	—	1	—	2
0055	—	—	1	—	—	—	—	1
0056	—	—	—	1	1	—	—	2
0057	—	—	1	1	2	—	—	4
0058	—	—	—	—	—	—	—	0
0059	—	—	—	—	—	—	—	0
0060	—	—	1	—	3	—	—	4
	13	34	32	8	19	3	14	123

*Note.* Anony = anonymous coded reference to individual RFPs containing textual references to the seven related attributes. ROFR = right of first refusal.

The results indicate a greater occurrence of RFP content dealing with issues of ethics and lobbying (34 references) and number of term lease years (32 references), and an attribute least addressed was the right of first refusal (three references). The data presented in Appendix G show the RFP documents assigned anonymously with code numbers. Data in Table G1 show 13 references to *competition* of which seven came from six RFPs issued by five government agency operated airports, and six references from six RFPs issued by six independent authority operated airports. Data also show a distribution of references to competition numbering four from three small hubs, two from one medium hub, and seven from seven large size airport hubs.

Table G2 data show 34 references to *ethics and lobbying* of which 32 came from 16 RFPs issued by 11 government-agency operated airports, and two references from two RFPs issued by two independent authority operated airports. Data also show a distribution of references to *ethics and lobbying* numbering three from 2 small hubs, eight from two medium hubs, and 23 from seven large size airport hubs. Table G3 data show government agency operated airports and 16 references from 12 RFPs issued by 12 independent authority operated airports. Data also show a distribution of eight *lease term* references from five small size, four from three medium-sizes, and 20 from 15 large-size airport hubs. Table G4 data show eight references to *living wage* of which seven came from seven RFPs issued by six government-agency operated airports, and one reference from one RFP issued by a single independent authority operated airport. Data also show a distribution of references to *living wage* numbering one from one small hub, none from medium hubs, and seven from six large size airport hubs.

Table G5 data show 19 references to protest guidelines of which 11 came from six RFPs issued by five government-agency operated airports, and eight references from two RFPs issued by two independent authority operated airports. Table G6 data show only three coded references to an incumbent concessionaire's "right of first refusal" of which two came from a single RFP issued by one medium sized government agency operated airport, and one reference from an RFP issued by a small sized independent authority-operated airport. Table G7 data show 14 coded references to the "street pricing" expression of the economic theory of supply and demand, of which seven came from RFPs issued by seven government agency operated airports (two medium and five large size hubs), and seven from RFPs issued by six large size independent Authority-operated airports.

There are seven researcher assigned attributions depicted by Table 30 that are individually displayed in Appendix G, Tables G1 through G7. Table 31 provides a consolidated summary of 123 coded references in which there are 13 references to competition (10% of the total)—seven came from six RFPs from five government agency operated airports; with two references each to a small and medium hub, and three references to three large hub size airports. There was one RFP reference to each of six independent authority operated airports consisting of one reference each to two small hubs and four references each to four large hub size airports.

Findings for *ethics and lobbying* were coded 34 times, or 28% of the total 123 related references, of which 32 references (94% of the 34 references total) from 16 RFPs represent 11 government-agency operated airports with two references for one small hub, seven references for three medium hub, and 23 references for seven large hub airports.

There were two references (6% of 34 references total) to an equal number of independent authority operated airports with one each to a small and medium hub.

References found for *lease term* were coded 32 times or 26% of the total 123 related references of which 16 references (50% of 32 the total references) from an equal number of RFPs represented 11 government-agency operated airports; with five references assigned to two small hubs, one to a medium hub, and 10 to seven large hub size airports. Sixteen references from 11 independent authority operated airports consisted of five assigned to two small hubs, one to a medium hub, and 10 to eight large hub airports.

The findings for *living wage* were coded eight times (7% of the total 123 related references) of which seven references (88% of eight references total) came from seven RFPs issued by six government-agency operated airports; with one reference to a small hub and six derived from five large hubs. A single reference (13% of eight references total) was coded to an RFP from an independent authority operated large hub size airport.

References to *protest guidelines* were coded 19 times or 15% of the total 123 related references, of which 11 references (58% of the 19 references total) represented six RFPs from four large hub government-operated airports. Eight references to two RFPs from independent authority operated airports (42% of 19 references total) were coded with five references to a medium hub and three to a large hub size airport.

Findings for the *right of first refusal* (ROFR) were coded three times or 2% of the total 123 related references, of which two of the three references were assigned to a medium hub government agency operated airport RFP, and one coded reference to a small hub independent authority operated airport.

References to *street pricing* were coded 14 times or 12% of the total 123 related references, of which seven references (50% of the 14 references total) represented 13 RFPs from five government agency-operated airports, with two references to two medium hubs, and five to three large hub size airports. Seven references (50% of 14 references total) were coded from six large-hub independent authority operated airports.

### **Summary of analysis of socioeconomic influences.**

*Socioeconomic attributions.* The five major groups of guideline contributions offered by ACRP Report 54 for developing ideal RFPs (e.g., assessment of customer satisfaction, qualifications and attributes, common goal guidelines, evaluation and rating criteria, and streamlining the RFP process) were examined and compared for congruence against the sample of RFPs. For example, Table 26 displays various components of 172 expressed references to customer satisfaction in 42 airport RFPs distributed to 50 small hub airports, 33 medium hubs, and 89 large hubs. Of the 172 instances, 96 customer satisfaction references were attributed to government agencies and 76 to independent authorities. Government agency operated airports coded for customer satisfaction accounted for 16 small hub, 28 medium hub, and 52 of the large hub facilities. For the independent authority operators, 34 small, five medium, and 37 large hub references were recorded.

*Interpretive factors.* A robust qualitative content analysis for data from which this study's socioeconomic theory factors were inferred (e.g., ethics and morality, power, equity, justice, and sustainability as social theory determinants; and agency, competition, rational choice, stakeholder, and supply and demand as economic theory determinants), data expressions were coded and classified as sentiments representing collaborative,



deleterious, or tenuous approaches to the procurement and evaluation process. The overarching theoretical foundation in support of this qualitative comparison case study was reduced to economic self-interest in decision-making—rational choice; and the influencing factor social effects on decision outcomes—norms of equity and justice. The final reduction of coded categories and themes allowed me to measure inferences of decision-maker orientation about *attitudes*, *beliefs*, and *values* from the documents. Initially, measurements were made using word descriptors such as *collaborative*, *deleterious*, and *tenuous*, which were later reduced for final coding to either *collaborative* or *imprecise*.

Summarizing the findings demographically, Appendix F shows I identified 300 expressions of sentiment as 120 collaborative (40%), 42 deleterious (14%), and 138 tenuous (46%) qualifying under one or more of the three levels of decision-maker orientations of attitude, beliefs, and values. There were 121 (40% out of 300) coded to government agency operated airports and 179 (60%) coded to independent authority types. Hub size distributions of decision-maker orientation for government agency airports were 14 allotted to small size airports (11% of the group, 5% of the category of 300), 25 to medium (20% group, 8% category), and 84 to large-hubs (68% group, 28% category). Independent authority operated airport hub-size allocations were 128 to small hubs (72% group, 43% category), 10 to medium (6% group, 3% category), and 38 to large hub size airports (21% group, 13% category). Distribution of the 300 coded references as “attitude/collaborative” among the hub group sizes for government operated airports were 12 small (15% of the group, 4% of the category); 15 medium (19% of the

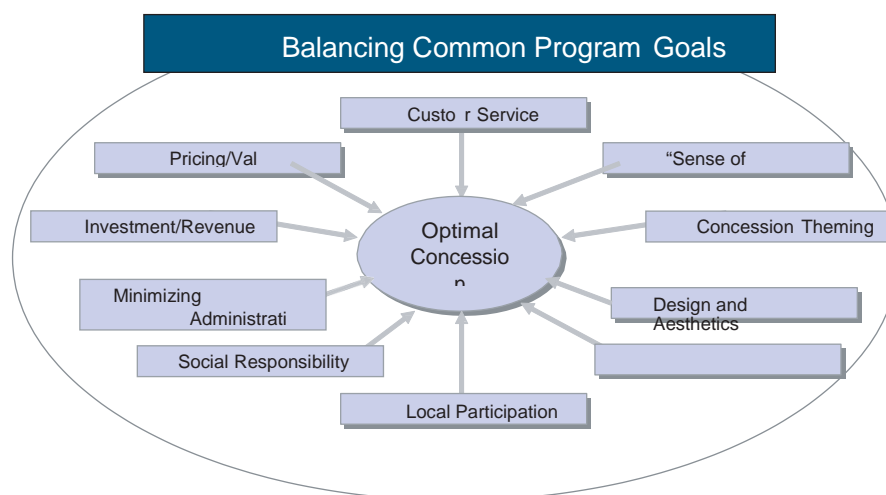
group, 5% of the category); and 51 large-hub airports (65% of the group, 17% of the category).

Coding for deleterious and tenuous was reduced and combined to a single, more precise descriptor accurately renamed *imprecise*, and used for instances where context implied neither distinctly collaborative nor deleterious meaning. There were 180 imprecise references of which 44 were coded to government agency operated airports (24% of the group, 15% of the category) and 136 (76% group, 25% category) were coded to independent authority types. Hub size distributions of imprecise decision-maker orientations resulted in two coded references to small-hub government agency airports (1% group, .06% category), 10 to medium (6% group, 3% category), and 32 to large (28% group, 17% category). Independent authority operated airport hub-size allocations of impreciseness of 136 were allocated 113 small hubs (83% of the group, 38% category), five to medium, (4% group, 2% category), and 18 to large hub size airports (13% group, 6% category).

***Related factors.*** *Concessionaire qualifications*, as a factor, was discussed earlier in the background segment of this thesis as one of three “concessionaire qualifications and weighted evaluation criteria” with airport hub size and governance type. In addition to recommending “soft” factor attributes (e.g., operator background, years of experience, and employee staffing capabilities), ACRP Report 54 also provided an example of evaluation point allocations addressed previously in Table 9 and the data analysis section, “Summary of Findings for Rating and Ranking Criteria.” The “soft qualifications” are the “attributes and comparisons” summarized in Table 27 by the number of coded references distributed by airport governance type and hub size against ACRP Report 54

guidelines addressing issues of aesthetics, capacity, customer service, revenue production, sense of place, value, variety, and the “WOW” factor recommended as “key attributes” (Airport Cooperative Research Program et al., 2011, p. 17). Findings for each attribute are depicted graphically in Figures 8 through 15 and summarized in Table 27.

The aggregate findings for concessionaire key attribute qualifications show 41 of the 141 coded references (29%) assigned to government agency operated airports and 100 (71%) to independent authority types. The data also reflect 38 references allocated to small hub size airports of which two are government agency (5%), and 36 (95%) are independent authority operated. For medium size airport hubs, data show nine references to a government agency and none to independent authority operators. Large hub reference allocations of 94 are 30 to government agency (32%) and 64 (68%) to independent authority operators. The common goal recommendations I examined are depicted by Figure 16, which illustrates the 10 attributes recommended in ACRP Report 54 for airports to consider for optimizing program efficiencies and effectiveness.



*Figure 16.* Common concession program goals. Reproduced from ACRP Report 54 (Figure 3-9, Balancing Common Concession Program Goals, p. 39), by ACRP et al., 2011.

Table 32

*Common Goal Guideline Comparisons by Governance Type and Hub Size*

Anony Code	Governance		Total References	Hub Size		
	GA	IA		Small	Medium	Large
0039	22	—	22	—	—	22
0038	21	—	21	—	—	21
0037	—	8	8	8	—	—
0036	—	4	4	—	4	—
0035	11	—	11	11	—	—
0034	9	—	9	9	—	—
0033	—	12	12	—	—	12
0032	—	21	21	21	—	—
0031	1	—	1	—	—	1
0030	29	—	29	—	29	—
0029	—	7	7	—	—	7
0028	20	—	20	—	—	20
0027	—	11	11	—	—	11
0026	—	5	5	5	—	—
0025	—	6	6	—	—	6
0024	—	6	6	—	—	6
0023	—	—	—	—	—	—
0022	4	—	4	—	4	—
0021	3	—	3	—	3	—
0020	7	—	7	—	—	7
0010	—	4	4	—	4	—
0040	—	20	20	—	—	20
0041	4	—	4	—	—	4
0042	—	5	5	—	—	5
0043	4	—	4	—	—	4
0044	11	—	11	—	—	11
0045	9	—	9	—	—	9
0046	7	—	7	—	7	—
0047	—	9	9	—	—	9
0048	8	—	8	—	—	8
0049	16	—	16	—	—	16
0050	13	—	13	—	—	13
0051	6	—	6	6	—	—
0052	—	2	2	—	—	2
0053	4	—	4	—	4	—
0054	—	149	149	149	—	—
0055	—	—	—	—	—	—
0056	5	—	5	—	—	5
0057	—	—	—	—	—	—
0058	5	—	5	—	5	—
0059	1	—	1	—	1	—
0060	—	15	15	—	—	15
	220	284	504	209	61	234

*Note.* GA = government agency; IA = independent authority. Each association by airport governance type and hub size depicted by Table 32 enumerates the number of coded reference occurrences for common goals.

### **Evidence of Trustworthiness**

My use of QDA software provided the transparency of an all-important audit trail to my research study's integrity and plausibility. The ability to capture meanings and patterns with relative ease and consistency helped facilitate a more detailed and comprehensive outcome than possible manually due to the complexities of this case study. Using computer software did not mean the interpretive task was left to the logic of my computer, although, as an efficiency tool, NVivo provided a modern way to conduct a thorough analysis that has made sustainable conclusions possible. Elo et al. (2014) subscribed to a similar way to demonstrate qualitative study trustworthiness based on the review of previous study outcomes, personal experiences, and adherence to the principles contained in methodological textbooks.

### **Credibility**

I analyzed qualification and evaluation criteria produced and recorded by official government sources. The NVivo qualitative software tool was used to code and categorize data selected for comparison and analysis. Computer categorizations helped me identify, code, and record factor attributions, evaluation point ratings, criteria importance rankings, and ancillary comment relevant to thematic analysis study findings. Attributes were first marked by hand for entry into Excel then value coded and categorized using the QDA software. Appropriate sections of the ACRP Report 54 and RFPs were highlighted and visually scanned for reference in analyzing trends and developing themes. By introducing multiple theories and data sources, as an industry-experienced researcher (Denzin & Lincoln, 2013; Merriam, 2015), the effort in my

comparison and analysis of documents provided sufficient evidence of outcome authenticity.

### **Transferability**

Transferability was enhanced by the size of the target population of 86 out of 506 commercial airports that account for 92% (683 million) of the 739 million enplanements in 2013 (FAA, 2014a). Size magnitude facilitated transferability by the number of source documents and data variations, and increased further by thick descriptions and airport hub size and governance factors.

### **Dependability**

Dependability is to qualitative research what reliability is to quantitative research (Leung, 2015). Silverman (as cited in Leung, p. 326) offered five approaches for strengthening reliability: (a) refutational analysis, (b) constant data comparison, (c) comprehensive data use, (d) inclusive of the deviant case, and (e) use of tables. Except for refutational analysis, I used each of the remaining four approaches in my study.

Transferability was enhanced by the size of the target population of 86 out of 506 commercial airports that account for 92% (683 million) of the 739 million enplanements in 2013 (FAA, 2014a). Size magnitude facilitated transferability by the number of source documents and data variations, and increased further by thick descriptions and airport hub size and governance factors.

### **Confirmability**

Researcher perception, knowledge, and industry experience made this qualitative case study reflexive. My general knowledge of the airport concessions industry combined with a granular understanding of the evaluation process phenomenon has

ensured that all data for comparison and qualitative content analysis were from official public records. The theories presented have provided the content and helped contextualize the behavioral and reflexive elements within which this research study took shape. In addition, use of QDA software for the coding and thematic analysis of ACRP Report 54 and the 42 airport RFPs is innately a reflexive and recursive effort that has produced proper documentation and transparency, both descriptively and inferentially.

### **Study Results: Research Questions and Conclusions**

After re-examining the data generated through the QDA software program, I assessed the qualitative information abstracted from the documents that would allow me to realize my findings and conclusions in responding to the three research questions. Although frequencies of coded reference occurrences are used in support of findings, my purpose and study focus remained steadfast in the use of reason above arithmetic for presenting a convincing interpretation of the findings based on evidence and personal cognition.

#### **Findings for Research Question 1**

Research Question 1 asked, “How do concessionaire requirements and evaluation criteria used at U.S. primary airports compare with those recommended by the ACRP Report 54?” The intent of this question was to locate differences between the sampled RFP evaluation criteria and weighting and those from the industry survey published by the benchmark document ACRP Report 54. The reason for this qualitative study was to determine whether there was congruence between qualification and selection criteria drawn from the case of 35 airports and a sample of 42 RFPs in comparison with the qualification and selection criteria recommended by the benchmark document.

Appendix D (Tables D1 through D5) shows the results of the document comparisons and content analyses of 32 RFPs containing weighted criteria and Table 17 highlights the universal underachievement of the benchmark rating scores by a majority of those RFPs containing weighted evaluation criteria regardless of airport governance type or hub size. The proportionate share of weighted RFPs from independent authority operated airports equaled 38% of those issued by airports operated by government agencies. Compared with government agency operated airports, the proportionally lower utilization of an evaluation point system in six out of ten independent authority-operated airport RFPs is unrepresentative of the ACRP Report 54 guidelines.

Many of the differences in the criteria percentage ratings are explained by the degree of importance each airport placed on the element addressed by the RFP rating component when compared to the benchmark sample shown in Table 9. Additionally, after reconsidering the ACRP Report 54 benchmark sample for evidence of a rating point value for ACDBE participation, my initial finding of ‘no benchmark given’ for this criterion was validated although an entire chapter of the benchmark document was devoted to the importance of treating ACDBE and other small businesses fairly and indiscriminately. For those RFPs containing rating point values for ACDBE participation, Table 33 shows that two out of every three ratings for the ACDBE participation were published by airports operated as independent authorities.



Table 33

*ACDBE Evaluation Criteria Ratings by Governance and RFP*

Gov	%	39	34	33	30	23	20	10	44	45	47	51	Cases
Government	-	-	-	-	-	-	P/F	-	-	-	-	-	-
	-	-	Y/N	-	-	-	-	-	-	-	-	-	-
	15	1	-	-	1	-	-	-	-	-	-	-	2
	10	-	-	-	-	-	-	-	-	1	-	-	1
	5	-	-	-	-	1	-	-	1	-	-	-	2
		1	-	-	1	1	-	-	1	1	-	-	5
Authority	15	-	-	1	-	-	-	-	-	-	1	1	3
	10	-	-	-	-	-	-	1	-	-	-	-	1
	5	-	-	1	-	-	-	1	-	-	1	1	4
			1	-	1	1	1	-	1	1	1	1	9

*Note:* Gov=airport governance type; Numbered columnar headings correspond with the anonymous RFP codes; Cases=the number of times a percentage was listed in an RFP.

Overall, while the weighted evaluation criteria described in the sample of RFPs analyzed do not match the five descriptions contained in ACRP Report 54, the described criteria are comparable when reduced in this study to the commonalities as shown—initially by Table 11 and ultimately by Table 16. On the percentage-rating component for each criterion identified, none of the airports used rating point values that conformed to those shown in the example recommended by ACRP Report 54.

### **Findings for Research Question 2**

Research Question 2 asked, “How can socioeconomic values relate to decision-maker choices in airport concession procurement processes?” In responding to this question, I was challenged to find and condense a series of expressed sentiments mined from the documents into meaningful categories. Findings from the Phase 4 data

reduction shown in Table E1 relate to 610 coded references attached to the five economic theories of agency, competition, rational choice, stakeholder, and supply and demand—all subsumed under the single theory of *rational choice* and categorized for congruence (as either *congruent* or *imprecise*) and governance type (either government agency or independent authority). Table E1 shows 491 references out of 610, or 80%, were coded as congruent with inferred attachments to documented expressions of economic self-interest (rational choice), and 119, or 20%, as imprecise. The number of congruent rational choice references assigned to government agencies is 333, or 68% of the 491 classified as congruent and 55% of all rational choice references. The number of imprecise rational choice references assigned to government agencies is 77, or 65% of the 119 classified as imprecise and 13% of all rational choice references. The number of congruent rational choice references assigned to independent authorities is 158, or 32% of the 491 classified as congruent and 26% of all rational choice references, whereas the number of imprecise rational choice references assigned to authorities is 42, or 35% of the 119 classified as imprecise and 7% of all rational choice references.

Table E2 shows 618 coded references are attached categorically to the five social theories of ethics and morality, power, social equity, social justice, and sustainability (each was previously subsumed under the single theory of *social justice*). Table E2 shows that 476 references out of 618, or 77%, were coded as congruent, having inferred attachments to documented expressions of fairness and equal dealing (social justice defined as economic indiscrimination). References assigned to government agencies considered congruent totaled 317, or 67% of the 476 references attached to theories of social justice. The number of imprecise social justice references assigned to government

agencies is 98, or 69% of the 142 classified as imprecise and 16% of all social justice references. The number of congruent social justice references assigned to independent authorities is 159, or 33% of the 476 classified as congruent and 26% of all social justice references, whereas the number of imprecise social justice references assigned to independent authorities is 44, or 31% of the 142 classified as imprecise and 7% of all social justice references.

Table E3 presents a side-by-side summary of the socioeconomic theories by congruence only.

The findings for Research Question 2 showed mixed results. In responding to the first proposition that government-controlled airports assigned greater weight to issues of control and revenue generation when evaluating concessionaire proposals than airports operated by independent authorities, the findings appeared to have sufficient support for its affirmation. The second proposition asserting that airports operating under direct government agencies attach different social and economic values to evaluation criteria than airports operating under independent authorities showed support by the findings. The third and final proposition that familiarity or association with a particular airport hub size and/or governance type influenced the way evaluation criteria are developed and how evaluation committee members rate and rank RFP responses was not supported by the findings.

### **Findings for Research Question 3**

Research Question 3 asked, “How can one set of core evaluation criteria for airport classifications of size and governance differences be justified for common use?”

ACRP Report 54 (contained in Airport Cooperative Research Program et al., 2011) contained the following views airport administrators and retail tenants (concessionaire) expressed for similar conditions:

In the surveys conducted for this research, airport concession managers were asked to identify general business practices that are most in need of change or improvement. The top three methods cited were, (a) lack of transparency in the solicitation process, (b) percentage rents, and (c) length of the lease term. The Concessionaires surveyed had different views; the top three business practices that concessionaires thought airport operators should consider changing were, (a) the MAG [Minimum Annual Guaranteed Rent] requirements, (b) the costs of constructing improvements, and (c) the length of the agreement term. (p. 153)

In addressing Research Question 3, results support future studies aimed at uncovering latent procurement process defects. While there seemed to be agreement that the length of lease agreement terms needed adjustment (although the airport response did not indicate whether terms should be shortened or extended), the first two responses from each entity are vastly dissimilar. Interestingly, airport operators view their own process as insufficiently transparent, while concessionaires show no major concern. As to the amount of airport revenue expectation, it appears that airport administrators place greater emphasis on rent from higher concession sales and aesthetics from large capital expenditures while concessionaires are more concerned with lower fixed expenses from a lowered minimum guaranteed rent and lesser capital investment.

ACRP Report 54 also stated the following: “[A] standard set of evaluation questions asked on a consistent and periodic basis can, over time, provide a benchmark of

customer satisfaction” (p. 26). In this regard, and in light of the contradictory survey response sentiments found in ACRP Report 54, I give a qualified “yes” for the possibility of a standard tool suggested by RQ3.

### **Treatment for Outliers**

As previously noted, there were 12 instances where the frequency distribution of data coded and recorded for six specific airport RFPs operated by independent aviation authorities exceeded the upper limits of the weighted average for the remainder of the sample. Table 33 describes the outliers and shows how they were modified for reassignment to the tables where they originated. Modification allowed the rehabilitated distributions to fall within a relevant range of same-category results. The net effect was that independent authority operated airports’ initial dominance in the customer satisfaction, key attribute, and common goals comparisons relative to governance type was repositioned commensurably with government agency operated airports (Tables 26, 27, 28). More importantly, in matters of attitudes and beliefs (Tables F1 and F2), independent authority airports improved significantly in negative aspect reductions (e.g., *deleterious* and *tenuous*, both reduced further to a negative sentiment of *imprecision*).

Table 34

*Tabulated Outliers*

Table no.	No. RFPs	Anony code	Outlier		Gov ref	Adjusted		Hub size allocation			Sentiment		
			GA	IA		1	Total	Small	Medium	Large	Col	Del	Ten
26	16	0054	—	16	76	60	4	4	—	—	—	—	—
<u>26</u>	16	0060	—	11	76	65	4	—	—	4	—	—	—
				27	152	125	8	4	—	4	—	—	—
27	13	0025	—	16	100	84	6	—	—	6	—	—	—
27	13	0040	—	15	100	85	7	—	—	7	—	—	—
27	13	0054	—	27	100	73	6	6	—	—	—	—	—
27	13	0060	—	19	100	81	6	—	—	6	—	—	—
				77	400	323	25	6	—	19	—	—	—
28	15	0054	—	149	284	135	9	9	—	—	—	—	—
F1	24	0037	—	10	47	37	3	3	—	—	—	3	—
F1	24	0054	—	19	47	28	3	3	—	—	—	—	3
F2	29	0054	—	84	120	36	4	4	—	—	—	—	4
				—	113	214	101	15	17	—	—	4	13
				366	1050	684	57	36	—	23	0	4	13

*Note.* Column one contains the Table No. reference; column two the number of RFPs from which the outliers were not derived; column three contains the word abbreviation *Anony* is used to signify the anonymous code for the specific airport RFP; column four and five contain the number of outliers allocated by airport governance type, *GA*=government agency, *IA*=independent authority; column six contains the original number of coded references appearing on each table; column seven contains the adjusted basis calculated by subtraction of column five from column six; column eight is the reduced value replacement calculation of the outlier which is spread through the remaining columns as applicable. The disproportionate number of references assigned to the various categories depicted by the respective tables listed in column one are identified as *outliers*. The adjustment was made by calculating the weighted averages of the category without the outlier and applying the result as the adjustment to the appropriate categories.

## Summary

Chapter 4 included an extensive presentation of data generated results and findings from the qualitative case study of a sample size of 32 airports purposefully selected from a population of 86 U.S. primary airports categorized by industry size and governance type. My intent in conducting this study was to compare evaluation standards contained in RFP documents issued between 2007 and 2015 with those recommended in ACRP Report 54. Mine was to advance knowledge of the evaluation phenomenon and to identify and encourage airports to develop core evaluation criteria for concessionaire contracting that will enhance and not displace supplemental criteria tailored for local markets. This study's findings showed that a diverse mix of evaluation criteria descriptors can be compressed to achieve a common core of five without loss of individually essential meaning, which suggests that standardization is feasible.

A further finding showed the example of criteria and rating values recommended by ACRP Report 54 were underachieved by most of the RFPs. The data revealed that four out of five of all RFPs containing weighted criteria averaged less than a 25% match for any one of the five criteria, and only that of aesthetics and design held a higher level of congruence at 42%.

Social and economic factor associations held by evaluation committee members were found to intersect at the point where the decision over how many or few (if any) points to assign to an evaluation criterion is made. This socioeconomic intersect solidified the bifurcation of five economic and five social theory influencers into (a) one part *rational choice* representing the outcome of applied decision theory, and (b) one part *social justice* representing the results of applied theories of fairness and justice.

RFPs from government agency operated airports contained a substantially greater number of customer satisfaction guidelines than those from independent authorities (see Table 26). Congruencies between RFP contents and the benchmark document content (ACRP Report 54), Appendix F, Tables F4, F5, and F6 show 120 government-agency airport congruencies coded as collaborative in 77 instances (64%) whereas independent authority congruencies were coded collaborative 43 times (36%).

Verbosities, as defined herein, are measured by the ACRP Report 54 benchmark document's page-length and number of words (166 pages and 68,251 words). The number of recorded instances of *verbosities* between government agency airport RFPs and independent authority airport RFPs was almost equal, on average, in number of pages (GA = n100, IA = n73) and words per thousand at 27,516 and 27,521 respectively. Findings for references to the key attributes listed in ACRP Report 54 and shown in Tables G1 through G7 were greatest for RFP content dealing with ethics and lobbying (34 references) and number of lease term years (32 references), and the least mentioned attribute addressed was the right of first refusal (3 references).

In the final analysis, it can be inferred, therefore, that none of the recommended standards and desirable concessionaire characteristics outlined in the aggregate by ACRP Report 54, and by extension, 42 RFP issuing airports, combined to produce what, from a retailer's view, would be considered an acceptable measure of expected "quality customer service" performance. In Chapter 5, I interpret the findings developed through the analysis of data contained in the sampled RFPs about the concessionaire evaluation criteria recommended in the benchmark document, ACRP Report 54, and define areas for



further research including a discussion of the implications of this study for a positive social change.

## Chapter 5: Discussion, Conclusions, and Recommendations

### **Introduction**

The purpose of this study was to compare and analyze a sample of 42 RFPs issued by government agency and independent authority operated airports for congruencies in qualification and evaluation criteria recommended by ACRP Report 54, and to infer from the documents a discrete group of socioeconomic influencers and process drivers. The aim of this study was to advance knowledge of the evaluation phenomenon, not to prescribe specific approaches; in doing the latter, I would have taken a position that could have been misperceived as bias and/or inclination toward the interests of a stakeholder group. Three questions were used to address the gaps, namely, (a) How do concessionaire requirements and evaluation criteria used at U.S. primary airports compare with those recommended by ACRP Report 54? (b) How can socioeconomic values relate to decision-maker choices in airport concession procurement processes? and (c) How can one set of core evaluation criteria for airport classifications of size and governance differences be justified for common use?

The objective of this qualitative comparative case study was twofold. First, I sought to encourage the inclusion of a recommended set of core selection criteria for concessionaire contracting. Second, I sought to promote support for the development of procedures ensuring that all future supplemental criteria tailored for local markets would enhance and not supplant the core standards. The intent of this study was to compare evaluation qualification and weighted rating criteria contained in the sample of airport RFP documents with the example given in ACRP Report 54.

In Chapter 2, I reviewed a substantial amount of original research, including phenomenological studies, case studies, mixed-method studies, and content and process theories of agency, competition, equity, justice, power, rational choice, stakeholder interests, and sustainability as guides for interpreting the documents. In Chapter 3, I defined the study aspects, including the research method, research design, approach and selection, data collection, and data analysis, and I discussed how improvement in the evaluation process is a sound public policy initiative for meeting social goals. In Chapter 4, I outlined the results of the document comparison and analyzed differences between airport evaluation criteria and those recommended in ACRP Report 54 for concordance and convergence of trends, and I presented evidence in support of the interpretations.

### **Interpretation of Findings**

None of the scales used matched the benchmark example shown in ACRP Report 54, and 1 out of 4 RFPs sampled used no weighted scale whatsoever for rating proposals. The proportionate share of the sample of 42 RFPs by governance type was 17 (or 40%) representing independent-authority-operated airports and 25 (or 60%) representing airports operated by government agencies. The proportionate share of the 32 RFPs that used weighted criteria by governance type was nine independent authority (or 28%) and 23 government-agency-operated (or 72%). Of the nine RFPs representing independent authorities, five were from large airport hubs, and two each were from medium and small hubs. For the 23 RFPs representing government-agency-operated airports, 14 represented large, seven represented medium, and two represented small hub sizes. I interpret these findings to suggest a greater tendency toward the use of weighted criteria for larger,

government-agency-operated airports than for airports operating under independent authorities.

Study objectives included bringing greater clarity and transparency to the evaluation process, enhancing stakeholder confidence, and to encouraging more small and minority-owned business participation. Chapter 7 of Report 54 (the benchmark document) was devoted to the efficacies of the ACDBE program and local business participation opportunities. It is noteworthy to point out that the exclusion of a rating point value for ACDBE involvement in RFPs from the benchmark (see Table 9), which left the initiative for airport discretion (Airport Cooperative Research Program et al., 2011). The results of the study showed that only 10 of 42 airports assigned RFP criteria and scoring rates for ACDBE participation.

Issues of organizational culture and environment weigh heavy in my research design on decision-maker motivation and whether social and economic values are acquired through close personal association or familiarity with airport governance systems that can influence evaluator rating preferences. The relevance of my study's purpose and problem statement is magnified by Pitesa and Thau (2013), who examined organizational environment influence on ethical decision making and found that power-based employees require "more incentives than do people lacking power" (p. xx) to pay attention to systems designed to promote business ethics and not to make unethical choices.

### **Limitations of the Study**

Subjectivity was an inherent limitation because, as the researcher, I had control over the design, and the document analyses were influenced by my perceptions.

Although the use of QDA software helped to mitigate much of the data input and manage categorization of an enormous amount of data, data selection was judgmental, which rendered accuracy somewhat uncertain. Additionally, the complicated nature of this study required broad use of primary and secondary research sources of fundamental, historical, and legal importance relating to my RFP subject. The study made no allowances for municipal area demographic and political preferences, which would have limited the study's focus.

### **Recommendations**

This research study contributes to existing literature in several ways. First, it shows how different airport administrators have different orientations and values regarding concessions that are expressed in the RFPs they prepare, issue, and evaluate. Second, it reports on a comprehensive analysis and comparison of individualized criteria used by 35 of the 86 U.S. primary airports for rating and ranking concessionaire responses to 42 separate RFPs issued between 2009 and 2015. Third, it provides a broad theoretical and conceptual basis for determining how workplace enculturation of socioeconomic values affects decision choice between competing alternatives, which has application to other areas of administration. I am confident that there are other aspects of organizational culture tangent to the RFP phenomenon on which additional studies will be necessary.

In the survey taken for preparation of ACRP Report 54 ( in ACRP et al., 2011) the following was stated:

Airport concession managers were asked to identify general business practices that are most in need of change or improvement. The top three practices cited

were (1) lack of transparency in the solicitation process, (2) percentage rents, and (3) length of the term. The concessionaires surveyed had different views; the top three business practices that concessionaires thought airport operators should consider changing were MAG [Minimum Annual Guaranteed Rent] requirements, the costs of constructing improvements, and the length of the agreement term. (p. 153)

As a result of this study, airport administrators are also advised to address the rating and ranking point system for development of a partially standardized evaluation process that includes the five main factors presented herein (e.g., brand mix, financial return, customer service, aesthetics and design, and experience and qualifications), which are directly related to concessionaire performance capabilities. In addition, a set of mutually exclusive preferences should be allowed for selecting qualified and predefined local, small, and disadvantaged business ownership as part of a solicitation package. Finally, a maximum percentage rating allocation for each selection criterion should be established according to individual airport needs, and the total score for all criteria should not exceed 100% for any single concessionaire proposal.

### **Implications**

In trying to invoke the highest level of objectivity and transparency and eliminate perceived bias in a concessions RFP process, individuals are selected to serve on committees or panels as official evaluators. ACRP Report 54 (in ACRP et al., 2011) provided the following:

Proposals received in response to an RFP are typically reviewed by a panel of evaluators, which, depending on local procurement requirements, may be called

an evaluation panel, selection panel, selection committee, or other name.

Evaluators, depending on local laws or ordinances, may include airport staff members, local citizens with some background in the subject matter, airport board members, employees of sister agencies, and outside experts such as consultants or staff from other airports. At some airports, concession staff may be included as evaluators, while at other airports, these staff members serve as nonvoting facilitators. (p. 158)

Except for employees selected to serve as evaluators from within the airport issuing the RFP, all of the other individuals mentioned in ACRP Report 54 are—or were, in the case of retirees—employed elsewhere. An important contribution of this paper is its exposition of institutional form as a perpetuator of socioeconomic value attachments that give traction for decision-maker substitution of personal motivation attachments in navigating where workplace environments and organizational goals are mixed and obscured.

The relatively small amount of existing research in the general area of airport concessions does not detract from the insight emerging from this study, which can be explored further. No matter how the RFP and selection process may be packaged and presented as an objective means for determining contract awardees, at the heart of the RFP phenomenon is the application and summation of numeric values assigned by purposefully selected evaluation committee members who are expected to justify criteria that are designed and evaluated individually. This simplified description of a complicated process is not an indictment but, rather, an acknowledgment that the outcome of a competitive RFP process is more likely than not to result in a general

dissatisfaction among the participants because of the overriding subjectivity. There is much more that can be learned from the data generated by this study, and the challenge will be for additional research to include measures of organizational culture in explaining evaluation processes for airport concessionaire RFP responses.

This qualitative comparative case study was based on issues inherent in the business of retailing. Although airport concessions are a highly specialized form of retailing with unique operating conditions, customer demographics, and demand patterns, the one feature necessary in all successful consumer sales efforts, especially retailing, is customer service. “The customer is king” and “the customer is always right” are the axioms by which successful retailers throughout my career have delivered quality customer satisfaction, and ACRP Report 54 is robust with ways and means for airport administrators and concessions store operators to hone basic customer skills sets. The importance of customer service is implicitly shown by the description ACRP et al. (2011) provided of the synergistic relationship between airlines and concessions:

The local market, and not individual airlines, was the driver of passenger demand .... Once considered ancillary services that offered basic passenger conveniences, in-terminal concessions have increased in importance as airport sponsors seek to increase nonairline revenues while meeting higher passenger expectations.

Fortunately, there is a direct connection between the two. (p. 2)

These ideals are obscured today, as evidenced by the dichotomy between ACINA’s opinion of customer service ratings and American Airlines’ description of passenger service. According to ACINA (2013), “non-aeronautical revenue in airports has grown from 1970 through 2013 through creative retail and customer service



programs” (p. 12). American Airlines surveys showed, however, that “customer service has deteriorated since deregulation and that passenger satisfaction is far less than before when compared to the ticket cost per mile” (“American Airlines, U.S. Airways Announce \$11 Billion Merger,” 2013).

### **Conclusion**

There are three conclusively recurring themes I have unveiled as a projection of this study that have a significant impact on the art and science of staging an airport concessions contracting process. The first involves the theory and rationale of decision making—more specifically, tactical decision making in a competitively strategic commercial environment. The second involves the introduction of justice and fairness into the airport concessions RFP evaluation decision-making process. The third and final theme is that of the cognitive dissonance that occurs when the first two topics collide. Several key conclusions were drawn based on the analysis presented in this research study. This study has been intellectually milled, mined, and minted through the fields and coffers of a triad of theories—namely, rational choice, social equity, and social justice—and, based on my interpretations of the findings, I have concluded the following:

- Decision-making by actors in this study ultimately depended on factors of economic self-interest informed by cognitively attached socioeconomic factors enculturated from familiarity and/or direct association with distinctly different airport governance systems.
- Currently popular and prevalent evaluation rating systems and qualification criteria used by many U.S. primary airports, although ultimately subjective

and unable to produce wholly objective outcomes, are both functionally workable and structurally unreliable.

- Evaluation committee members are innately conflicted by competing interests and personally held social and economic values that can alter the assignment of rating scores when evaluating indistinguishably qualified proponents.

Martin and Parmar (2012) demonstrated how decision-maker cognition can alter decision choices, and Zafirovski (2014) amplified a growing disfavor for economic rational choice's self-interest perspective within the social science community. Drawing on the essentials from both studies (i.e., the rising prominence of a cognitive influence during business decision deliberations and the settling down somewhat of the absolute self-interest tenet), my study outcomes and conclusions are reinforced by (a) the aspect of evaluator cognitive influence factors of socioeconomic values based on workplace enculturation (e.g., government-agency versus independent-authority-operated airports); and (b) the susceptibility of the self-interest of an evaluator (self-interest also encompassing the larger interest represented by the individual decider) to other factors, such as cognition as described.

Comparing the individual airport data against the benchmark ACRP Report 54 has revealed a need for industry reconsideration of how core features contained in concessions RFPs can be tailored so that an acceptable level of standardization can be achieved. When this is accomplished, positive social change will be realized through the natural expansion of opportunities for DBEs, ACDBEs, and other small business owners to participate directly in the process because they know they will be able to compete evenly.

ACRP Report 54 provided a valuable and comprehensive toolkit for airport administrators and concessions owners for guidance when processing or responding to RFPs. There is equal merit, however, to studying the motivational processes that underlie decision maker cognition and behavior, both at the point of evaluation committee selection through the rating, and ranking of RFP proposals. This study's exploration of evaluator motivation, therefore, should stimulate development and adoption of improved evaluation and qualification standards.

Overall, the comprehensive examination of documents left me with the general impression of ACRP Report 54 as an industry guide delimited by the culture of airport governance type—whether under a government agency or independent authority operative. Given the near universal use of similarly composed RFPs and evaluation committee membership and operation, any accountability calling for a serious and conscientious exploration of the values that influence the concessions contracting and evaluation processes and help shape perceptions of fairness appears to be an unassigned responsibility that can only be addressed didactically, or not at all. I hope that what I have accomplished through a nuanced and subtly formed representation of behaviors in a very complex case is the first of a series of new probes into an uncharted horizon.

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## Appendix A: Summary Comparison of Concession Management Approaches

### THIRD-PARTY DEVELOPER Advantages:

- Lowest administrative burden, as Developer brings professionals with experience in marketing, leasing, developing, and managing food and retail spaces; single point of contact for airport management
- Coordinates all tenant design and construction
- Generally enters into subcontracts directly with subtenants and is able to negotiate optimal business terms (compared with public procurement requirements)
- Does not compete with tenants; shares goal of airport operator in maximizing sales, service
- Develops food courts and other common areas; makes investment in common areas, directories, etc.
- Variety of shops, concepts, subtenants creates high degree of competition and choices for customers

### Disadvantages:

- Considerable potential sales volumes are necessary for ThirdParty Developers to participate
- Requires longer term, typically 15 years, for Developer to earn satisfactory returns
- Developer takes cut of concession sales, which may reduce airport operator's concession revenues below potential of other approaches

### LEASING MANAGER Advantages:

- Similar to Third-Party Developer, brings professionals with experience in marketing, leasing, developing, and managing food and retail spaces; single point of contact for airport management
- Scope may include coordination of design and construction activities
- May (or may not) enter into agreements directly with subtenants; able to negotiate optimal business terms (compared with public procurement requirements)
- Variety of stores/concepts operated by different concessionaires creates distinct customer shopping choices and a high degree of competition

### Disadvantages:

- Airport operator has responsibility for common area buildouts
- Leasing Manager receives a fee for its services, which may reduce airport concession revenues
- Typically works on a fee basis and does not make capital investment in common areas, directories, etc.

### DIRECT LEASING Advantages:

- Direct relationship between airport operator and concessionaires
  - Variety of stores/concepts operated by different concessionaires creates distinct customer shopping choices and a high degree of competition
  - Airport operator controls overall scope of program
- ### Disadvantages:
- Requires the most airport staff time and expertise due to variety of individual concession agreements to award and manage
  - Airport operator has responsibility for common-area build-outs
  - Design and construction activities by many different firms increases workload for airport operator
  - Greater risk of failure, as individual agreements must be self-sufficient; greater exposure to traffic risks
  - If local businesses are targeted, training will be required; there may be operating risks associated with inexperienced concessionaires

### PRIME CONCESSIONS Advantages:

- Only a few points of contact for coordination of design and construction activities, depending on number of primes
- Primes typically handle common-area build out, such as food courts
- Requires less airport staff time (compared with Direct Leasing) with fewer, larger concession agreements to manage
- Prime subleases to ACDBEs and others on behalf of airport

### Disadvantages:

- Less competition than other management approaches
- Variety of stores/concepts offered are often more limited due to preestablished agreements with certain brands
- Approach (on average) results in development of less space compared with other approaches
- Prime concessionaire may be in competition with subtenants
- Lower sales compared with other approaches, although percentage rents are typically higher

## Appendix B: Lecture Notes from Speech to ACDBEs

Operating at airports is no picnic, especially for small business owners and operators of single unit stores. For example, construction costs are typically 20% to 30% higher in the airport than outside because of many hoops contractors and owners have to jump through caused by federal, state, and local requirements in the approval process usually associated with a busy airport. Because airport stores must operate for long hours every day, there are more staffing problems and associated costs. Sometimes, at the airport we must comply with a particular law or statute even though it may not apply. Concessionaires are required to implement a drug-testing program for its employees, which we agree is necessary for the program. However, the solution still has its cost and the business pays for it. Recently, we were notified of a new State Department of Agriculture rule requiring food and beverage establishments to have at least one certified expert employee on duty at all-times. This brings new meaning to “food and beverage service” which now must include newsstands that sell wrapped candy bars and mints. Can you imagine the cost for certifying enough staff members of all newsstand operators who off candy bars and mints for sale? Parking at the airport is tough to find, which I am sure you already know. Curbside parking is non-existent. A warehousing and distribution facility is a necessity since daily merchandise deliveries to concessions are essential due to the lack of adequate on-premises storage space. Because of the congestion, delivery trucks must obtain proper permits and can only make deliveries between certain hours each day. Sometimes, without warning, deliveries are stopped altogether because of VIP arrivals, departures, or security threats. These are just a few of the differences setting us apart from the traditional mall operators.

## Appendix C: U.S. Airports With Over 1 Million Enplanements

Table C1

*U.S. Primary Airports with Over 1 Million Enplanements by Governance*

Rank	IATA	Name	Governance Structure	Owner Operator	Enplaned (in millions)	Hub Size
1	ATL	Hartsfield-Jackson Atlanta International Airport	City	City of Atlanta/Department of Aviation	45.3	L
2	LAX	Los Angeles International Airport	City	Los Angeles World Airports	32.4	L
3	ORD	O'Hare International	City	Chicago Dept. of Aviation	32.3	L
4	DFW	Dallas/Fort Worth International Airport	Authority	DFW Airport Board of Directors /Dallas and Ft Worth	29.0	L
5	DEN	Denver International Airport	City	Denver Department of Aviation	25.5	L
6	JFK	John F. Kennedy International Airport	Port Authority	Port Authority of New York and New Jersey	25.0	L
7	SFO	San Francisco International Airport	City	San Francisco Airport Commission	21.7	L
8	CLT	Charlotte/Douglas International Airport	City	City of Charlotte	21.3	L
9	LAS	McCarran International Airport	County	Clark County	19.9	L
10	PHX	Phoenix Sky Harbor International Airport	City	Phoenix Airport System	19.5	L
11	MIA	Miami International Airport	County	Miami-Dade Aviation Department	19.4	L
12	IAH	George Bush Intercontinental Airport	City	Houston Airport System	19.0	L
13	EWR	Newark Liberty International Airport	Port Authority	Port Authority of New York and New Jersey	17.6	L
14	MCO	Orlando International Airport	Authority	Greater Orlando Aviation Authority	16.9	L
15	SEA	Seattle-Tacoma International Airport	Port Authority	Port of Seattle	16.7	L
16	MSP	Minneapolis-Saint Paul International Airport	Authority	Minneapolis-Saint Paul Metropolitan Airports Commission	16.3	L

*Note.* Partially reproduced from Federal Aviation Administration Website page last modified September 29, 2014, Retrieved from [http://www.faa.gov/airports/planning\\_capacity/passenger\\_allcargo\\_stats/passenger/](http://www.faa.gov/airports/planning_capacity/passenger_allcargo_stats/passenger/); Rank=the numerical rank of the airport in number of passenger enplanements; IATA= acronym for the International Air Transport Association; Hub Sizes S=Small; M=Medium; L=Large.

(table continues)

Rank	IATA	Name	Governance Structure	Owner Operator	Enplaned (M) <sup>a</sup>	Hub Size
17	DTW	Detroit Metropolitan Wayne County Airport	Airport Authority	Wayne County Airport Authority	15.7	17
18	BOS	Logan International Airport	Port Authority	Massachusetts Port Authority	14.8	L
19	PHL	Philadelphia International Airport	City	City of Philadelphia	14.7	L
20	LGA	LaGuardia Airport	Port Authority	Port Authority of New York and New Jersey	13.4	L
21	FTL	Fort Lauderdale-Hollywood International Airport	County	Broward County	11.5	L
22	BWI	Baltimore-Washington International Airport	State	Maryland Aviation Administration	11.1	L
23	IAD	Washington Dulles International Airport	Airport Authority	Metropolitan Washington Airports Authority	10.6	L
24	MDW	Chicago Midway International Airport	City	Chicago Department of Aviation	9.9	L
25	DCA	Ronald Reagan Washington National Airport	Airport Authority	Metropolitan Washington Airports Authority	9.8	L
26	SLC	Salt Lake City International Airport	City	Salt Lake City	9.7	L
27	HNL	Honolulu International Airport	State	State of Hawaii	9.5	L
28	SAN	San Diego International Airport	Airport Authority	San Diego County Regional Airport Authority	8.9	L
29	TPA	Tampa International Airport	Airport Authority	Hillsborough County Aviation Authority	8.3	L
30	PDX	Portland International Airport	Port Authority	Port of Portland	7.5	L
31	STL	Lambert-St. Louis International Airport	City	City of St. Louis	6.2	M
32	HOU	William P. Hobby Airport	City	Houston Airport System	5.4	M
33	BNA	Nashville International Airport	Airport Authority	Metropolitan Nashville Airport Authority	5.1	M
34	AUS	Austin-Bergstrom International Airport	City	City of Austin	4.9	M
35	MCI	Kansas City International Airport	City	City of Kansas City	4.8	M
36	OAK	Metropolitan Oakland International Airport	Port Authority	Port of Oakland	4.8	M
37	MSY	Louis Armstrong New Orleans International Airport	City	City of New Orleans	4.6	M

(table continues)

Rank	IATA	Name	Governance Structure	Owner Operator	Enplaned (M) <sup>a</sup>	Hub Size
38	SNA	John Wayne Airport	County	Orange County	4.5	M
39	RDU	Raleigh-Durham International Airport	Airport Authority	Raleigh-Durham Airport Authority	4.5	M
40	CLE	Cleveland Hopkins International Airport	City	City of Cleveland	4.4	M
41	SJC	Norman Y. Mineta San José International Airport	City	City of San Jose	4.3	M
42	SMF	Sacramento International Airport	County	County of Sacramento	4.3	M
43	SJU	Luis Munoz Marin International Airport	Private	Puerto Rico Ports Authority Aerostar Airport Holdings	4.1	M
44	DAL	Dallas Love Field	City	City of Dallas	4.0	M
45	SAT	San Antonio International Airport	City	City of San Antonio Aviation Department	4.0	M
46	PIT	Pittsburgh International Airport	Airport Authority	Allegheny County Airport Authority	3.8/	M
47	RSW	Southwest Florida	Port Authority	Lee County Port Authority	3.8	M
48	IND	Indianapolis International Airport	Airport Authority	Indianapolis Airport Authority	3.5	M
49	MKE	General Mitchell International Airport	County	Milwaukee County	3.2	M
50	CMH	Port Columbus International Airport	Airport Authority	Columbus Regional Airport Authority	3.1	M
51	OGG	Kahului Airport	State	Hawaii Department of Transportation	3.0	M
52	PBI	Palm Beach International Airport	County	Palm Beach County Department of Airports	2.8	M
53	CVG	Cincinnati/Northern Kentucky International Airport	Airport Authority	Kenton County Airport Board	3.42.8	M
54	BDL	Bradley International Airport	Airport Authority	Connecticut Airport Authority	2.8	M
55	BUF	Buffalo Niagara International Airport	Port Authority	Niagara Frontier Transportation Authority	2.6	M
56	JAX	Jacksonville International Airport	Airport Authority	Jacksonville Airport Authority	2.5	M
57	ABQ	Albuquerque International Sunport	City	City of Albuquerque	2.5	M

(table continues)



Rank	IATA	Name	Governance Structure	Owner Operator	Enplaned (M) <sup>a</sup>	Hub Size
58	ANC	Ted Stevens Anchorage International Airport	State	Alaska Department of Transportation & Public Facilities	2.3	M
59	MEM	Memphis International Airport	Airport Authority	Memphis-Shelby County Airport Authority	2.3	M
60	OMA	Eppley Airfield	Airport Authority	Omaha Airport Authority	2.0	M
61	ONT	Ontario International Airport	City	Los Angeles World Airports	2.0	M
62	BUR	Bob Hope Airport	Airport Authority	Burbank-Glendale-Pasadena Airport Authority	1.9	M
63	PVD	T. F. Green Airport	Airport Authority	Rhode Island Airport Corporation	1.9	M
64	OKC	Will Rogers World Airport	Airport Authority	Oklahoma City Airport Trust	1.8	S
65	RNO	Reno-Tahoe International Airport	Airport Authority	The Reno-Tahoe Airport Authority	1.7	S
66	SDF	Louisville International Airport	Airport Authority	Louisville Regional Airport Authority (LRM)	1.7	S
67	RIC	Richmond International Airport	Airport Authority	Capital Region Airport Commission	1.6	S
68	TUS	Tucson International Airport	Airport Authority	Tucson Airport Authority	1.6	S
69	GUM	Guam International	Airport Authority	A.B. Won Pat International Airport Authority	1.6	S
70	ORF	Norfolk International Airport	Airport Authority	Norfolk Airport Authority	1.6	S
71	CHS	Charleston International Airport	Airport Authority	Charleston County Aviation Authority	1.4	S
72	LGB	Long Beach Airport	City	City of Long Beach	1.4	S
73	GEG	Spokane International Airport	County	Spokane County	1.4	S
74	KOA	Kona International Airport	State	Hawaii Department of Transportation	1.4	S
75	ELP	El Paso International Airport	City	City of El Paso	1.4	S
76	BHM	Birmingham-Shuttlesworth	Airport Authority	Birmingham Airport Authority	1.3	S
77	TUL	Tulsa International	City	City of Tulsa	1.3	S
78	LIH	Lihue Airport	State	State of Hawaii	1.3	S

(table continues)

Rank	IATA	Name	Governance Structure	Owner	Operator	Enplaned (M) <sup>a</sup>	Hub Size
79	BOI	Boise	City	City of Boise		1.3	S
80	DAY	James M. Cox Dayton International Airport	City	City of Dayton		1.2	S
81	ROC	Greater Rochester International Airport	County	County of Monroe		1.2	S
82	ALB	Albany International Airport	Airport Authority	Albany County Airport Authority		1.2	S
83	MHT	Manchester-Boston Regional Airport	City	City of Manchester		1.2	S
84	GRR	Gerald R. Ford International Airport	County	Kent County Department of Aeronautics		1.1	S
85	DSM	Des Moines International				1.1	S
86	LIT	Bill and Hillary Clinton National Airport	City	City of Little Rock		1.1	S

Table C2

*Airport Participants for RFP Data Collection*

Rank	IATA	Name	Governance Structure	Owner/ Operator	Enplane(in millions)	Hub Size
1	ATL	Hartsfield-Jackson Atlanta International Airport	City	City of Atlanta/Department of Aviation	45.3	L
2	LAX	Los Angeles International Airport	City	Los Angeles World Airports	32.4	L
3	ORD	O'Hare International	City	Chicago Dept. of Aviation	32.3	L
4	DFW	Dallas/Fort Worth International Airport	Authority	DFW Airport Board of Directors	29.0	L
5	DEN	Denver International Airport	City	Denver Department of Aviation	25.5	L
6	JFK	John F. Kennedy International Airport	Authority	Port Authority of NY & NJ	25.0	L
7	SFO	San Francisco International Airport	City	San Francisco Airport Commission	21.7	L
8	CLT	Charlotte/Douglas International	City	City of Charlotte	21.3	L
10	PHX	Phoenix Sky Harbor International	City	Phoenix Airport System	19.5	L
11	MIA	Miami International Airport	County	Miami-Dade Aviation Department	19.4	L
12	IAH	George Bush Intercontinental	City	Houston Airport System	19.0	L
13	EWR	Newark Liberty International	Authority	Port Authority of NY & NJ	17.6	L
14	MCO	Orlando International Airport	Authority	Greater Orlando Aviation Authority	16.9	L
16	MSP	Minneapolis-Saint Paul International Airport	Authority	Minneapolis-Saint Paul Metropolitan Airports Commission	16.3	L
17	DTW	Detroit Metropolitan Wayne County Airport	Authority	Wayne County Airport Authority	15.7	L

*Note.* Partially reproduced from Federal Aviation Administration Website page last modified September 29, 2014, Retrieved from [http://www.faa.gov/airports/planning\\_capacity/passenger\\_allcargo\\_stats/passenger/](http://www.faa.gov/airports/planning_capacity/passenger_allcargo_stats/passenger/); Rank=the numerical rank of the airport in number of passenger enplanements; IATA=acronym for the International Air Transport Association; Hub Sizes S=Small; M=Medium; L=Large.

(table continues)

Rank	IATA	Name	Governance Structure	Owner Operator	Enplaned (M) <sup>a</sup>	Hub Size
18	BOS	Logan International Airport	Port Authority	Massachusetts Port Authority	14.8	L
21	FTL	Fort Lauderdale-Hollywood International Airport	County	Broward County	11.5	L
24	MDW	Chicago Midway International Airport	City	Chicago Department of Aviation	9.9	L
25	DCA	Ronald Reagan Washington National Airport	Authority	Metropolitan Washington Airports Authority	9.8	L
28	SAN	San Diego International Airport	Authority	San Diego County Regional Airport Authority	8.9	L
29	TPA	Tampa International Airport	Authority	Hillsborough County Aviation Authority	8.3	L
32	HOU	William P. Hobby Airport	City	Houston Airport System	5.4	M
33	BNA	Nashville International Airport	Authority	Metropolitan Nashville Airport Authority	5.1	M
38	SNA	John Wayne Airport	County	Orange County	4.5	M
42	SMF	Sacramento International Airport	County	County of Sacramento	4.3	M
44	DAL	Dallas Love Field	City	City of Dallas	4.0	M
45	SAT	San Antonio International Airport	City	City of San Antonio Aviation Department	4.0	M
49	MKE	General Mitchell International Airport	County	Milwaukee County	3.2	M
56	JAX	Jacksonville International Airport	Authority	Jacksonville Airport Authority	2.5	M
66	SDF	Louisville International Airport	Authority	Louisville Regional Airport Authority (LRM)	1.7	S
71	CHS	Charleston International Airport	Authority	Charleston County Aviation Authority	1.4	S
76	BHM	Birmingham-Shuttlesworth	Authority	Birmingham Airport Authority	1.3	S
79	BOI	Boise Airport	City	City of Boise	1.3	S
81	ROC	Greater Rochester International Airport	County	County of Monroe	1.2	S
85	DSM	Des Moines International	Authority	Des Moines Airport Authority	1.1	S

## Appendix D: Benchmark Criterion Ratings Comparison

Table D1

*Evaluation Point Ratings for 25% Brand Mix Benchmark*

RFP and Evaluation Point Maximums	5	15	17	20	25	26	30	35	40
1. ATL_RFP F&B_FC-5191_2010	—	—	—	1	—	—	—	—	—
2. ATL_RFP_F&B_FC-7976_2015	—	1	—	—	—	—	—	—	—
3. BHM_RFP_F&B_2011	1	—	—	—	—	—	—	—	—
4. BNA_RFP_Sushi_032714	—	—	—	1	—	—	—	—	—
5. BOI_RFP_F&B_2014	—	—	—	1	—	—	—	—	—
6. BOI_RFP_NG & Specialty Retail_012214	—	—	—	1	—	—	—	—	—
7. BOS_F&B-Specialty Retail_Term A_100411	—	—	—	1	—	—	—	—	—
8. DAL Love_RFP_F&B_021611	—	—	—	—	—	1	—	—	—
9. DEN_RFP_DF & Specialty Retail_042913	—	—	—	—	—	—	—	1	—
10. DFW_RFP_NG-F&B_093013	—	—	—	1	—	—	—	—	—
11. DSM_RFP_Kiosks_2015	—	—	—	—	—	—	—	—	1
12. EWR_News Gifts_2009	—	1	—	—	—	—	—	—	—
13. FTL_RFP_Baggage Carts_2015	—	—	—	—	—	—	—	—	—
14. HOU_RFP_530342_Retail Pkg_2014	—	—	—	—	1	—	—	—	—
15. HOU_RFP_530343_Retail Pk2(1)_2014	—	—	—	—	1	—	—	—	—
16. IA_RFP_Specialty Coffee_100114	—	—	—	—	1	—	—	—	—
17. JAX_RFP13-34-43101_F&B_080913	—	—	—	—	—	—	—	1	—
18. LAX_RFP_News Gifts & Spec. Retail_091609	—	—	—	—	—	—	1	—	—
19. MDW_RFP Specialty, NG, Coffee_2010	—	—	—	—	—	—	1	—	—
20. MIA_RFP 04-09 (1) <sup>a</sup>	—	—	—	—	—	—	—	—	—
21. MIA_RFP NorthTerm_F&B Spec_2011	—	—	—	—	—	—	—	—	—
22. MKE_RFP 6894_Specialty Retail_060514	—	—	—	—	1	—	—	—	—
23. MSP_RFP_Multi Concessions_2015	—	—	1	—	—	—	—	—	—
24. ORD_RFP_F&B-Retail_020309	—	—	—	—	1	—	—	—	—
25. PHX_RFP T4_F&B_2010	—	—	—	—	1	—	—	—	—
26. PHX_RFP T4_NG & Specialty Retail_070115	—	—	—	—	—	—	1	—	—
27. SAT_RFP_Vending Machines_042314	—	—	—	—	—	—	—	—	—
28. SFO_RFP BA_Terminal E_Newsstand_2013	—	—	—	—	1	—	—	—	—
29. SFO_RFP_Terminal 3 Market Place_2015	—	—	—	—	—	—	—	—	1
30. SMF_RFP_Specialty Retail_041714	—	—	—	—	—	—	1	—	—
31. SNA_RFP_Parking_012914	—	—	—	—	—	—	—	—	—
32. TPA_RFP_Retail & DF_14-534-041_091614	—	—	—	—	—	—	—	1	—
Total Occurrences	1	2	1	6	7	1	4	3	2

*Note:* The proper name of the acronym for each airport's published RFP listed above is shown in Table C1. <sup>a</sup> MIA\_RFP\_04-09(1) shows averaged values assigned for two 3-package sets of stores operated separately; Columnar headings = percentages; F&B = Food and Beverage (denotes restaurant facilities); DF = Duty Free; NG = News and Gifts; T, or Term. = Terminal; Kiosk = open cart specialty vending; Multi Concessions = an assortment of concession types (e.g., news/gifts, bookstores, specialty gift shops, restaurants).

Table D2

*Evaluation Point Ratings for 25% Financial Return Benchmark*

RFP Evaluation Point Maximum	10	15	20	23	25	30	33
1. ATL_RFP F&B_FC-5191_2010	—	—	1	—	—	—	—
2. ATL_RFP_F&B_FC-7976_2015	—	—	1	—	—	—	—
3. BHM_RFP F&B_2011	—	—	1	—	—	—	—
4. BNA_RFP_Sushi_032714	—	—	1	—	—	—	—
5. BOI_RFP_F&B_2014	—	—	1	—	—	—	—
6. BOI_RFP_NG & Specialty Retail_012214	—	—	1	—	—	—	—
7. BOS_F&B-Spec Retail_Term A _100411	—	—	—	—	<b>1</b>	—	—
8. DAL Love_RFP_F&B_021611	—	—	—	1	—	—	—
9. DEN_RFP_DF & Specialty Retail_042913	1	—	—	—	—	—	—
10. DFW_RFP_NG-F&B_093013	—	—	1	—	—	—	—
11. DSM_RFP_Kiosks_2015	—	—	1	—	—	—	—
12. EWR_NewsGifts_2009	—	—	—	—	<b>1</b>	—	—
13. FTL RFP_Baggage Carts_2015	—	—	1	—	—	—	—
14. HOU_RFP_530342_Retail Pkg_2014	1	—	—	—	—	—	—
15. HOU_RFP_530343_Retail Pk2(1)_2014	1	—	—	—	—	—	—
16. IAH_RFP_Specialty Coffee_100114	1	—	—	—	—	—	—
17. JAX_RFP13-34-43101_F&B_080913	—	—	—	—	—	1	—
18. LAX_RFP_NewsGifts & Spec Retail_091609	—	—	—	—	<b>1</b>	—	—
19. MDW_RFP Specialty, NG, Coffee_2010	—	1	—	—	—	—	—
20. MIA_RFP 04-09 (1) <sup>a</sup>	—	—	—	—	—	—	1
21. MIA_RFP NorthTerm_F&B Spec_2011	—	—	—	—	<b>1</b>	—	—
22. MKE_RFP 6894_Spec. Retail_060514	—	—	1	—	—	—	—
23. MSP_RFP_Multi Concessions_2015	—	—	—	—	<b>1</b>	—	—
24. ORD_RFP_F&B-Retail_020309	—	—	—	—	<b>1</b>	—	—
25. PHX_RFP T4_F&B_2010	—	—	—	—	<b>1</b>	—	—
26. PHX_RFP T4_NG & Spec Retail_070115	—	1	—	—	—	—	—
27. SAT_RFP_Vending Machines_042314	—	—	—	—	—	1	—
28. SFO_RFP BA_Terminal E_Newsstand_2013	—	1	—	—	—	—	—
29. SFO_RFP_Terminal 3 Market Place_2015	1	—	—	—	—	—	—
30. SMF_RFP_Specialty Retail_041714	—	—	—	—	—	1	—
31. SNA_RFP Parking_012914	—	—	1	—	—	—	—
32. TPA_RFP_Retail & DF_14-534-041_091614	—	—	1	—	—	—	—
Total Occurrences	5	3	12	1	<b>7</b>	3	1

*Note:* The proper name of the acronym for each airport's published RFP listed above is shown in Table C1. <sup>a</sup> MIA\_RFP\_04-09(1) shows averaged values assigned for two 3-package sets of stores operated separately; Columnar headings = percentages; F&B = Food and Beverage (denotes restaurant facilities); DF = Duty Free; NG = News and Gifts; T, or Term. = Terminal; Kiosk = open cart specialty vending; Multi Concessions = an assortment of concession types (e.g., news/gifts, bookstores, specialty gift shops, restaurants).

Table D3

*Evaluation Point Ratings for 20% Customer Service Benchmark*

RFP Evaluation Point Maximum	10	12	15	17	<b>20</b>	23	25	30	40
1. ATL_RFP F&B_FC-5191_2010	—	—	—	—	<b>1</b>	—	—	—	—
2. ATL_RFP_F&B_FC-7976_2015	—	—	1	—	—	—	—	—	—
3. BHM_RFP F&B_2011	—	—	1	—	—	—	—	—	—
4. BNA_RFP_Sushi_032714	—	—	1	—	—	—	—	—	—
5. BOI_RFP_F&B_2014	—	—	—	—	<b>1</b>	—	—	—	—
6. BOI_RFP_NG & Specialty Retail_012214	—	—	—	—	<b>1</b>	—	—	—	—
7. BOS_F&B-Spec Retail_Term A_100411	—	—	—	—	—	—	—	—	—
8. DAL Love_RFP_F&B_021611	—	1	—	—	—	—	—	—	—
9. DEN_RFP_DF & Specialty Retail_042913	—	—	—	—	—	—	1	—	—
10. DFW_RFP_NG-F&B_093013	—	—	—	—	<b>1</b>	—	—	—	—
11. DSM_RFP_Kiosks_2015	—	—	—	—	—	—	—	—	—
12. EWR_NewsGifts_2009	1	—	—	—	—	—	—	—	—
13. FTL RFP_Baggage Carts_2015	—	—	1	—	—	—	—	—	—
14. HOU_RFP_530342_Retail Pkg_2014	—	—	—	—	—	—	1	—	—
15. HOU_RFP_530343_Retail Pk2(1)_2014	—	—	—	—	—	—	1	—	—
16. IA_RFP_Specialty Coffee_100114	—	—	—	—	—	—	1	—	—
17. JAX_RFP13-34-43101_F&B_080913	—	—	—	—	—	—	—	—	—
18. LAX_RFP_NewsGifts & Spec Retail_091609	—	—	—	—	<b>1</b>	—	—	—	—
19. MDW_RFP Specialty, NG, Coffee_2010	—	—	1	—	—	—	—	—	—
20. MIA_RFP 04-09 (1)a	—	—	—	—	<b>1</b>	—	—	—	—
21. MIA_RFP NorthTerm_F&B Spec_2011	—	—	—	—	—	1	—	—	—
22. MKE_RFP 6894_Spec. Retail_060514	—	—	—	—	—	—	1	—	—
23. MSP_RFP_Multi Concessions_2015	—	—	—	1	—	—	—	—	—
24. ORD_RFP_F&B-Retail_020309	—	—	1	—	—	—	—	—	—
25. PHX_RFP T4_F&B_2010	—	—	—	—	<b>1</b>	—	—	—	—
26. PHX_RFP T4_NG & Spec Retail_070115	1	—	—	—	—	—	—	—	—
27. SAT_RFP_Vending Machines_042314	—	—	—	—	—	—	—	—	1
28. SFO_RFP BA_Terminal E_Newsstand_2013	—	—	—	—	<b>1</b>	—	—	—	—
29. SFO_RFP_Terminal 3 Market Place_2015	—	—	1	—	—	—	—	—	—
30. SMF_RFP_Specialty Retail_041714	—	—	—	—	<b>1</b>	—	—	—	—
31. SNA_RFP Parking_012914	—	—	—	—	—	—	—	1	—
32. TPA_RFP_Retail & DF_14-534-041_091614	—	—	—	—	—	—	1	—	—
Total Occurrences	2	1	7	1	<b>9</b>	1	6	1	1

*Note:* The proper name of the acronym for each airport's published RFP listed above is shown in Table C1. <sup>a</sup>  
MIA\_RFP\_04-09(1) shows averaged values assigned for two 3-package sets of stores operated separately; Benchmark is in boldface; Columnar headings = percentages; F&B = Food and Beverage (denotes restaurant facilities); DF = Duty Free; NG = News and Gifts; T, or Term. = Terminal; Kiosk = open cart specialty vending; Multi Concessions = an assortment of concession types (e.g., news/gifts, bookstores, specialty gift shops, restaurants).

Table D4

*Evaluation Point Ratings for 15% Aesthetics and Design Benchmark*

RFP and Evaluation Point Maximums	10	15	17	20	23	25	28
1. ATL_RFP F&B_FC-5191_2010	—	—	—	—	—	—	—
2. ATL_RFP_F&B_FC-7976_2015	—	1	—	—	—	—	—
3. BHM_RFP_F&B_2011	—	1	—	—	—	—	—
4. BNA_RFP_Sushi_032714	—	—	—	1	—	—	—
5. BOI_RFP_F&B_2014	—	—	—	1	—	—	—
6. BOI_RFP_NG & Specialty Retail_012214	—	—	—	1	—	—	—
7. BOS_F&B-Specialty Retail_Terminal A_100411	—	—	—	—	—	—	1
8. DAL Love_RFP_F&B_021611	—	—	—	—	—	—	—
9. DEN_RFP_DF & Specialty Retail_042913	—	1	—	—	—	—	—
10. DFW_RFP_NG-F&B_093013	—	—	—	1	—	—	—
11. DSM_RFP_Kiosks_2015	—	—	—	—	—	—	—
12. EWR_News Gifts_2009	—	—	—	—	—	1	—
13. FTL RFP_Baggage Carts_2015	—	1	—	—	—	—	—
14. HOU_RFP_530342_Retail Pkg_2014	—	1	—	—	—	—	—
15. HOU_RFP_530343_Retail Pk2(1)_2014	—	1	—	—	—	—	—
16. IA_RFP_Specialty Coffee_100114	—	1	—	—	—	—	—
17. JAX_RFP13-34-43101_F&B_080913	1	—	—	—	—	—	—
18. LAX_RFP_News Gifts & Spec. Retail_091609	—	1	—	—	—	—	—
19. MDW_RFP Specialty, NG, Coffee_2010	—	1	—	—	—	—	—
20. MIA_RFP 04-09 (1) <sup>a</sup>	—	—	—	1	—	—	—
21. MIA_RFP NorthTerm_F&B Spec_2011	—	—	—	—	1	—	—
22. MKE_RFP 6894_Specialty Retail_060514	—	—	—	—	—	—	—
23. MSP_RFP_Multi Concessions_2015	—	—	1	—	—	—	—
24. ORD_RFP_F&B-Retail_020309	—	1	—	—	—	—	—
25. PHX_RFP T4_F&B_2010	—	—	—	1	—	—	—
26. PHX_RFP T4_NG & Specialty Retail_070115	—	1	—	—	—	—	—
27. SAT_RFP_Vending Machines_042314	—	—	—	—	—	—	—
28. SFO_RFP BA_Terminal E_Newsstand_2013	—	—	—	—	—	1	—
29. SFO_RFP_Terminal 3 Market Place_2015	—	—	—	—	—	1	—
30. SMF_RFP_Specialty Retail_041714	—	—	—	—	—	—	—
31. SNA_RFP Parking_012914	—	—	—	—	—	—	—
32. TPA_RFP_Retail & DF_14-534-041_091614	1	—	—	—	—	—	—
Total Occurrences	2	11	1	6	1	3	1

*Note:* The proper name of the acronym for each airport's published RFP listed above is shown in Table C1. <sup>a</sup> MIA\_RFP\_04-09(1) shows averaged values assigned for two 3-package sets of stores operated separately; Columnar headings = percentages; F&B = Food and Beverage (denotes restaurant facilities); DF = Duty Free; NG = News and Gifts; T, or Term. = Terminal; Kiosk = open cart specialty vending; Multi Concessions = an assortment of concession types (e.g., news/gifts, bookstores, specialty gift shops, restaurants).



Table D5

*Evaluation Point Ratings for 15% Experience & Qualifications Benchmark*

RFP Evaluation Point Maximum	10	15	17	20	24	25	30	45	50
1. ATL_RFP F&B_FC-5191_2010	—	—	—	—	—	1	—	—	—
2. ATL_RFP_F&B_FC-7976_2015	—	—	—	1	—	—	—	—	—
3. BHM_RFP F&B_2011	—	—	—	—	—	1	—	—	—
4. BNA_RFP_Sushi_032714	—	—	—	1	—	—	—	—	—
5. BOI_RFP_F&B_2014	—	—	—	1	—	—	—	—	—
6. BOI_RFP_NG & Specialty Retail_012214	—	—	—	1	—	—	—	—	—
7. BOS_F&B-Spec Retail_Term A _100411	—	—	1	—	—	—	—	—	—
8. DAL Love_RFP_F&B_021611	—	—	—	—	1	—	—	—	—
9. DEN_RFP_DF & Specialty Retail_042913	—	1	—	—	—	—	—	—	—
10. DFW_RFP_NG-F&B_093013	—	—	—	1	—	—	—	—	—
11. DSM_RFP_Kiosks_2015	—	—	—	1	—	—	—	—	—
12. EWR_NewsGifts_2009	—	—	—	—	—	1	—	—	—
13. FTL RFP_Baggage Carts_2015	—	—	—	—	—	—	—	1	—
14. HOU_RFP_530342_Retail Pkg_2014	—	1	—	—	—	—	—	—	—
15. HOU_RFP_530343_Retail Pk2(1)_2014	—	1	—	—	—	—	—	—	—
16. IA_RFP_Specialty Coffee_100114	—	1	—	—	—	—	—	—	—
17. JAX_RFP13-34-43101_F&B_080913	—	1	—	—	—	—	—	—	—
18. LAX_RFP_NewsGifts & Spec Retail_091609	1	—	—	—	—	—	—	—	—
19. MDW_RFP Specialty, NG, Coffee_2010	—	1	—	—	—	—	—	—	—
20. MIA_RFP 04-09 (1) <sup>a</sup>	—	—	—	1	—	—	—	—	—
21. MIA_RFP NorthTerm_F&B Spec_2011	—	—	—	—	—	—	1	—	—
22. MKE_RFP 6894_Spec. Retail_060514	—	—	—	—	—	—	1	—	—
23. MSP_RFP_Multi Concessions_2015	—	—	1	—	—	—	—	—	—
24. ORD_RFP_F&B-Retail_020309	—	—	—	1	—	—	—	—	—
25. PHX_RFP T4_F&B_2010	1	—	—	—	—	—	—	—	—
26. PHX_RFP T4_NG & Spec Retail_070115	—	—	—	1	—	—	—	—	—
27. SAT_RFP_Vending Machines_042314	—	—	—	—	—	—	1	—	—
28. SFO_RFP BA_Terminal E_Newsstand_2013	—	1	—	—	—	—	—	—	—
29. SFO_RFP_Terminal 3 Market Place_2015	1	—	—	—	—	—	—	—	—
30. SMF_RFP_Specialty Retail_041714	—	—	—	1	—	—	—	—	—
31. SNA_RFP Parking_012914	—	—	—	—	—	—	—	—	1
32. TPA_RFP_Retail & DF_14-534-041_091614	1	—	—	1	—	—	—	—	—
Total Occurrences	4	7	2	10	1	3	3	1	1

*Note:* The proper name of the acronym for each airport's published RFP listed above is shown in Table D1. <sup>a</sup> MIA\_RFP\_04-09(1) shows averaged values assigned for two 3-package sets of stores operated separately; Columnar headings = percentages; F&B = Food and Beverage (denotes restaurant facilities); DF = Duty Free; NG = News and Gifts; T, or Term. = Terminal; Kiosk = open cart specialty vending; Multi Concessions = an assortment of concession types (e.g., news/gifts, bookstores, specialty gift shops, restaurants).

## Appendix E: Summaries of Rational Choice and Social Justice Reductions

Table E1

*Rational Choice by RFP Code, Congruence, and Governance Type*

Anony Code	Rational Choice	Congruence		Government Agency		Independent Authority	
		Congruent	Imprecise	Congruent	Imprecise	Congruent	Imprecise
0039	34	26	8	26	8	—	—
0038	33	25	8	25	8	—	—
0037	17	9	8	—	—	9	8
0036	39	31	8	—	—	31	8
0035	29	27	2	27	2	—	—
0034	26	24	2	24	2	—	—
0033	2	2	0	—	—	2	0
0032	5	4	1	—	—	4	1
0031	3	2	1	2	1	—	—
0030	18	14	4	14	4	—	—
0029	4	1	3	—	—	1	3
0028	12	9	3	9	3	—	—
0027	1	1	0	—	—	1	0
0026	4	4	0	—	—	4	0
0025	9	6	3	—	—	6	3
0024	2	2	0	—	—	2	0
0023	6	5	1	5	1	—	—
0022	17	15	2	15	2	—	—
0021	21	16	5	16	5	—	—
0020	25	21	4	21	4	—	—
0010	14	10	4	—	—	10	4
0040	7	7	0	—	—	7	0
0041	3	2	1	2	1	—	—
0042	9	7	2	7	2	—	—
0043	4	3	1	3	1	—	—
0044	4	3	1	3	1	—	—
0045	19	12	7	12	7	—	—
0046	16	13	3	13	3	—	—
0047	13	11	2	—	—	11	2
0048	7	4	3	4	3	—	—
0049	34	28	6	28	6	—	—
0050	28	24	4	24	4	—	—
0051	10	8	2	—	—	8	2
0052	14	11	3	—	—	11	3
0053	8	7	1	7	1	—	—
0054	16	12	4	—	—	12	4
0055	30	26	4	—	—	26	4
0056	18	15	3	15	3	—	—
0057	12	11	1	11	1	—	—
0058	18	15	3	15	3	—	—
0059	6	5	1	5	1	—	—
0060	13	13	0	—	—	13	0
	610	491	119	333	77	158	42

*Note:* Table E1 illustrates how the coded references for economic theories subsumed by “rational choice” were distributed by congruence with ACRP Report 54 and airport governance type. Column 1 lists the RFPs coded anonymously (Anony = abbreviation for the word anonymous). All other columnar entries represent the number of related references coded.

Table E2

*Social Justice by RFP, Congruence, and Governance Type*

Anony Code	Social Justice	Congruence		Government Agency		Independent Authority	
		Congruent	Imprecise	Congruent	Imprecise	Congruent	Imprecise
0039	34	25	9	25	9	—	—
0038	34	25	9	25	9	—	—
0037	17	9	8	—	—	9	8
0036	39	31	8	—	—	31	8
0035	25	22	3	22	3	—	—
0034	25	22	3	22	3	—	—
0033	2	2	0	—	—	2	0
0032	5	4	1	—	—	4	1
0031	3	2	1	2	1	—	—
0030	19	14	5	14	5	—	—
0029	4	1	3	—	—	1	3
0028	13	9	4	9	4	—	—
0027	1	1	0	—	—	1	0
0026	4	4	0	—	—	4	0
0025	9	6	3	—	—	6	3
0024	2	2	0	—	—	2	0
0023	7	5	2	5	2	—	—
0022	18	15	3	15	3	—	—
0021	22	16	6	16	6	—	—
0020	26	21	5	21	5	—	—
0010	14	10	4	—	—	10	4
0040	7	7	0	—	—	7	0
0041	4	2	2	2	2	—	—
0042	7	5	2	5	2	—	—
0043	5	3	2	3	2	—	—
0044	4	2	2	2	2	—	—
0045	14	8	6	8	6	—	—
0046	17	13	4	13	4	—	—
0047	14	12	2	—	—	12	2
0048	8	4	4	4	4	—	—
0049	35	28	7	28	7	—	—
0050	28	23	5	23	5	—	—
0051	10	7	3	—	—	7	3
0052	14	11	3	—	—	11	3
0053	9	7	2	7	2	—	—
0054	16	12	4	—	—	12	4
0055	30	26	4	—	—	26	4
0056	19	15	4	15	4	—	—
0057	13	11	2	11	2	—	—
0058	19	15	4	15	4	—	—
0059	7	5	2	5	2	—	—
0060	15	14	1	—	—	14	1
	618	476	142	317	98	159	44

*Note:* This matrix illustrates how the coded references for social theories subsumed by “social justice” were distributed by congruence with ACRP Report 54 and airport governance type. Column 1 lists the RFPs coded anonymously (Anony = abbreviation for the word anonymous). All other columnar entries represent the number of related references coded.

Table E3

*Socioeconomic Theory Reduction Summary*

Anony Code	Rational Choice	Congruence		Social Justice	Congruence	
		Congruent	Imprecise		Congruent	Imprecise
0039	34	26	8	34	25	9
0038	33	25	8	34	25	9
0037	17	9	8	17	9	8
0036	39	31	8	39	31	8
0035	29	27	2	25	22	3
0034	26	24	2	25	22	3
0033	2	2	0	2	2	0
0032	5	4	1	5	4	1
0031	3	2	1	3	2	1
0030	18	14	4	19	14	5
0029	4	1	3	4	1	3
0028	12	9	3	13	9	4
0027	1	1	0	1	1	0
0026	4	4	0	4	4	0
0025	9	6	3	9	6	3
0024	2	2	0	2	2	0
0023	6	5	1	7	5	2
0022	17	15	2	18	15	3
0021	21	16	5	22	16	6
0020	25	21	4	26	21	5
0010	14	10	4	14	10	4
0040	7	7	0	7	7	0
0041	3	2	1	4	2	2
0042	9	7	2	7	5	2
0043	4	3	1	5	3	2
0044	4	3	1	4	2	2
0045	19	12	7	14	8	6
0046	16	13	3	17	13	4
0047	13	11	2	14	12	2
0048	7	4	3	8	4	4
0049	34	28	6	35	28	7
0050	28	24	4	28	23	5
0051	10	8	2	10	7	3
0052	14	11	3	14	11	3
0053	8	7	1	9	7	2
0054	16	12	4	16	12	4
0055	30	26	4	30	26	4
0056	18	15	3	19	15	4
0057	12	11	1	13	11	2
0058	18	15	3	19	15	4
0059	6	5	1	7	5	2
0060	13	13	0	15	14	1
	610	491	119	618	476	142

*Note:* This matrix illustrates how the coded references for economic and social theories subsumed by “rational choice” and “social justice” were distributed by congruence with ACRP Report 54 and airport governance type. Column 1 lists the RFPs coded anonymously (Anony = abbreviation for the word anonymous). All other columnar entries represent the number of related references coded.

## Appendix F: Summaries of Interpretive Factors

Table F1

*Summary of Attitudes by RFP Code, Governance Type, and Hub Size*

Anony Code	Attitude			Total	Governance		Hub Size		
	Col	Del	Ten		GA	IA	Small	Medium	Large
0039	3	3	2	8	8	—	—	—	8
0038	—	1	1	2	2	—	—	—	2
0037	1	7	2	10	—	10	10	—	—
0036	2	1	—	3	—	3	—	3	—
0035	1	—	—	1	1	—	1	—	—
0034	—	—	—	—	—	—	—	—	—
0033	1	—	—	1	—	1	—	—	1
0032	—	—	—	—	—	—	—	—	—
0031	—	—	—	—	—	—	—	—	—
0030	1	—	—	1	1	—	—	1	—
0029	—	—	—	—	—	—	—	—	—
0028	1	—	—	1	1	—	—	—	1
0027	1	1	—	2	—	2	—	—	2
0026	—	—	1	1	—	1	1	—	—
0025	—	2	3	5	—	5	—	—	5
0024	—	—	—	—	—	—	—	—	—
0023	—	—	—	—	—	—	—	—	—
0022	1	1	—	2	2	—	—	2	—
0021	1	—	—	1	1	—	—	1	—
0020	—	—	—	—	—	—	—	—	—
0010	1	—	1	2	—	2	—	2	—
0040	—	—	—	—	—	—	—	—	—
0041	—	—	3	3	3	—	—	—	3
0042	1	—	1	2	—	2	—	—	2
0043	—	—	—	—	—	—	—	—	—
0044	—	—	—	—	—	—	—	—	—
0045	—	—	—	—	—	—	—	—	—
0046	—	—	—	—	—	—	—	—	—
0047	1	—	—	1	—	1	—	—	1
0048	—	—	—	—	—	—	—	—	—
0049	1	—	1	2	2	—	—	—	2
0050	2	—	—	2	2	—	—	—	2
0051	—	—	—	—	—	—	—	—	—
0052	—	—	—	—	—	—	—	—	—
0053	—	—	—	—	—	—	—	—	—
0054	2	7	10	19	—	19	19	—	—
0055	—	—	—	—	—	—	—	—	—
0056	1	1	2	4	4	—	—	—	4
0057	1	—	—	1	1	—	—	—	1
0058	1	2	—	3	3	—	—	3	—
0059	1	—	—	1	1	—	—	1	—
0060	1	—	—	1	—	1	—	—	1
	26	26	27	79	32	47	31	13	35

*Note:* Table F1 shows the coded references for interpretive factors based on the attitudes expressed in the RFPs and distributed by airport governance type and hub size. Shaded lines that are paired in two denote separate RFPs from a single airport.<sup>1</sup> Column 1 lists the RFPs coded anonymously (Anony =abbreviation for the word *anonymous*); Col=collaborative; Del=deleterious; Ten=tenuous; GA=government agency; IA=independent authority. All other columnar entries represent the number of related references coded.

<sup>1</sup> Anonymous codes 0054 and 0055 represent two RFPs from a single airport that is different from the airport representing RFP codes 0056 and 0057.

Table F2

*Summary of Beliefs by RFP Code, Governance Type, and Hub Size*

Anony Code	Belief			Governance			Hub Size		
	Col	Del	Ten	Total	GA	IA	Small	Medium	Large
0039	4	1	1	6	6	—	—	—	6
0038	1	—	1	2	2	—	—	—	2
0037	1	—	—	1	—	1	1	—	—
0036	1	—	2	3	—	3	—	3	—
0035	1	1	1	3	3	—	3	—	—
0034	—	—	—	—	—	—	—	—	—
0033	—	—	—	—	—	—	—	—	—
0032	—	—	1	1	—	1	1	—	—
0031	—	—	—	—	—	—	—	—	—
0030	—	—	—	—	—	—	—	—	—
0029	1	—	—	1	—	1	—	—	1
0028	6	—	1	7	7	—	—	—	7
0027	1	—	—	1	—	1	—	—	1
0026	1	—	—	1	—	1	1	—	—
0025	—	1	1	2	—	2	—	—	2
0024	—	—	—	—	—	—	—	—	—
0023	3	—	—	3	3	—	—	—	3
0022	5	—	—	5	5	—	—	5	—
0021	3	—	2	5	5	—	—	5	—
0020	7	—	—	7	7	—	—	—	7
0010	1	—	1	2	—	2	—	2	—
0040	—	—	—	—	—	—	—	—	—
0041	—	1	1	2	2	—	—	—	2
0042	3	—	—	3	—	3	—	—	3
0043	0	—	—	—	—	—	—	—	—
0044	0	—	—	—	—	—	—	—	—
0045	5	—	—	5	5	—	—	—	5
0046	1	—	—	1	1	—	—	1	—
0047	2	—	—	2	—	2	—	—	2
0048	0	—	—	—	—	—	—	—	—
0049	7	—	—	7	7	—	—	—	7
0050	0	1	—	1	1	—	—	—	1
0051	8	—	—	8	8	—	8	—	—
0052	1	—	—	1	—	1	—	—	1
0053	0	—	—	0	—	—	—	—	—
0054	5	4	75	84	—	84	84	—	—
0055	4	—	2	6	—	6	6	—	—
0056	3	—	—	3	3	—	—	—	3
0057	1	—	—	1	1	—	—	—	1
0058	0	—	—	—	—	—	—	—	—
0059	0	—	—	—	—	—	—	—	—
0060	6	—	6	12	—	12	—	—	12
	82	9	95	186	66	120	104	16	66

*Note:* Table F2 shows the coded references for interpretive factors based on the beliefs expressed in the RFPs and distributed by airport governance type and hub size. Shaded lines that are paired in two denote separate RFPs from a single airport (see Footnote 1). Column 1 lists the RFPs coded anonymously (Anony = abbreviation for the word *anonymous*); Col=collaborative; Del=deleterious; Ten=tenuous; GA=government agency; IA=independent authority. All other columnar entries represent the number of related references coded.

Table F3

*Summary of Values by RFP Code, Governance Type, and Hub Size*

Anony RFP Code	Values				Governance		Hub Size		
	Col	Del	Ten	Total	GA	IA	Small	Medium	Large
0039	3	2	1	6	6	—	—	—	6
0038	—	—	—	—	—	—	—	—	—
0037	—	—	—	—	—	—	—	—	—
0036	—	—	—	—	—	—	—	—	—
0035	2	—	—	2	2	—	2	—	—
0034	—	—	—	—	—	—	—	—	—
0033	—	—	—	—	—	—	—	—	—
0032	—	—	—	—	—	—	—	—	—
0031	—	—	—	—	—	—	—	—	—
0030	—	—	—	—	—	—	—	—	—
0029	1	—	—	1	—	1	—	—	1
0028	—	1	2	3	3	—	—	—	3
0027	—	1	—	1	—	1	—	—	1
0026	—	—	—	—	—	—	—	—	—
0025	—	—	—	—	—	—	—	—	—
0024	—	—	—	—	—	—	—	—	—
0023	—	—	—	—	—	—	—	—	—
0022	—	—	—	—	—	—	—	—	—
0021	—	—	—	—	—	—	—	—	—
0020	—	1	1	2	2	—	—	—	2
0010	1	—	1	2	—	2	—	2	—
0040	—	—	—	—	—	—	—	—	—
0041	—	—	—	—	—	—	—	—	—
0042	—	—	—	—	—	—	—	—	—
0043	—	—	—	—	—	—	—	—	—
0044	—	—	—	—	—	—	—	—	—
0045	—	—	—	—	—	—	—	—	—
0046	—	—	—	—	—	—	—	—	—
0047	1	—	—	1	—	1	—	—	1
0048	—	—	—	—	—	—	—	—	—
0049	2	—	1	3	3	—	—	—	3
0050	—	—	2	2	2	—	—	—	2
0051	—	—	—	—	—	—	—	—	—
0052	—	—	—	—	—	—	—	—	—
0053	—	—	—	—	—	—	—	—	—
0054	2	1	2	5	—	5	5	—	—
0055	—	—	—	—	—	—	—	—	—
0056	—	—	1	1	1	—	—	—	1
0057	—	—	—	—	—	—	—	—	—
0058	—	1	3	4	4	—	—	4	—
0059	—	—	—	—	—	—	—	—	—
0060	—	—	2	2	—	2	—	—	2
	12	7	16	35	23	12	7	6	22

*Note:* Table F3 shows the coded references for interpretive factors based on the values expressed in the RFPs and distributed by airport governance type and hub size. Shaded lines that are paired in two denote separate RFPs from a single airport (see Footnote 1). Column 1 lists the RFPs coded anonymously (Anony = abbreviation for the word *anonymous*); Col=collaborative; Del=deleterious; Ten=tenuous; GA=government agency; IA=independent authority. All other columnar entries represent the number of related references coded.

Table F4

*Detail of Attitudes by RFP Code and Governance Type*

Anony Code	Government Agency				Independent Authority			
	Col	Del	Ten	Total	Col	Del	Ten	Total
0039	3	3	2	8	—	—	—	—
0038	—	1	1	2	—	—	—	—
0037	—	—	—	—	1	7	2	10
0036	—	—	—	—	2	1	—	3
0035	1	—	—	1	—	—	—	—
0034	—	—	—	—	—	—	—	—
0033	—	—	—	—	1	—	—	1
0032	—	—	—	—	—	—	—	—
0031	—	—	—	—	—	—	—	—
0030	1	—	—	1	—	—	—	—
0029	—	—	—	—	—	—	—	—
0028	1	—	—	1	—	—	—	—
0027	—	—	—	—	1	1	—	2
0026	—	—	—	—	—	—	1	1
0025	—	—	—	—	—	2	3	5
0024	—	—	—	—	—	—	—	—
0023	—	—	—	—	—	—	—	—
0022	1	1	—	2	—	—	—	—
0021	1	—	—	1	—	—	—	—
0020	—	—	—	—	—	—	—	—
0010	—	—	—	—	1	—	1	2
0040	—	—	—	—	—	—	—	—
0041	—	—	3	3	—	—	—	—
0042	—	—	—	—	1	—	1	2
0043	—	—	—	—	—	—	—	—
0044	—	—	—	—	—	—	—	—
0045	—	—	—	—	—	—	—	—
0046	—	—	—	—	—	—	—	—
0047	—	—	—	—	1	—	—	1
0048	—	—	—	—	—	—	—	—
0049	1	—	1	2	—	—	—	—
0050	2	—	—	2	—	—	—	—
0051	—	—	—	—	—	—	—	—
0052	—	—	—	—	—	—	—	—
0053	—	—	—	—	—	—	—	—
0054	—	—	—	—	2	7	10	19
0055	—	—	—	—	—	—	—	—
0056	1	1	2	4	—	—	—	—
0057	1	—	—	1	—	—	—	—
0058	1	2	—	3	—	—	—	—
0059	1	—	—	1	—	—	—	—
0060	—	—	—	—	1	—	—	1
	15	8	9	32	11	18	18	47

*Note:* Table F4 shows the coded references for interpretive factors based on the attitudes expressed in the RFPs and distributed by airport governance type. Shaded lines that are paired in two denote separate RFPs from a single airport (see Footnote 1). Column 1 lists the RFPs coded anonymously (Anony = abbreviation for the word *anonymous*); Col=collaborative; Del=deleterious; Ten=tenuous; All other columnar entries represent the number of related references coded.



Table F5

*Detail of Beliefs by RFP Code and Governance Type*

Anony Code	Government Agency				Independent Authority			
	Col	Del	Ten	Total	Col	Del	Ten	Total
0039	4	1	1	6	—	—	—	—
0038	1	—	1	2	—	—	—	—
0037	—	—	—	—	1	—	—	1
0036	—	—	—	—	1	—	2	3
0035	1	1	1	3	—	—	—	—
0034	—	—	—	—	—	—	—	—
0033	—	—	—	—	—	—	—	—
0032	—	—	—	—	—	—	1	1
0031	—	—	—	—	—	—	—	—
0030	—	—	—	—	—	—	—	—
0029	—	—	—	—	1	—	—	1
0028	6	—	1	7	—	—	—	—
0027	—	—	—	—	1	—	—	1
0026	—	—	—	—	1	—	—	1
0025	—	—	—	—	—	1	1	2
0024	—	—	—	—	—	—	—	—
0023	3	—	—	3	—	—	—	—
0022	5	—	—	5	—	—	—	—
0021	3	—	2	5	—	—	—	—
0020	7	—	—	7	—	—	—	—
0010	—	—	—	—	1	—	1	2
0040	—	—	—	—	—	—	—	—
0041	—	1	1	2	—	—	—	—
0042	—	—	—	—	3	—	—	3
0043	—	—	—	—	—	—	—	—
0044	—	—	—	—	—	—	—	—
0045	5	—	—	5	—	—	—	—
0046	1	—	—	1	—	—	—	—
0047	—	—	—	—	2	—	—	2
0048	—	—	—	—	—	—	—	—
0049	7	—	—	7	—	—	—	—
0050	—	1	—	1	—	—	—	—
0051	8	—	—	8	—	—	—	—
0052	—	—	—	—	1	—	—	1
0053	—	—	—	—	—	—	—	—
0054	—	—	—	—	5	4	75	84
0055	—	—	—	—	4	—	2	6
0056	3	—	—	3	—	—	—	—
0057	1	—	—	1	—	—	—	—
0058	—	—	—	—	—	—	—	—
0059	—	—	—	—	—	—	—	—
0060	—	—	—	—	6	—	6	12
	55	4	7	66	27	5	88	120

*Note:* Table F5 shows the coded references for interpretive factors based on the beliefs expressed in the RFPs and distributed by airport governance type. Shaded lines that are paired in two denote separate RFPs from a single airport (see Footnote 1). Column 1 lists the RFPs coded anonymously (Anony =abbreviation for the word anonymous); Col=collaborative; Del=deleterious; Ten=tenuous; All other columnar entries represent the number of related references coded.

Table F6

*Detail of Values by RFP Code and Governance Type*

Anony Code	Government Agency				Independent Authority			
	Col	Del	Ten	Total	Col	Del	Ten	Total
0039	3	2	1	6	—	—	—	—
0038	—	—	—	—	—	—	—	—
0037	—	—	—	—	—	—	—	—
0036	—	—	—	—	—	—	—	—
0035	2	—	—	2	—	—	—	—
0034	—	—	—	—	—	—	—	—
0033	—	—	—	—	—	—	—	—
0032	—	—	—	—	—	—	—	—
0031	—	—	—	—	—	—	—	—
0030	—	—	—	—	—	—	—	—
0029	—	—	—	—	1	—	—	1
0028	—	1	2	3	—	—	—	—
0027	—	—	—	—	—	1	—	1
0026	—	—	—	—	—	—	—	—
0025	—	—	—	—	—	—	—	—
0024	—	—	—	—	—	—	—	—
0023	—	—	—	—	—	—	—	—
0022	—	—	—	—	—	—	—	—
0021	—	—	—	—	—	—	—	—
0020	—	1	1	2	—	—	—	—
0010	—	—	—	—	1	—	1	2
0040	—	—	—	—	—	—	—	—
0041	—	—	—	—	—	—	—	—
0042	—	—	—	—	—	—	—	—
0043	—	—	—	—	—	—	—	—
0044	—	—	—	—	—	—	—	—
0045	—	—	—	—	—	—	—	—
0046	—	—	—	—	—	—	—	—
0047	—	—	—	—	1	—	—	1
0048	—	—	—	—	—	—	—	—
0049	2	—	1	3	—	—	—	—
0050	—	—	2	2	—	—	—	—
0051	—	—	—	—	—	—	—	—
0052	—	—	—	—	—	—	—	—
0053	—	—	—	—	—	—	—	—
0054	—	—	—	—	2	1	2	5
0055	—	—	—	—	—	—	—	—
0056	—	—	1	1	—	—	—	—
0057	—	—	—	—	—	—	—	—
0058	—	1	3	4	—	—	—	—
0059	—	—	—	—	—	—	2	2
0060	—	—	—	—	—	—	—	—
	7	5	11	23	5	2	5	12

*Note:* Table F6 shows the coded references for interpretive factors based on the values expressed in the RFPs and distributed by airport governance type. Shaded lines that are paired in two denote separate RFPs from a single airport (see Footnote 1). Column 1 lists the RFPs coded anonymously (Anony = abbreviation for the word *anonymous*); Col=collaborative; Del=deleterious; Ten=tenuous; All other columnar entries represent the number of related references coded.

Table F7

*Detail of Attitudes by RFP Code and Hub Size*

Anony Code	Small Hub				Medium Hub				Large Hub			
	Col	Del	Ten	Total	Col	Del	Ten	Total	Col	Del	Ten	Total
0039	—	—	—	—	—	—	—	—	3	3	2	8
0038	—	—	—	—	—	—	—	—	—	1	1	2
0037	1	7	2	10	—	—	—	—	—	—	—	—
0036	—	—	—	—	2	1	—	3	—	—	—	—
0035	1	—	—	1	—	—	—	—	—	—	—	—
0034	—	—	—	—	—	—	—	—	—	—	—	—
0033	—	—	—	—	—	—	—	—	1	—	—	1
0032	—	—	—	—	—	—	—	—	—	—	—	—
0031	—	—	—	—	—	—	—	—	—	—	—	—
0030	—	—	—	—	1	—	—	1	—	—	—	—
0029	—	—	—	—	—	—	—	—	—	—	—	—
0028	—	—	—	—	—	—	—	—	1	—	—	1
0027	—	—	—	—	—	—	—	—	1	1	—	2
0026	—	—	1	1	—	—	—	—	—	—	—	—
0025	—	—	—	—	—	—	—	—	—	2	3	5
0024	—	—	—	—	—	—	—	—	—	—	—	—
0023	—	—	—	—	—	—	—	—	—	—	—	—
0022	—	—	—	—	1	1	—	2	—	—	—	—
0021	—	—	—	—	1	—	—	1	—	—	—	—
0020	—	—	—	—	—	—	—	—	—	—	—	—
0010	—	—	—	—	1	—	1	2	—	—	—	—
0040	—	—	—	—	—	—	—	—	—	—	—	—
0041	—	—	—	—	—	—	—	—	—	—	3	3
0042	—	—	—	—	—	—	—	—	1	—	1	2
0043	—	—	—	—	—	—	—	—	—	—	—	—
0044	—	—	—	—	—	—	—	—	—	—	—	—
0045	—	—	—	—	—	—	—	—	—	—	—	—
0046	—	—	—	—	—	—	—	—	—	—	—	—
0047	—	—	—	—	—	—	—	—	1	—	—	1
0048	—	—	—	—	—	—	—	—	—	—	—	—
0049	—	—	—	—	—	—	—	—	1	—	1	2
0050	—	—	—	—	—	—	—	—	2	—	—	2
0051	—	—	—	—	—	—	—	—	—	—	—	—
0052	—	—	—	—	—	—	—	—	—	—	—	—
0053	—	—	—	—	—	—	—	—	—	—	—	—
0054	2	7	10	19	—	—	—	—	—	—	—	—
0055	—	—	—	—	—	—	—	—	—	—	—	—
0056	—	—	—	—	—	—	—	—	1	1	2	4
0057	—	—	—	—	—	—	—	—	1	—	—	1
0058	—	—	—	—	1	2	—	3	—	—	—	—
0059	—	—	—	—	1	—	—	1	—	—	—	—
0060	—	—	—	—	—	—	—	—	1	—	—	1
	4	14	13	31	8	4	1	13	14	8	13	35

*Note:* Table F7 shows the coded references for interpretive factors based on the attitudes expressed in the RFPs and distributed by airport hub size. Shaded lines that are paired in two denote separate RFPs from a single airport (see Footnote 1). Column 1 lists the RFPs coded anonymously (Anony =abbreviation for the word *anonymous*); Col=collaborative; Del=deleterious; Ten=tenuous; All other columnar entries represent the number of related references coded.

Table F8

*Detail of Beliefs by RFP Code and Hub Size*

Anony Code	Small Hub				Medium Hub				Large Hub				
	Col	Del	Ten	Total	Col	Del	Ten	Total	Col	Del	Ten	Total	
0039	—	—	—	—	—	—	—	—	4	1	1	6	
0038	—	—	—	—	—	—	—	—	1	—	1	2	
0037	1	—	—	1	—	—	—	—	—	—	—	—	
0036	—	—	—	—	1	—	2	3	—	—	—	—	
0035	1	1	1	3	—	—	—	—	—	—	—	—	
0034	—	—	—	—	—	—	—	—	—	—	—	—	
0033	—	—	—	—	—	—	—	—	—	—	—	—	
0032	—	—	1	1	—	—	—	—	—	—	—	—	
0031	—	—	—	—	—	—	—	—	—	—	—	—	
0030	—	—	—	—	—	—	—	—	—	—	—	—	
0029	—	—	—	—	—	—	—	—	1	—	—	1	
0028	—	—	—	—	—	—	—	—	6	—	1	7	
0027	—	—	—	—	—	—	—	—	1	—	—	1	
0026	1	—	—	1	—	—	—	—	—	—	—	—	
0025	—	—	—	—	—	—	—	—	—	1	1	2	
0024	—	—	—	—	—	—	—	—	—	—	—	—	
0023	—	—	—	—	—	—	—	—	3	—	—	3	
0022	—	—	—	—	5	—	—	5	—	—	—	—	
0021	—	—	—	—	3	—	2	5	—	—	—	—	
0020	—	—	—	—	—	—	—	—	7	—	—	7	
0010	—	—	—	—	1	—	1	2	—	—	—	—	
0040	—	—	—	—	—	—	—	—	—	—	—	—	
0041	—	—	—	—	—	—	—	—	—	1	1	2	
0042	—	—	—	—	—	—	—	—	3	—	—	3	
0043	—	—	—	—	—	—	—	—	—	—	—	—	
0044	—	—	—	—	—	—	—	—	—	—	—	—	
0045	—	—	—	—	—	—	—	—	5	—	—	5	
0046	—	—	—	—	1	—	—	1	—	—	—	—	
0047	—	—	—	—	—	—	—	—	2	—	—	2	
0048	—	—	—	—	—	—	—	—	—	—	—	—	
0049	—	—	—	—	—	—	—	—	7	—	—	7	
0050	—	—	—	—	—	—	—	—	—	1	—	1	
0051	8	—	—	8	—	—	—	—	—	—	—	—	
0052	—	—	—	—	—	—	—	—	1	—	—	1	
0053	—	—	—	—	—	—	—	—	—	—	—	—	
0054	5	4	75	84	—	—	—	—	—	—	—	—	
0055	4	—	2	6	—	—	—	—	—	—	—	—	
0056	—	—	—	—	—	—	—	—	3	—	—	3	
0057	—	—	—	—	—	—	—	—	1	—	—	1	
0058	—	—	—	—	—	—	—	—	—	—	—	—	
0059	—	—	—	—	—	—	—	—	—	—	—	—	
0060	—	—	—	—	—	—	—	—	6	—	6	12	
	20	5	79	104	11	—	5	16	—	51	4	11	66

*Note:* Table F8 shows the coded references for interpretive factors based on the beliefs expressed in the RFPs and distributed by airport hub size. Shaded lines that are paired in two denote separate RFPs from a single airport (see Footnote 1). Column 1 lists the RFPs coded anonymously (Anony =abbreviation for the word *anonymous*); Col=collaborative; Del=deleterious; Ten=tenuous; All other columnar entries represent the number of related references coded.

Table F9

*Detail of Values by RFP Code and Hub Size*

Anony Code	Small Hub				Medium Hub				Large Hub			
	Col	Del	Ten	Total	Col	Del	Ten	Total	Col	Del	Ten	Total
0039	—	—	—	—	—	—	—	—	3	2	1	6
0038	—	—	—	—	—	—	—	—	—	—	—	—
0037	—	—	—	—	—	—	—	—	—	—	—	—
0036	—	—	—	—	—	—	—	—	—	—	—	—
0035	2	—	—	2	—	—	—	—	—	—	—	—
0034	—	—	—	—	—	—	—	—	—	—	—	—
0033	—	—	—	—	—	—	—	—	—	—	—	—
0032	—	—	—	—	—	—	—	—	—	—	—	—
0031	—	—	—	—	—	—	—	—	—	—	—	—
0030	—	—	—	—	—	—	—	—	—	—	—	—
0029	—	—	—	—	—	—	—	—	1	—	—	1
0028	—	—	—	—	—	—	—	—	—	1	2	3
0027	—	—	—	—	—	—	—	—	—	1	—	1
0026	—	—	—	—	—	—	—	—	—	—	—	—
0025	—	—	—	—	—	—	—	—	—	—	—	—
0024	—	—	—	—	—	—	—	—	—	—	—	—
0023	—	—	—	—	—	—	—	—	—	—	—	—
0022	—	—	—	—	—	—	—	—	—	—	—	—
0021	—	—	—	—	—	—	—	—	—	—	—	—
0020	—	—	—	—	—	—	—	—	—	1	1	2
0010	—	—	—	—	1	—	1	2	—	—	—	—
0040	—	—	—	—	—	—	—	—	—	—	—	—
0041	—	—	—	—	—	—	—	—	—	—	—	—
0042	—	—	—	—	—	—	—	—	—	—	—	—
0043	—	—	—	—	—	—	—	—	—	—	—	—
0044	—	—	—	—	—	—	—	—	—	—	—	—
0045	—	—	—	—	—	—	—	—	—	—	—	—
0046	—	—	—	—	—	—	—	—	—	—	—	—
0047	—	—	—	—	—	—	—	—	1	—	—	1
0048	—	—	—	—	—	—	—	—	—	—	—	—
0049	—	—	—	—	—	—	—	—	2	—	1	3
0050	—	—	—	—	—	—	—	—	—	—	2	2
0051	—	—	—	—	—	—	—	—	—	—	—	—
0052	—	—	—	—	—	—	—	—	—	—	—	—
0053	—	—	—	—	—	—	—	—	—	—	—	—
0054	2	1	2	5	—	—	—	—	—	—	—	—
0055	—	—	—	—	—	—	—	—	—	—	—	—
0056	—	—	—	—	—	—	—	—	—	—	1	1
0057	—	—	—	—	—	—	—	—	—	—	—	—
0058	—	—	—	—	—	1	3	4	—	—	—	—
0059	—	—	—	—	—	—	—	—	—	—	—	—
0060	—	—	—	—	—	—	—	—	—	—	2	2
	4	1	2	7	1	1	4	6	7	5	10	22

*Note:* Table F9 shows the coded references for interpretive factors based on the values expressed in the RFPs and distributed by airport hub size. Shaded lines that are paired in two denote separate RFPs from a single airport (see Footnote 1). Column 1 lists the RFPs coded anonymously (Anony =abbreviation for the word *anonymous*); Col=collaborative; Del=deleterious; Ten=tenuous; All other columnar entries represent the number of related references coded.

## Appendix G: Related Attributes and Comparison Matrices

Table G1

*Competition by Airport Governance and Hub Size*

Anony Code	Governance		Total Competition	Hub Size		
	GA	IA		Small	Medium	Large
0039	1	—	1	—	—	1
0038	—	—	—	—	—	—
0037	—	—	—	—	—	—
0036	—	—	—	—	—	—
0035	—	—	—	—	—	—
0034	—	—	—	—	—	—
0033	—	—	—	—	—	—
0032	—	1	1	1	—	—
0031	—	—	—	—	—	—
0030	—	—	—	—	—	—
0029	—	—	—	—	—	—
0028	—	—	—	—	—	—
0027	—	1	1	—	—	1
0026	—	1	1	1	—	—
0025	—	1	1	—	—	1
0024	—	—	—	—	—	—
0023	—	—	—	—	—	—
0022	1	—	1	—	1	—
0021	1	—	1	—	1	—
0020	1	—	1	—	—	1
0010	—	—	—	—	—	—
0040	—	—	—	—	—	—
0041	1	—	1	—	—	1
0042	—	1	1	—	—	1
0043	—	—	—	—	—	—
0044	—	—	—	—	—	—
0045	—	—	—	—	—	—
0046	—	—	—	—	—	—
0047	—	—	—	—	—	—
0048	—	—	—	—	—	—
0049	—	—	—	—	—	—
0050	—	—	—	—	—	—
0051	2	—	2	2	—	—
0052	—	1	1	—	—	1
0053	—	—	—	—	—	—
0054	—	—	—	—	—	—
0055	—	—	—	—	—	—
0056	—	—	—	—	—	—
0057	—	—	—	—	—	—
0058	—	—	—	—	—	—
0059	—	—	—	—	—	—
0060	—	—	—	—	—	—
	7	6	13	4	2	7

*Note:* Table G1 shows distributions of coded references related to economic theories of competition that enhance or restrict competition. Column 1 lists the RFPs coded anonymously (Anony = abbreviation for the word *anonymous*). All other columnar entries represent the number of related references coded.

Table G2

*Ethics and Lobbying by Airport Governance and Hub Size*

Anony Code	Governance		Total Ethics & Lobbying	Hub Size		
	GA	IA		Small	Medium	Large
0039	1	—	1	—	—	1
0038	1	—	1	—	—	1
0037	—	1	1	1	—	—
0036	—	1	1	—	1	—
0035	1	—	1	1	—	—
0034	1	—	1	1	—	—
0033	—	—	—	—	—	—
0032	—	—	—	—	—	—
0031	—	—	—	—	—	—
0030	3	—	3	—	3	—
0029	—	—	—	—	—	—
0028	—	—	—	—	—	—
0027	—	—	—	—	—	—
0026	—	—	—	—	—	—
0025	—	—	—	—	—	—
0024	—	—	—	—	—	—
0023	6	—	6	—	—	6
0022	1	—	1	—	1	—
0021	1	—	1	—	1	—
0020	—	—	—	—	—	—
0010	—	—	—	—	—	—
0040	—	—	—	—	—	—
0041	1	—	1	—	—	1
0042	—	—	—	—	—	—
0043	1	—	1	—	—	1
0044	1	—	1	—	—	1
0045	4	—	4	—	—	4
0046	2	—	2	—	2	—
0047	—	—	—	—	—	—
0048	1	—	1	—	—	1
0049	3	—	3	—	—	3
0050	4	—	4	—	—	4
0051	—	—	—	—	—	—
0052	—	—	—	—	—	—
0053	—	—	—	—	—	—
0054	—	—	—	—	—	—
0055	—	—	—	—	—	—
0056	—	—	—	—	—	—
0057	—	—	—	—	—	—
0058	—	—	—	—	—	—
0059	—	—	—	—	—	—
0060	—	—	—	—	—	—
	32	2	34	3	8	23

*Note:* Table G2 shows distributions of coded references related to social theories of morality and ethics that demonstrate the degree of concern for inappropriate process influences considered or perceived to be unethical were distributed by airport governance type and hub size. Column 1 lists the RFPs coded anonymously (Anony = abbreviation for the word *anonymous*). All other columnar entries represent the number of related references coded.

Table G3

*Lease Term by Airport Governance and Hub Size*

Anony Code	Governance		Total Lease Term	Hub Size		
	GA	IA		Small	Medium	Large
0039	1	—	1	—	—	1
0038	1	—	1	—	—	1
0037	—	—	—	—	—	—
0036	—	—	—	—	—	—
0035	1	—	1	1	—	—
0034	1	—	1	1	—	—
0033	—	—	—	—	—	—
0032	—	3	3	3	—	—
0031	—	—	—	—	—	—
0030	—	—	—	—	—	—
0029	—	2	2	—	—	2
0028	—	—	—	—	—	—
0027	—	—	—	—	—	—
0026	—	—	—	—	—	—
0025	—	2	2	—	—	2
0024	—	—	—	—	—	—
0023	—	—	—	—	—	—
0022	1	—	1	—	1	—
0021	1	—	1	—	1	—
0020	1	—	1	—	—	1
0010	—	1	1	—	1	—
0040	—	1	1	—	—	1
0041	1	—	1	—	—	1
0042	—	1	1	—	—	1
0043	1	—	1	—	—	1
0044	1	—	1	—	—	1
0045	1	—	1	—	—	1
0046	1	—	1	—	1	—
0047	—	1	1	—	—	1
0048	—	1	1	—	—	1
0049	1	—	1	—	—	1
0050	1	—	1	—	—	1
0051	1	—	1	1	—	—
0052	—	1	1	—	—	1
0053	—	—	—	—	—	—
0054	—	1	1	1	—	—
0055	—	1	1	1	—	—
0056	—	—	—	—	—	—
0057	1	—	1	—	—	1
0058	—	—	—	—	—	—
0059	—	—	—	—	—	—
0060	—	1	1	—	—	1
	16	16	32	8	4	20

*Note:* Table G3 show distributions of coded references related to economic theories of competition that demonstrate opportunities for improving returns on investment (ROI) through depreciation and amortization of capital expenditures. Column 1 lists the RFPs coded anonymously (Anony = abbreviation for the word *anonymous*). All other columnar entries represent the number of related references coded.



Table G4

*Living Wage by Airport Governance and Hub Size*

Anony Code	Governance		Total Living Wage	Hub Size		
	GA	IA		Small	Medium	Large
0039	—	—	—	—	—	—
0038	—	—	—	—	—	—
0037	—	—	—	—	—	—
0036	—	—	—	—	—	—
0035	1	—	1	1	—	—
0034	—	—	—	—	—	—
0033	—	—	—	—	—	—
0032	—	—	—	—	—	—
0031	—	—	—	—	—	—
0030	—	—	—	—	—	—
0029	—	—	—	—	—	—
0028	1	—	1	—	—	1
0027	—	—	—	—	—	—
0026	—	—	—	—	—	—
0025	—	1	1	—	—	1
0024	—	—	—	—	—	—
0023	1	—	1	—	—	1
0022	—	—	—	—	—	—
0021	—	—	—	—	—	—
0020	—	—	—	—	—	—
0010	—	—	—	—	—	—
0040	—	—	—	—	—	—
0041	—	—	—	—	—	—
0042	—	—	—	—	—	—
0043	—	—	—	—	—	—
0044	—	—	—	—	—	—
0045	1	—	1	—	—	1
0046	—	—	—	—	—	—
0047	—	—	—	—	—	—
0048	—	—	—	—	—	—
0049	—	—	—	—	—	—
0050	1	—	1	—	—	1
0051	—	—	—	—	—	—
0052	—	—	—	—	—	—
0053	—	—	—	—	—	—
0054	—	—	—	—	—	—
0055	—	—	—	—	—	—
0056	1	—	1	—	—	1
0057	1	—	1	—	—	1
0058	—	—	—	—	—	—
0059	—	—	—	—	—	—
0060	—	—	—	—	—	—
	7	1	8	1	0	7

*Note:* Table G4 show distributions of coded references related to social theories of fairness and justice that contain requirements affecting the concessionaire's minimum wage rate. Column 1 lists the RFPs coded anonymously (Anony = abbreviation for the word *anonymous*). All other columnar entries represent the number of related references coded.

Table G5

*Protest Guidelines by Airport Governance and Hub Size*

Anony Code	Governance		Total Protest Guidelines	Hub Size		
	GA	IA		Small	Medium	Large
0039	—	—	—	—	—	—
0038	—	—	—	—	—	—
0037	—	—	—	—	—	—
0036	—	—	—	—	—	—
0035	—	—	—	—	—	—
0034	—	—	—	—	—	—
0033	—	—	—	—	—	—
0032	—	—	—	—	—	—
0031	—	—	—	—	—	—
0030	—	—	—	—	—	—
0029	—	—	—	—	—	—
0028	—	—	—	—	—	—
0027	—	—	—	—	—	—
0026	—	—	—	—	—	—
0025	—	—	—	—	—	—
0024	—	—	—	—	—	—
0023	—	—	—	—	—	—
0022	—	—	—	—	—	—
0021	—	—	—	—	—	—
0020	—	—	—	—	—	—
0010	—	5	5	—	5	—
0040	—	—	—	—	—	—
0041	1	—	1	—	—	1
0042	—	—	—	—	—	—
0043	—	—	—	—	—	—
0044	1	—	1	—	—	1
0045	2	—	2	—	—	2
0046	—	—	—	—	—	—
0047	—	—	—	—	—	—
0048	—	—	—	—	—	—
0049	—	—	—	—	—	—
0050	4	—	4	—	—	4
0051	—	—	—	—	—	—
0052	—	—	—	—	—	—
0053	—	—	—	—	—	—
0054	—	—	—	—	—	—
0055	—	—	—	—	—	—
0056	1	—	1	—	—	1
0057	2	—	2	—	—	2
0058	—	—	—	—	—	—
0059	—	—	—	—	—	—
0060	—	3	3	—	—	3
	11	8	19	0	5	14

*Note:* Table G5 show distributions of coded references related to socioeconomic theories reflected by views expressed on issues of proposal protests. Column 1 lists the RFPs coded anonymously (Anony = abbreviation for the word *anonymous*). All other columnar entries represent the number of related references coded.

Table G6

*Right of First Refusal (ROFR) by Airport Governance and Hub Size*

Anony Code	Governance		Right of First Refusal (ROFR)	Hub Size		
	GA	IA		Small	Medium	Large
0039	—	—	—	—	—	—
0038	—	—	—	—	—	—
0037	—	—	—	—	—	—
0036	—	—	—	—	—	—
0035	—	—	—	—	—	—
0034	—	—	—	—	—	—
0033	—	—	—	—	—	—
0032	—	—	—	—	—	—
0031	—	—	—	—	—	—
0030	2	—	2	—	2	—
0029	—	—	—	—	—	—
0028	—	—	—	—	—	—
0027	—	—	—	—	—	—
0026	—	—	—	—	—	—
0025	—	—	—	—	—	—
0024	—	—	—	—	—	—
0023	—	—	—	—	—	—
0022	—	—	—	—	—	—
0021	—	—	—	—	—	—
0020	—	—	—	—	—	—
0010	—	—	—	—	—	—
0040	—	—	—	—	—	—
0041	—	—	—	—	—	—
0042	—	—	—	—	—	—
0043	—	—	—	—	—	—
0044	—	—	—	—	—	—
0045	—	—	—	—	—	—
0046	—	—	—	—	—	—
0047	—	—	—	—	—	—
0048	—	—	—	—	—	—
0049	—	—	—	—	—	—
0050	—	—	—	—	—	—
0051	—	—	—	—	—	—
0052	—	—	—	—	—	—
0053	—	—	—	—	—	—
0054	—	1	1	1	—	—
0055	—	—	—	—	—	—
0056	—	—	—	—	—	—
0057	—	—	—	—	—	—
0058	—	—	—	—	—	—
0059	—	—	—	—	—	—
0060	—	—	—	—	—	—
	2	1	3	1	2	0

*Note:* Table G6 show distributions of coded references related to socioeconomic theories where incumbent concessions operators are favored. Column 1 lists the RFPs coded anonymously (Anony = abbreviation for the word *anonymous*). All other columnar entries represent the number of related references coded.

Table G7

*Street Pricing by Airport Governance and Hub Size*

Anony Code	Governance		Street Pricing	Hub Size		
	GA	IA		Small	Medium	Large
0039	—	—	—	—	—	—
0038	—	—	—	—	—	—
0037	—	—	—	—	—	—
0036	—	—	—	—	—	—
0035	—	—	—	—	—	—
0034	—	—	—	—	—	—
0033	—	1	1	—	—	1
0032	—	—	—	—	—	—
0031	—	—	—	—	—	—
0030	1	—	1	—	1	—
0029	—	—	—	—	—	—
0028	1	—	1	—	—	1
0027	—	1	1	—	—	1
0026	—	—	—	—	—	—
0025	—	—	—	—	—	—
0024	—	1	1	—	—	1
0023	—	—	—	—	—	—
0022	—	—	—	—	—	—
0021	—	—	—	—	—	—
0020	—	—	—	—	—	—
0010	—	—	—	—	—	—
0040	—	1	1	—	—	1
0041	—	—	—	—	—	—
0042	—	—	—	—	—	—
0043	—	—	—	—	—	—
0044	1	—	1	—	—	1
0045	1	—	1	—	—	1
0046	—	—	—	—	—	—
0047	—	1	1	—	—	1
0048	—	—	—	—	—	—
0049	1	—	1	—	—	1
0050	1	—	1	—	—	1
0051	—	—	—	—	—	—
0052	—	2	2	—	—	2
0053	1	—	1	—	1	—
0054	—	—	—	—	—	—
0055	—	—	—	—	—	—
0056	—	—	—	—	—	—
0057	—	—	—	—	—	—
0058	—	—	—	—	—	—
0059	—	—	—	—	—	—
0060	—	—	—	—	—	—
	7	7	14	0	2	12

*Note:* Table G7 shows distributions of coded references related to the economic theory of supply and demand where there is evidence of airport control over concessionaire pricing policy. Column 1 lists the RFPs coded anonymously (Anony = abbreviation for the word *anonymous*). All other columnar entries represent the number of related references coded.

## Appendix H: Common Concession Program Goals

The following ten goals were recommended in ACRP Report 54 for common inclusion in all concessions programs RFPs:

- Good customer service—Concession staff who are well trained, knowledgeable, friendly, and motivated, reasonable pricing, offering value for customers, variety in the concession offerings that provide plenty of choices for customers, hours of operation that match passenger demand, capacity to ensure good levels of service, even during peak periods, and consistent product quality.
- Branding and sense of place—High-performing concession programs create a strong and cohesive identity. To frequent travelers, airports tend to look similar, as do the concessions. The operators of many airports with successful concession programs have differentiated their programs by including local brands, cuisine, shops, merchandise, and services in their programs, offering local passengers both familiar brands and local favorites and nonlocal passengers variety and choice. Local brands can help differentiate the airport and create a sense of place.
- Concession theming—developing a common theme creates a unity of design and brings the attributes of the local community into the airport. Use of local materials, architectural references, history, and culture can contribute to concession theming. Vancouver International Airport is an example of an airport with strong use of theming (see Figure 3-8). Local materials, such as stone and wood, are used in Vancouver International Airport's décor; cultural references, such as native art and totems, are incorporated in its design; and exterior views of nearby mountains are incorporated. Concessions at the airport reflect this theme using design features and materials that complement the passenger terminal, creating a unity of design.
- Effective design and aesthetics— Strong retail design can motivate customers to visit concessions. For concession managers and concessionaires wishing to create effective designs, a natural tension often exists between the base building architect and the interests of good retail design. In major overseas terminal projects, it is common for a separate retail architect to be engaged to ensure that the concession program is represented in the planning and design process of the terminal.
- ACDBE Goals— ACDBE participation goals vary from airport to airport and within concession categories because the goals are based, in part, on the availability of ACDBEs and all other businesses in the market that are ready, willing, and able to seek a particular concession opportunity. ACDBE goals largely reflect local values and sensitivities, which are often influenced by minority and women's business groups, local community organizations, trade associations, and the interest in concession opportunities by DBEs. Approaches for achieving ACDBE participation goals through various contractual arrangements are addressed in Chapter 7. Although the emphasis on ACDBE participation will vary depending on local circumstances, such participation is usually reflected in most goal statements.
- Local participation— Incorporating local businesses and their concepts and products in an airport's food service and retail offerings can help differentiate the airport, stimulate additional sales, and create a sense of place that is comforting to local users and passengers and interesting to visitors and connecting passengers.

- Social responsibility and sustainability— Airports are economic engines in the communities they serve. Policymakers are increasingly focused on both economic development and social responsibility, which can be defined as the impact of the airport on society<sup>2</sup>.
- Minimizing the investment burden— The administrative costs of managing a concession program vary according to such factors as the overall size of the airport, the number of contracts and concessionaires, the relative sophistication of concession management staff, and other factors. Airport operators seeking to minimize their administrative costs tend to use concession agreements covering a larger percentage of concession space, up to and including multiple prime or master concession agreements. Minimizing administrative costs is unlikely to increase concession revenues over the long term, however, as the relative performance of airports using larger, fewer concession agreements differs from that of airports with more contracts and tenants...Minimizing administrative costs may not be cost effective if the concession program performance is suboptimal.
- Investment and revenue goals—Revenue is not a stand-alone goal. Experience has shown that airports with well-developed and highly regarded concession programs are also among the highest revenue producing airports. Not all airports are created equally and, in establishing revenue goals, the realistic assessment of the revenue potential of the airport must be made, which is best accomplished by benchmarking terminals with similar characteristics. Similarly, full development of the airport concession program's revenue potential may not be possible without capital investment in concession space; modifying existing terminal areas to add concession space; constructing common areas, such as food courts; adding utility capacity; or other investment.
- Pricing and revenue goals—Airport operators typically adopt pricing policies that influence the nature of the concession program. However, pricing is only one factor in creating value for the customer. Street pricing, while popular with customers, is only achievable if the cost structure for concessionaires, including rent, is viable.

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<sup>2</sup> According to ACRP Report 54 (Airport Cooperative Research Program et al., 2011), The Airports Council International–North America's Airport Sustainability Committee defines airport sustainability, as "A holistic approach to managing an airport so as to ensure the integrity of the Economic viability, Operational efficiency, Natural resource conservation, and Social responsibility (EONS) of the airport" (p. 38).

## Appendix I: Excerpted Congruent Case Examples From Original Data

Table I1

*Rational Choice Congruencies Examples*

Rational Choice 42/610	Sentiment Congruencies	RFPs/Airports 42/34	Sentiment Codes 491
<b>Researcher's Definition of Imprecision:</b> Evidence of commercially inclined solidarity with specific ACRP Report 54 (the benchmark document) recommended provisions.			
<b>Benchmark Recommendation:</b> None Specific			
<b>Anonymous RFP Example:</b> <i>General Civil Rights Provision. Concessionaire agrees that it shall comply with pertinent statutes, Executive Orders and such rules as are promulgated to ensure that no person shall, on the grounds of race, creed, color, national origin, sex, age, or handicap be excluded from participating in any activity conducted with or benefiting from Federal assistance. This provision binds Concessionaire from the bid solicitation period (if applicable) through the completion of the contract. This provision is in addition to that required of Title VI of the Civil Rights Act of 1964. This provision also obligates Concessionaire or its transferee for the period during which Federal assistance is extended to the Airport through the Airport Improvement Program, except where Federal assistance is to provide, or is in the form of personal property; real property or interest therein; structures or improvements thereon. In these cases, the provision obligates the party or any transferee for the longer of the following periods (Anonymous RFP 0055, p. A-35).</i>			
<b>Researcher's Annotation:</b> In approximation with ACRP Report 54 and 49 CFR Part 23			
<b>Benchmark Recommendation:</b> <i>The Two-Envelope Approach [is]...used occasionally [and] combines ... bidding to specifications with an RFP. Under this approach, technical proposals, included in the first envelope, are evaluated against...established criteria. Minimum qualifications established for consideration of technical proposals...proposals meeting minimum qualifications and achieving certain scoring threshold advance to second stage, which financial proposals...are opened...proposer[s] with the highest financial offer [are] declared the winner. Approach allows the airport operator to establish qualitative criteria to ensure only proposers meeting certain qualifications and capabilities are eligible to have their financial offers opened. Approach is helpful in ensuring that unqualified proposer does not "buy" concession by submitting a financial offer that may not be sustainable...or a financial bid that will result in unacceptable service or pricing. Approach is still used occasionally...where local procurement regulations or other considerations make it difficult to differentiate between proposers. The RFP process has, at most airports, replaced the two-envelope approach (Airport Cooperative Research Program et al., p. 58).</i>			
<b>Anonymous RFP Example:</b> <i>Proposer must provide in a separate envelope reviewed financial statements including a balance sheet and an income statement prepared by an independent Certified Public Accountant (CPA) in accordance with generally accepted accounting principles (or tax documents for a sole proprietorship) for the past three (3) complete fiscal years, including all footnotes, disclosures, and cash flow statements. Proposers must be prepared to substantiate all information shown. If Proposer intends to operate the business as a sole proprietorship, Proposer must submit in a separate envelope a personal financial statement (Attachment G) not older than ninety (90) days and his/her three (3) most recent personal tax returns. This separate envelope should be marked "Financial Statements" and must be submitted with the rest of the proposal (Anonymous RFP 0046, p. 23).</i>			
<b>Researcher's Annotation:</b> A "two envelope system" for submitting proposals for qualitative and quantitative (e.g., financials, proposed rent amount), while recommended for reducing revenue as the main rating and ranking criterion the benchmark suggests it is being replaced by the RFP process.			

Note: 42=total RFPs; 610=total rational choice reduction codes; 34=total airports; 491=total category code for congruence with the benchmark.

(table continues)

Rational Choice 42/610	Sentiment Congruencies	RFPs/Airports 42/34	Sentiment Codes 491
<b>Benchmark Recommendation:</b> “The subject of a “Cone of Silence” is addressed in several RFPs but not addressed directly in the benchmark document” ACRP Report 54.			
<b>Anonymous RFP Example 1:</b> <i>All inquiries regarding the solicitation are to be directed to the designated [REDACTED] Solicitation Contact Person identified on the first page of the solicitation. Upon issuance of the solicitation through the pre-award phase and up to the date the City Secretary publicly post notice of any City Council Agenda containing the applicable award, aside from Proposer’s formal response to the solicitation, through the pre-award phase, written requests for clarification during the period officially designated for such purpose by the City Representative, neither Proposer(s) nor persons acting on their behalf shall communicate with any appointed or elected official or employee of the City of [REDACTED] [REDACTED] their families or staff through written or oral means in an attempt to persuade or influence the outcome of the award or to obtain or deliver information intended to or which could reasonably result in an advantage to any Proposer. However, nothing in this paragraph shall prevent a Proposer from making public statements to the City Council convened for a regularly scheduled session after the official selection has been made and placed on the City Council agenda for action, or to a City Council committee convened to discuss a recommendation regarding the solicitation (p. 4). (Anonymous RFP 0020, p. 4).</i>			
<b>Anonymous RFP Example 2:</b> <i>No Unauthorized Contact by Proposers. Upon the advertisement or other publication of notice of these Proposal Documents until such time as an Award is made with respect thereto, there shall be no communication or contact initiated by Proposers, potential Proposers, or their representatives directed at members of the Authority’s board, its employees, its consultants....If the Authority currently contracts with a Proposer, this policy shall not prohibit communications between the Authority and such Proposer to the extent they relate to the existing contract and not the ongoing Proposal process....Contact by the Authority. This policy shall not prohibit Authority employees or representatives from contacting a Proposer for the purpose of obtaining further information (Anonymous RFP 0054, p. 7).</i>			
<b>Anonymous RFP Example 3:</b> <i>Anti-Lobbying Provision: All respondents, including agents, employees, representatives, lobbyists, attorneys and proposed partner(s), subcontractor(s) or joint venturer(s), will refrain, under penalty of the respondent’s disqualification, from direct or indirect contact for the purpose of influencing the selection or creating bias in the selection process with any person who may play a part in the selection process (Anonymous 0038, p. 33).</i>			
<b>Researcher’s Annotation:</b> The three examples illustrate the way airports attempt to shield policy makers and implementers from those seeking to gain undue influence over solicitation outcomes.			

(table continues)



Rational Choice 42/610	Sentiment Congruencies	RFPs/Airports 42/34	Sentiment Codes 491
<p><b>Benchmark Recommendation:</b> <i>Because of their specific check-in and boarding processes, airlines may often require that international passengers arrive at the airport more than 2 hours in advance of their scheduled departure time. This longer dwell time is conducive to shopping and eating. Airport operators should try to capitalize on this longer dwell time as much as possible. Conversely, airlines may place limits on how early a passenger can check baggage for a flight, creating demand for landside concessions pre-security (Airport Cooperative Research Program et al., 2011, p. 41).</i></p>			
<p><b>Anonymous RFP Example:</b> <i>Flight delays are not uncommon. An airport is affected by weather not only here, but in other parts of the country, as well. This results in a significant population of travelers at [REDACTED] at unusual hours. The concession operations plan must be flexible enough to provide extended hours to accommodate the additional demand for food service and retail items and customer service opportunities these delays afford (Anonymous RFP 0047, p. 6).</i></p>			
<p><b>Researcher’s Annotation:</b> In agreement with benchmark customer service provisions.</p>			
<p><b>Benchmark Recommendation:</b> <i>While subleases and joint ventures are the primary types of arrangements with and between non-ACDBEs and ACDBEs, instruments such as leases, permits, contracts, and other arrangements are also used (e.g., management contracts and goods and services contracts). When the ACDBE’s gross receipts generated by these instruments and arrangements are to be counted toward ACDBE goals, they must be evaluated to ensure that the ownership, ACDBE roles and responsibilities, and other provisions of the agreement are consistent with the requirements of the solicitation and 49 CFR Part 23 (Airport Cooperative Research Program et al., 2011, p. 114).</i></p>			
<p><b>Anonymous RFP Example:</b> “If respondent is proposing a franchised or licensed brand owned by another entity, respondent must provide evidence of its rights to franchise or license and operate the brand at the Airport” (Anonymous RFP 0030, p. 39).</p>			
<p><b>Researcher’s Annotation:</b> The airport is protecting all proponents from those who might choose to submit proposals for franchises that are not current. Requiring a respondent to show proof of authorization as a franchisee at the time of an RFP response eliminates hedging.</p>			

(table continues)

Rational Choice 42/610	Sentiment Congruencies	RFPs/Airports 42/34	Sentiment Codes 491
<p><b>Benchmark Recommendation:</b> <i>10.6.3 Unrealistic Sales Projections: The use of unrealistic sales and revenue projections presents a potential problem in evaluating financial performance. Proposers may feel pressure to overstate expected sales to avoid appearing less competent than their competitors may. In a few cases, proposers may grossly overstate sales and revenues to provide a basis for challenging the award if unsuccessful (Airport Cooperative Research Program et al., 2011, p. 165).</i></p>			
<p><b>Anonymous RFP Example:</b> <i>Provide projection of sales, expenses, net income and cash flow for each store location. Projected gross sales in years 2 thru 10 should not exceed 10% of the prior year projections. Describe major assumptions. Use the following format for a separate projection for each location. Attach additional sheets as necessary. Also, provide a grand total to include total operation of all of the locations (Anonymous RFP 0021, p. 82).</i></p>			
<p><b>Researcher's Annotation:</b> This RFP provision helps prevent fluffing of proponent sales projections.</p>			
<p><b>Benchmark Recommendation:</b> "Preproposal conferences provide airport staff with the opportunity to explain the RFP, form of concession agreement, design guidelines, airport operating characteristics, and current performance, as well as other information a proposer will need to submit a fully responsive proposal" (Airport Cooperative Research Program et al., 2011, p. 166).</p>			
<p><b>Anonymous Example:</b> <i>PRE-PROPOSAL CONFERENCE: A Pre-proposal Conference will be held on May 21, 2008, at 10:30 A.M. at [REDACTED] for all interested parties and attendance is recommended, but not mandatory. Any changes to the Request for Proposals will be by written addendum (Anonymous RFP 0044, p. ADV 3).</i></p>			
<p><b>Researcher's annotation:</b> This is one of the ways to ensure process transparency.</p>			

(table continues)

<b>Rational Choice</b> <b>42/610</b>	<b>Sentiment</b> <b>Congruencies</b>	<b>RFPs/Airports</b> <b>42/34</b>	<b>Sentiment Codes</b> <b>491</b>
<p><b>Benchmark Recommendation:</b> The success of any concession program partially results from developing a thorough knowledge of the airport’s market segments and adapting the concession mix to the needs, wants, and preferences of these segments. These market segments must first be identified and defined and may vary significantly from one airport to another and from one terminal or concourse to another in the same airport. For example, Terminal 4 at New York’s Kennedy International Airport has a very different customer profile compared to the customer profiles at other terminals at the airport because of the large and diverse number of airlines operating from that terminal. Furthermore, the wants and needs of the customers should be defined in terms of their preferences for concession types and categories, products, services, and brands. The definition of these preferences is most often determined using market research tools, such as direct customer surveys. Only after these preferences are defined will it be possible for the airport operator to fine-tune its concession program to respond accordingly, optimizing the locations of concessions and maximizing the level of service, gross sales, airport revenue, spend per passenger, and space productivity. (Airport Cooperative Research Program et al., p. 41).</p>			
<p><b>Anonymous RFP Example:</b> <i>The Authority is committed to and promotes a diverse and inclusive environment in all its activities. The Authority’s Concession Development Program (“CDP”) is designed to assure that a diversity of concepts and concessionaires are represented at the Airport; and that the selection process encourages healthy competition, and maximizes passenger satisfaction. Additionally, the CDP seeks to ensure a positive and competitive environment that provides opportunities to participate for local and disadvantaged (ACDBE/DBE) businesses, as well as opportunities for existing and new concessionaires. (Anonymous RFP 0052, p. 3).</i></p>			
<p><b>Researcher’s Annotation:</b> In close approximation with ACRP Report 54 and 49 CFR Part 23.</p>			

(table continues)

Table I2

*Social Justice Congruencies Examples*

Social Justice 42/618	Sentiment Congruencies	RFPs/Airports 42/34	Sentiment Codes 476
<p><b>Researcher's Definition:</b> Evidence of justice featuring a willingness to work with the successful proponents that is fair minded, tolerant, forward thinking, and not motivated entirely by selfish individual aims. Showing evidence of a relationship that will not be contractually oppressive, unduly arbitrative, or contemptuous. Showing ease of accessibility and approachability.</p> <p><b>Benchmark Recommendation:</b> <i>Verbatim assurances set forth in 49 CFR Part 23, §23.9, must be included in all concession agreements (including management contracts subject to 49 CFR Part 23 requirements) executed with any firm after April 21, 2005, as follows (49 CFR Part 23, §23.9):</i></p> <p style="padding-left: 40px;"><i>This agreement is subject to the requirements of the U.S. Department of Transportation's regulations, 49 CFR Part 23. The concessionaire or contractor agrees that it will not discriminate against any business owner because of the owner's race, color, national origin, or sex in connection with the award or performance of any concession agreement, management contract, or subcontract, purchase or lease agreement, or other agreement covered by 49 CFR Part 23. The concessionaire or contractor agrees to include the above statements in any subsequent concession agreement or contract covered by 49 CFR Part 23, that it enters and cause those businesses to similarly include the statements in further agreements (Airport Cooperative Research Program et al., 2011 p. 105).</i></p> <p><b>Anonymous RFP Example:</b> <i>General Civil Rights Provision. Concessionaire agrees that it shall comply with pertinent statutes, Executive Orders and such rules as are promulgated to ensure that no person shall, on the grounds of race, creed, color, national origin, sex, age, or handicap be excluded from participating in any activity conducted with or benefiting from Federal assistance. This provision binds Concessionaire from the bid solicitation period (if applicable) through the completion of the contract. This provision is in addition to that required of Title VI of the Civil Rights Act of 1964. This provision also obligates Concessionaire or its transferee for the period during which Federal assistance is extended to the Airport through the Airport Improvement Program, except where Federal assistance is to provide, or is in the form of personal property; real property or interest therein; structures or improvements thereon. In these cases, the provision obligates the party or any transferee for the longer of the following periods (Anonymous RFP 0055, p. A-35).</i></p> <p><b>Researcher's Annotation:</b> In approximation with ACRP Report 54 and 49 CFR Part 23.</p>			

*Note:* 42=total RFPs; 618=total social justice reduction codes; 34=total airports; 476=total category code for congruence with the benchmark.

*(table continues)*

Social Justice 42/618	Sentiment Congruencies	RFPs/Airports 42/34	Sentiment Codes 476
<p><b>Benchmark Recommendation:</b> <i>Current concession employees can be an influential stakeholder group in the concession procurement process. Issues important to concession employees should be considered at the airport operator’s policy-making level, as they have the potential to shape business terms and the structuring of contract packages. The emphasis on these terms and packages will vary depending on local circumstances, and they may receive special attention at airports that engage concessionaires with unionized employees (Airport Cooperative Research Program et al., 2011, p. 169).</i></p>			
<p><b>Anonymous RFP Example:</b> <i>The Airport believes that a high quality and stable work force is key to providing outstanding customer service. The City is seeking organizations that are "employers of choice." Concessionaire is expected to maintain a positive work environment that encourages the development and growth of all employees. Concessionaire is expected to maintain favorable turnover rates compared to like businesses in the industry. Failure to do so may result in non-renewal or termination of this Agreement (Anonymous RFP 0039, p. 78).</i></p>			
<p><b>Researcher’s Annotation:</b> This provision promotes fairness and fits well with the benchmark.</p>			
<p><b>Benchmark Recommendation:</b> “Airport policymakers are placing increased importance on sustainability in airport concession” (Airport Cooperative Research Program et al., 2011, p. 185). development. Sustainability practices at airports go beyond recycling</p>			
<p><b>Anonymous RFP Example:</b> “The Authority has adopted a sustainability Master Plan and encourages Concessionaire to incorporate sustainability practices in its facility design and operations that are consistent with the Authority’s objectives” (Anonymous RFP 0060, p. 9).</p>			
<p><b>Researcher’s Annotation:</b> This RFP provides for the recommended social initiative.</p>			
<p><b>Benchmark Recommendation:</b> “Concessionaires and airport operators must make good faith efforts to achieve ACDBE participation...Good faith efforts are defined as...not rejecting ACDBEs as being unqualified without sound reasons based on a thorough investigation of their capabilities” (Airport Cooperative Research Program et al., 2011, pp. 106-107).</p>			
<p><b>Anonymous RFP Example:</b> <i>Pursuant to Section 2-8.6 of the Code, the Proposer must disclose, at the time the Proposal is submitted, if the Proposer or any of its officers, directors, or executives have been convicted of a felony during the past (1 0) years. Failure to disclose such conviction may result in the debarment of the Proposer who knowingly fails to make the required disclosure or to falsify information. Following contract award, if a principal of the contracting entity is convicted of a felony, the County may terminate the contract (Anonymous RFP 0045, p. 29).</i></p>			
<p><b>Researcher’s Annotation:</b> The RFP specifies “conviction” as a determining factor, not “charged,” which correlates with the “fairness” spirit of the benchmark.</p>			

(table continues)

Social Justice 42/618	Sentiment Congruencies	RFPs/Airports 42/34	Sentiment Codes 476
<p><b>Benchmark Recommendation:</b> <i>A well thought out and transparent contracting process, including selection criteria and contract award, are also important elements in achieving ACDBE participation. A transparent contracting process is one that is documented, open to public scrutiny, and applied consistently for each contract opportunity. The contracting process should be audited on a regular basis to ensure consistent application at each stage of the process. Along with assessing the process, it is imperative that contracting staff receive continuous training to ensure competency. Transparency does not ensure that the contracting process is free of barriers. A transparent process allows for process review by stakeholders who may have different perspectives or who may offer alternatives to the existing process and raise questions that evoke fresh thinking about ways to level the playing field for businesses interested in airport concession opportunities (Airport Cooperative Research Program et al., 2011, p. 112).</i></p>			
<p><b>Anonymous RFP Example:</b> <i>The proposer warrants that no person or selling agent has been employed or retained to solicit or secure the lease upon an agreement or understanding for a commission, percentage, brokerage, or contingent fee, excepting bona fide employees or bona fide established commercial or selling agencies maintained by the proposer for the purpose of securing business. (Anonymous RFP 0049, p. 22).</i></p>			
<p><b>Anonymous RFP Example:</b> <i>Pursuant to State Finance Law [REDACTED], this RFP includes and imposes certain restrictions on communications between the Authority [REDACTED] and an Applicant. During the procurement process, an Applicant is restricted from making contacts from the earliest notice of intent to solicit proposals through final award and approval of the Professional Services Contract by the Authority (“restricted period”) to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law [REDACTED] (Anonymous RFP 0051, p. 4).</i></p>			
<p><b>Anonymous RFP Example:</b> <i>“Upon the advertisement or other publication of notice of these Proposal Documents until such time as an Award is made with respect thereto, there shall be no communication or contact initiated by Proposers, potential Proposers, or their representatives “ (Anonymous RFP 0060, p. 9).</i></p>			
<p><b>Anonymous RFP Example: NO CONTACT PERIOD</b>  <i>Neither Proposer(s) nor any person acting on Proposer(s)’ behalf shall attempt to influence the outcome of the contract award by the offer, presentation or promise of gratuities, favors, or anything of value to any appointed or elected official or employee of the City of Houston, their families or staff members. All inquiries regarding the solicitation are to be directed to the designated HAS Solicitation Contact Person identified on the first page of the Solicitation. Upon issuance of the Solicitation through the pre-award phase and up to the date the City Secretary publicly post notice of any City Council agenda containing the applicable award, aside from Proposer’s formal response to the Solicitation, through the pre-award phase, written requests for clarification during the period officially designated for such purpose by the City Representative neither Proposer(s) nor persons acting on their behalf shall communicate with any appointed or elected official or employee of the City of Houston, their families or staff through written or oral means in an attempt to persuade or influence the outcome of the award or to obtain or deliver information (Anonymous RFP 0022, p. 6).</i></p>			
<p><b>Researcher’s Annotation:</b> <i>Each provision promotes fairness and fits well with the “fair and equitable” benchmark features.</i></p>			

(table continues)

Social Justice 42/618	Sentiment Congruencies	RFPs/Airports 42/34	Sentiment Codes 476
<p><b>Benchmark Recommendation:</b> “Concession agreements create the obligations of the parties. While not all potential issues can be foreseen, clearly defining each party’s obligations under the agreement helps avoid or minimize responsibility uncertainties and associated disputes throughout the term of the agreement...” (Airport Cooperative Research Program et al., 2011, p. 145-153).</p>			
<p><b>Anonymous RFP Example:</b> <i>Authority shall have the right to adopt and enforce the Rules and Regulations and operating performance standards with respect to the use of the Premises and related facilities. Authority may amend or modify such Rules and Regulations and operating performance standards from time to time after prior notice, which is reasonable under the circumstances, to Concessionaire. From time to time, Authority may issue directives or advisories that provide information to all Airport tenants regarding issues that affect operations at the Airport. Concessionaire shall be responsible for distributing copies of such directives or advisories to all Concession Operators on a timely basis to ensure that all Concession Operators are aware of the contents thereof and able to comply therewith. Concessionaire is responsible for complying with, and ensuring that each Concession Operator complies with, the Rules and Regulations as they exist from time to time, including, without limitation, the Airport Security Plan. (Anonymous RFP 0037, p. 36).</i></p>			
<p><b>Anonymous RFP Example:</b> <i>Upon receipt of a proper and timely filed written Notice of Protest, the Director or his/her designee shall acknowledge receipt and forward the same to the CEO with a request for the appointment of the Protest Appeals Board (“PAB”), which will schedule and provide notice of the time, date and place it will hear the protest, which notice shall be provided in writing to the Protestant and to those persons or entities that may be directly affected by the resolution of the protest (Anonymous RFP 0010, p. 11).</i></p>			
<p><b>Researcher’s Annotation:</b> Straightforward demonstration of intent to uphold legal ordinance and strict contract interpretation.</p>			
<p><b>Anonymous RFP Example:</b> <i>Respondents that fail to meet the participation goals will be required to submit additional information to assist JAA in determining if the Respondent made acceptable good faith efforts to meet the goals. Failure to provide such additional information as may be reasonably required by JAA will be considered grounds for rejection of the proposal as nonconforming (Anonymous RFP 0010, p. 25).</i></p>			
<p><b>Researcher’s Annotation:</b> This provision is both congruent with the power of the airport and can be used to justify result preferences.</p>			
<p><b>Anonymous RFP Example:</b> <i>Price Adjustments: Concessionaire shall be required to receive written approval from the Authority prior to any increase in the price of any product or service sold or offered from the Premises that increases the price of products in excess of the pricing limits stipulated in Section 4.29 of this Agreement. Any such request must be accompanied by a survey of the Authority-approved PCLs. The Concessionaire shall provide text descriptions, and any other appropriate information supporting the rationale and justification for the increase requested. The increase in price of any product or service by Concessionaire without such prior written consent shall be deemed a material breach of this Agreement. Concessionaire shall be permitted to mark-down or reduce any such pre-priced product or product as a sales promotion or stock reduction measure (Anonymous RFP 0055, p. 12).</i></p>			
<p><b>Researcher’s Annotation:</b> Straightforward demonstration of intent to uphold strict contract pricing policy interpretation (“power”).</p>			

## Appendix J: Excerpted Imprecise Case Examples From Original Data

Table J1

*Rational Choice Imprecisions Examples*

Rational Choice 42/610	Sentiment Imprecisions	RFPs/Airports 42/34	Sentiment Codes 119
<p><b>Researcher's Definition of Imprecision:</b> Statements showing current evidence of or potential for bias and/or behavior or response that could favor one or more proposers or category of proposers or prove to be contractually contentious after an award are made; and/or a contractual provision, clause, or policy that is neither adversarial nor cooperative, which may prove to be detrimental to the concessionaire if misapplied.</p>			
<p><b>Benchmark Recommendation:</b> <i>The airport community is small and word travels quickly; it would not be in the concessionaire's best interests to earn a reputation as an uncooperative exiting tenant when it will be competing for spaces at other airports. Fortunately, cooperation between the incoming and outgoing concessionaire is based on an expectation of reciprocity, as the roles will likely be reversed someday</i> (Airport Cooperative Research Program et al., 2011, p. 214).</p>			
<p><b>Anonymous RFP Example:</b> None specific</p>			
<p><b>Researcher's Annotation:</b> The term "uncooperative" can be very subjective. Report 54 probably should explore this so as not to present the false impression that a concessionaire's justifiable disagreement with an airport administration's contract interpretation is automatically reduced to refractory behavior and industry-wide "blackballing" from future opportunities. Therefore, this statement, as written, advances a potentially deleterious attitude.</p>			
<p><b>Benchmark Recommendation:</b> None specific</p>			
<p><b>Anonymous RFP Example:</b> <i>Only those Offerors that submit proposals for Package A and Package B may elect to submit a proposal for Package C (Both Airports). Package C is intended to provide Offerors an opportunity to improve on their proposals submitted for Packages A and B, should the Offeror determine there to be efficiencies in the event Offeror were awarded a single contract. [REDACTED]. Individual proposals for Package C only will not be accepted"</i> (Anonymous 0032, p. 6).</p>			
<p><b>Researcher's Annotation:</b> This language may result in a condition of obfuscation where an accumulation of creative responses could present the evaluation committee with several "right versus right" ethical dilemmas in ranking and rating RFP proponent responses</p>			
<p><b>Benchmark Recommendation:</b> None specific</p>			
<p><b>Anonymous Example:</b> [REDACTED] <i>reserves the right to select elements from different Proposals and to combine and consolidate them in any way that best serves [REDACTED]'s interest. [REDACTED] reserves the right to reduce the scope of the project and evaluate only the remaining elements from all Proposals. [REDACTED] reserves the right to reject specific elements contained in all Proposals and to complete the evaluation process based only on the remaining items</i> (Anonymous 0022, p. 8).</p>			
<p><b>Researcher's Annotation:</b> By reserving the right to change the scope of the project and to evaluate selective elements the proposal becomes more subjective and creates greater uncertainty for proposers.</p>			

*Note:* 42=total RFPs; 610=total rational choice reduction codes; 34=total airports; 119=total category codes for imprecision with the benchmark.

(table continues)



Rational Choice 42/610	Sentiment Imprecisions	RFPs/Airports 42/34	Sentiment Codes 119
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**Benchmark Recommendation:** None specific

**Anonymous Example:** “Provide details if Proponent has been charged with a criminal offense within the last ten (10) years” (Anonymous RFP 0039, p. 46)

**Researcher’s Annotation:** Being charged with a crime is not the same as being convicted and there is the question of whether “proponent” is corporate or individual.

**Anonymous Example:** *BASIS FOR AWARD OF CONCESSION. The Authority will make the Award to the Proposer, who, in the Authority’s sole judgment is determined to be the best-qualified and responsible Proposer and whose Proposal, in the Authority’s sole judgment, is deemed the most desirable and advantageous to the Authority, even if such Proposal does not offer the highest monetary return to the Authority. The Award is expected to be made within 90 Calendar Days after the opening of Proposals, but in no case will an Award be made until the financial responsibility, operational ability, and standards of the successful Proposer have been investigated and found by the Authority, in the Authority’s sole discretion, to provide adequate assurance of the Proposer’s ability to fulfill the terms of the News/Gift/Specialty Retail Concession Agreement. The Authority reserves the right to waive any formality or irregularity in any Proposal, Bank Letter of Credit or Surety Bond, to reject any or all Proposals or to negotiate for the modification of any Proposal with its Proposer. Submission of a Proposal shall obligate the Proposer to enter into a News/Gift/Specialty Retail Concession Agreement with the Authority in accordance with the accepted Proposal and these Agreement Documents. It is specifically understood that the Authority may accept any Proposal in its entirety without negotiation, and the Proposer shall be obligated to enter into a News/Gift/Specialty Retail Concession Agreement with the Authority reflecting that Proposal.* (Anonymous RFP 0055, p. GC10)

**Researcher’s annotation:** This provision is written in such a way as to give the airport authority absolute power over the entire evaluation, contract award, and contract implementation process. As such, I am categorizing it as "Neutral or Tentative" under all factor categories.

**Anonymous Example:** *In addition to the statutory landlord’s lien, Concessionaire grants to City a valid security interest in all goods, wares, equipment, fixtures, furniture, improvements and other personal property located now or in the future within the Premises, including the proceeds of such items, to secure payment of all rentals and other sums of money becoming due from Concessionaire under this Agreement, and to secure payment of any damages or losses that City may suffer by reason of the breach by Concessionaire of this Agreement. Concessionaire may not remove such goods, wares, equipment, fixtures, furniture, improvements and other personal property located now or in the future within the Premises from the Premises without the written consent of City until all arrearages in rent, as well as any other sums of money then due to City under this Agreement, have been paid and discharged and all the covenants, agreements and conditions of this Agreement have been fully complied with and performed by Concessionaire* (Anonymous 0039, p. 100).

**Researcher’s Annotation:** Pledging assets in this manner safeguards public interest issue of finance but also may negatively affect the concessionaire’s ability to borrow funds, which disproportionately favors the more financially robust firm and harms the smaller firm.

(table continues)

Rational Choice 42/610	Sentiment Imprecisions	RFPs/Airports 42/34	Sentiment Codes 119
<b>Benchmark Recommendation:</b> None specific			
<p><b>Anonymous Example:</b> <i>In addition to the statutory landlord's lien, Concessionaire grants to City a valid security interest in all goods, wares, equipment, fixtures, furniture, improvements and other personal property located now or in the future within the Premises, including the proceeds of such items, to secure payment of all rentals and other sums of money becoming due from Concessionaire under this Agreement, and to secure payment of any damages or losses that City may suffer by reason of the breach by Concessionaire of this Agreement. Concessionaire may not remove such goods, wares, equipment, fixtures, furniture, improvements and other personal property located now or in the future within the Premises from the Premises without the written consent of City until all arrearages in rent, as well as any other sums of money then due to City under this Agreement, have been paid and discharged and all the covenants, agreements and conditions of this Agreement have been fully complied with and performed by Concessionaire (Anonymous 0039, p. 100).</i></p>			
<p><b>Researcher's Annotation:</b> Pledging all assets in this manner safeguards public interest issue of finance on the one hand but also may negatively affect the concessionaire's ability to borrow funds, which disproportionately favors the more financially robust firm and harms the smaller firm.</p>			
<p><b>Anonymous Example:</b> <i>The Manager of Aviation reserves the right to reject any or all proposals, to waive irregularities and technicalities, to re-advertise, to otherwise provide the services, or to proceed in the best interest of the City and County of ██████████. The Manager may, at her sole discretion, modify or amend all provisions herein, including the terms of the sample concession agreement. Information is available to help you assess this concession opportunity (Anonymous 0028, p. 2).</i></p>			
<p><b>Researcher's Annotation:</b> This provision effectively helps to set aside any objective evaluation criteria and relegate the process to a political outcome.</p>			
<p><b>Anonymous Example:</b> <i>The goal of the Airport Authority and the Concessions and Quality Assurance Department (Concessions) is to create a concession program that will provide a variety of essential, yet practical services to the public while maximizing both the revenue to the Airport Authority and the sales to Concessionaires (Anonymous 0025, p. 13).</i></p>			
<p><b>Researcher's Annotation:</b> Ambiguous meanings as to what are "essential" and/or "practical."</p>			

(table continues)

Rational Choice 42/610	Sentiment Imprecisions	RFPs/Airports 42/34	Sentiment Codes 119
<p><b>Benchmark Recommendation:</b> <i>Place less emphasis on the proposer's financial size. Demonstrating the financial capacity to build and operate the concessions is relevant. Beyond a certain level, however, the proposer's financial size becomes irrelevant. Awarding points for excess financial capacity is a hidden bias that may unfairly discriminate against smaller companies and favor larger ones when both have the financial capacity to develop and operate the concession (Airport Cooperative Research Program et al., p. 169).</i></p>			
<p><b>Anonymous Example:</b> <i>PROPOSER QUALIFICATIONS. "...Proposer shall...furnish the Authority satisfactory evidence of its financial responsibility. Such evidence of financial responsibility, unless otherwise specified, shall consist of a confidential statement or report of the Proposer's financial resources and liabilities as of the last calendar year or ...last fiscal year...Proposer shall further certify that its financial responsibility is approximately the same, or better, at the time the Proposal is submitted, as it was stated or reported by the certified public accountant. If the Proposer's financial responsibility had changed, the Proposer shall qualify the public accountant's statement or report to reflect Proposer's true financial condition at the time such qualified statement or report is submitted to the Authority...considered qualified to operate the News/Gift/Specialty Retail Concession hereunder, each Proposer shall meet the following minimum qualifications:</i></p> <p><i>A.... Proposer must, at a minimum, have been in the news/gift/specialty retail business for the last five (5) years and must have directly operated and managed multiple retail stores (no less than three (3) stores at any one time) in an airport, transportation center, mall or other prominent setting generating a minimum of \$500,000 annual Gross Receipts per store in at least three (3) locations for at least three (3) of the last five (5) years.</i></p> <p><i>B...Must...provide proof of the skill, experience and financial backing necessary to install, maintain and service a News/Gift/Specialty Retail Concession.</i></p> <p><i>C...It is mandatory that the individual, partnership, joint venture, corporation, limited liability company or other entity submitting a Proposal, either as presently constituted or existing as a result of a business reorganization, have the above minimum qualifications and if such is found not to be the case, any Proposal submitted ... will be rejected. In the case of a Proposal submitted by a partnership or joint venture, at least one of the general partners thereof or one of the constituent members of such joint venture must possess said minimum qualifications. Proposers may be newly formed entities (joint ventures, limited liability companies) provided that the company is qualified as follows: Each of the owners who own an aggregate of 51% or more of the Proposer must satisfy the minimum qualifications....</i></p> <p><i>D...If the Proposer is a joint venture or partnership, the Qualifications Questionnaire and Financial Information must be submitted separately for each participant in the joint venture or general partner in the partnership, except that the submission of financial information may be limited to the assets of the joint venture or partnership, if so indicated, in the discretion of the Proposer (Anonymous RFP #0054, pp. GC5-6):</i></p>			
<p><b>Researcher's Annotation:</b> <i>Pledging all assets in this manner safeguards public interest issue of finance on the one hand but also may negatively affect the concessionaire's ability to borrow funds, which disproportionately favors the more financially robust firm and harms the smaller firm.</i></p>			

(table continues)

<b>Rational Choice</b> <b>42/610</b>	<b>Sentiment</b> <b>Imprecisions</b>	<b>RFPs/Airports</b> <b>42/34</b>	<b>Sentiment Codes</b> <b>119</b>
<b>Rational Choice</b> <b>42/610</b>	<b>Sentiment</b> <b>Imprecisions</b>	<b>RFPs/Airports</b> <b>42/34</b>	<b>Sentiment Codes</b> <b>119</b>

**Anonymous RFP Example:** Offeror(s) must further demonstrate the financial ability to finance and undertake the monetary commitments required to successfully develop, construct and operate the proposed advertising concession. Generally, this means that the Offeror must have a net worth greater than the proposed investment, or demonstrated access to credit or other funds sufficient to undertake the proposed investment, execute the program and satisfy the contract requirements. Offeror(s) shall identify the amount of working capital required as well as the source of such working capital. C. Offeror(s) must submit audited annual financial statements in accordance with generally accepted accounting principles (GAAP) for the past two (2) years and in addition, include Dunn & Bradstreet Report or Federal tax forms filed with the Internal Revenue Service for the past two years (Anonymous RFP #0029, p. 8)

**Researcher's annotation:** The statement in RFP 0054 appears to be in contradiction to the benchmark document which states, in part, “: Place less emphasis on the proposer’s financial size.”

**Anonymous RFP Example:** [REDACTED] reserves the right to select elements from different Proposals and to combine and consolidate them in any way that best serves [REDACTED] interest. [REDACTED] reserves the right to reduce the scope of the project and evaluate only the remaining elements from all Proposals. [REDACTED] reserves the right to reject specific elements contained in all Proposals and to complete the evaluation process based only on the remaining items (Anonymous RFP 0022, p. 8).

**Researcher's Annotation:** Reserving the right to change the scope of the project and to evaluate selective elements creates greater uncertainty for proposers.

**Anonymous Example:** The percentages of gross receipts stated in Table [REDACTED] Proposer must submit proposed rent in the form of a percentage for the Assigned Area included in this RFP. The Authority has established the lowest acceptable percentage rent by category in Table [REDACTED] below. Proposers may propose higher percentage rents if desired and tiered structures are acceptable. If proposed rent varies by product category, by sales level thresholds, or by contract year, Proposers must provide the necessary detail (Anonymous RFP #0032, p. 19).

**Researcher's annotation:** This language may result in a condition of obfuscation where a greater number of creative responses that, cumulatively, could present the evaluation committee members with several dilemmas in their ranking and rating efforts.

(table continues)

Rational Choice 42/610	Sentiment Imprecisions	RFPs/Airports 42/34	Sentiment Codes 119
<p><b>Anonymous Example:</b> <i>An evaluation panel (“Panel”) established by the Authority will evaluate the Proposals in accordance with Part 5 below. The Panel may consist of members from within and/or outside the Authority. The Panel may short-list Respondents to this RFP in an effort to identify the highest-ranked Respondents. Respondents may be requested by the Authority to provide additional information to support their Proposals. Respondents may be requested to participate in an oral interview or presentation to the Panel prior to final selection among the qualified Respondent’s (Anonymous 0052, p.)</i></p>			
<p><b>Researcher’s Annotation:</b> Allows for open-ended implementation of stated evaluation policy, which could influence final decision outcomes I am rating this as "self-serving" across several factors.  <b>Anonymous RFP Example:</b> “The City intends to award the concessions offered by this RFP to responsive, qualified, and responsible respondents who provide the best overall proposals” (Anonymous 0030, p. 13).</p>			
<p><b>Researcher’s annotation:</b> Defining "responsive," "responsible," and “best overall” is subjective and very difficult to justify without defining metrics.  <b>Anonymous Example:</b> <i>The Airports Authority is using a competitively negotiated procurement process and will award the concessions offered by this RFP to the qualified and responsible Offeror or Offerors which provide the offer(s) that, in the Airports Authority’s sole opinion, provides the “best value” to the Airports Authority or “best” meets the objectives of the Airports Authority. The Airports Authority is not required to select from among the proposals submitted on any package, the proposal with the highest financial offer (i.e., capital investment and MAG). The award will be made to the Offeror(s) whose proposal is judged to offer the “best value,” or to be most advantageous to the Airports Authority based on technical merit and financial offer collectively (Anonymous 0029, p. 30).</i></p>			
<p><b>Researcher’s Annotation:</b> A “competitive negotiation” is recommended in ACRP Report 54 “...where there are a small number of potential service suppliers” (Airport Cooperative Research Program et al., 2011, p. 157), Anonymous 0029 is a large hub RFP that attracted more than 30 prospective competitors.</p>			

(table continues)

Table J2

*Social Justice Imprecisions Examples*

Social Justice 42/618	Sentiment Imprecisions	RFPs/Airports 42/34	Sentiment Codes 142
<p><b>Researcher’s Definition of Imprecision:</b> Showing current evidence of or potential for bias and/or behavior or response that could favor one or more proposers or category of proposers or prove to be contractually contentious after an award is made; and/or a contractual provision, clause, or policy that is neither adversarial nor cooperative, which may prove to be detrimental to the concessionaire if misapplied.</p> <p><b>Benchmark Recommendation:</b> <i>A transparent contracting process is one that is documented, open to public scrutiny, and applied consistently for each contract opportunity. The contracting process should be audited on a regular basis to ensure consistent application at each stage of the process. Along with assessing the process, it is imperative that contracting staff receive continuous training to ensure competency. Transparency does not ensure that the contracting process is free of barriers. A transparent process allows for process review by stakeholders who may have different perspectives or who may offer alternatives to the existing process and raise questions that evoke fresh thinking about ways to level the playing field for businesses interested in airport concession opportunities</i> (Airport Cooperative Research Program et al., 2011, p. 112).</p> <p><b>Anonymous RFP Example:</b> <i>The preferences established herein in no way prohibit the right of the Board of County Commissioners to compare quality of materials proposed for purchase and compare qualifications, character, responsibility and fitness of all persons, firms or corporations submitting bids or proposals. Further, the preferences established herein in no way prohibit the right of the County Commission from giving any other preference permitted by law instead of the preferences granted herein</i> (Anonymous 0045, p. 47).</p> <p><b>Researcher’s Annotation:</b> This provision is within the authority of the airport but like several of these RFPs, provisions could be used to subjectively to justify influence in the evaluation and award of contracts.</p> <p><b>Anonymous RFP Example:</b> “Provide details if Proponent has been charged with a criminal offense within the last ten years” (Anonymous RFP 0039, p. 46).</p> <p><b>Researcher’s Annotation:</b> Being “charged” is not the same as being convicted. This provision is far too broad and subjective.</p> <p><b>Anonymous RFP Example:</b> <i>The Evaluation Panel will provide Authority’s President or his designee with its recommendation for the award of a Concession. The President or his designee may accept or reject the recommendation of the Evaluation Panel and will, in turn, provide his or her recommendation to Authority’s Board of Commissioners, which must approve and authorize the award of the Concession. Proposers should note that Authority shall not be bound to award the Concession to the Proposer simply because such Proposer proposes the highest initial annual MAG for the Concession</i> (Anonymous RFP 0036, p. 20).</p> <p><b>Researcher’s Annotation:</b> This provision has the effect of transferring the role of the evaluating committee to a single person, the President of the Airport Authority. Central and sole control over the decision body lacks the necessary checks and balances in the selection.</p>			

*Note:* 42=total RFPs; 618=total social justice reduction codes; 34=total airports; 142=total category codes for imprecision with the benchmark.

(table continues)

Social Justice 44/618	Sentiment Imprecisions	RFPs/Airports 42/34	Sentiment Codes 142
<p><b>Benchmark Recommendation:</b> “Indemnification. Indemnification language is typically included in concession agreements, as specified by the airport operator’s legal counsel” (Airport Cooperative Research Program et al., 2011, p. 148).</p>			
<p><b>Anonymous RFP Example:</b> “ERRORS AND OMISSIONS IN RFP Proposers are responsible for reviewing all portions of this RFP. Proposers are to promptly notify the Commission, in writing, if the proposer discovers any ambiguity, discrepancy, omission, or other error in the RFP” (Anonymous RFP 0056, p. 15).</p>			
<p><b>Researcher’s Annotation:</b> It may be questionable whether the airport can transfer responsibility for errors or omissions in its own work product to proposers, and whether there is any legal effect or waiver of proposer’s rights for later protesting and/or filing a legal claim.</p>			
<p><b>Benchmark Recommendation:</b> <i>Successful concession managers use a variety of techniques to measure customer satisfaction. Ongoing measurement allows for continuous improvement of the concession program. Depending on the measuring technique used, concession managers can identify issues related to customer service, hours of operation, pricing, product mix, and other matters important to passengers as well as areas needing improvement</i> (Airport Cooperative Research Program et al., 2011, p. 25).</p>			
<p><b>Anonymous RFP Example:</b> Authority may, in its [REDACTED] [REDACTED] sole discretion, change Store Hours during the Term. Concessionaire hereby acknowledges and agrees to operate the Concession Locations as required which, if requested by Authority, may be 24 hours per day seven (7) days per week, including all holidays. Concessionaire may request changes to Store Hours. The Authority may, in its sole discretion, approve such requested changes. (Anonymous RFP 0060, p. 34).</p>			
<p><b>Researcher’s Annotation:</b> Generally, a concessionaire welcomes 24/7 so long as the midnight to 7:00 am shift’s customer base supports extended hours. However, labor costs will rise dramatically should demand be insufficient.</p>			
<p><b>Anonymous RFP Example:</b> <i>Concessionaire shall be required to submit to the Authority by the 1st day of each Agreement Year (Agreement Year defined as March 1st through February 28th or February 29th during a leap year) a promotional program, including promotion dates and the types of product and theme of promotions, for the upcoming year, if known at that time. Otherwise, Concessionaire shall submit to the Authority written notice of any promotional program, including dates and the types of product and theme of promotions 15 Calendar Days prior to such promotion, notwithstanding, Concessionaire shall provide 30 Calendar Days prior notice for promotions related to the Kentucky Derby or other major events such as national or international golfing events or equine events. Concessionaire shall ensure that all promotions conducted in the Premises are located in a prominent location and are timely.</i></p>			
<p><b>Researcher’s Annotation:</b> Shows tendency for micro managing the concession operation. (excess “power” display).</p>			

(table continues)

Social Justice 44/618	Sentiment Imprecisions	RFPs/Airports 42/34	Sentiment Codes 142
<p><b>Benchmark Recommendation:</b> <i>A transparent contracting process is one that is documented, open to public scrutiny, and applied consistently for each contract opportunity. The contracting process should be audited on a regular basis to ensure consistent application at each stage of the process. Along with assessing the process, it is imperative that contracting staff receive continuous training to ensure competency. Transparency does not ensure that the contracting process is free of barriers. A transparent process allows for process review by stakeholders who may have different perspectives or who may offer alternatives to the existing process and raise questions that evoke fresh thinking about ways to level the playing field for businesses interested in airport concession opportunities (Airport Cooperative Research Program et al., 2011, p. 112).</i></p>			
<p><b>Anonymous RFP Example:</b> <i>The Evaluation Panel will provide Authority's President or his designee with its recommendation for the award of a Concession. The President or his designee may accept or reject the recommendation of the Evaluation Panel and will, in turn, provide his or her recommendation to Authority's Board of Commissioners, which must approve and authorize the award of the Concession. Proposers should note that Authority shall not be bound to award the Concession to the Proposer simply because such Proposer proposes the highest initial annual MAG for the Concession (Anonymous 0036, p. 20).</i></p>			
<p><b>Researcher's Annotation:</b> This provision has the effect of transferring the role of the evaluating committee to a single person, the President of the Airport Authority. Central and sole control over the decision body lacks the necessary checks and balances in the selection.</p>			
<p><b>Benchmark Recommendation:</b> <i>A standard practice...is to establish minimum qualifications, whereby a level of experience, capability, or business volume is used as a threshold for consideration of bids or proposals. Minimum qualifications may include an experience element, for example, 3 to 5 years of experience operating a similar business, and a volume of past sales element, using a percentage (for example, 50%) of the expected business volume for at least 3 of the last 5 years. In some cases, airport experience may be required, such as in the award of agreements for multiple concession locations. Proposal bonds, guarantees, or sureties may also be required. Additional minimum qualifications are sometimes used [as] disqualifiers, such as... default under...current agreements with the airport operator, or...no lawsuits pending against the airport sponsor/operator,...prior judgments or pending lawsuits that would, in the opinion of the airport...disqualify the proposer (Airport Cooperative Research Program et al., 2011, p. 160).</i></p>			
<p><b>Anonymous RFP Example:</b> <i>If Proposer or any of its principals, officers, partners, directors or members has...defaulted or been debarred (regardless of the current status...or underlying reasons...) from bidding on government (federal, state, county or local) or airport contracts, provide the current status of the debarment proceeding(s), the reasons for debarment and the expiration date of such debarment (if applicable (Anonymous RFP 0036B11), p.).</i></p>			
<p><b>Researcher's Annotation:</b> Depending on the disposition of evaluation committee members and airport administration staff, this provision could produce a prima facie blackballing of proponents.</p>			

(table continues)



Social Justice 44/618	Sentiment Imprecisions	RFPs/Airports 42/34	Sentiment Codes 142
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**Benchmark Recommendation:** “Capital improvements -The concession agreement should detail the process and requirements for the construction of capital improvements, including... whether the concessionaire or the airport operator will hold title to the improvements [and] buyout provisions” (Airport Cooperative Research Program et al., 2011, p. 146).

**Anonymous RFP Example:** *City shall have the right to any specifications, computer programs, technical reports, operating manuals and similar work product developed and paid for under this Agreement. If research or development is furnished in connection with the performance of this Agreement and if in the course of such research or development patentable subject matter is produced by Concessionaire, its officers, agents, employees, subcontractors, or sub lessees, City shall have, without cost or expense to it, an irrevocable, nonexclusive royalty-free license to make, have made and use, either itself or by anyone on its behalf, such subject matter in connection with any activity now or hereafter engaged in or permitted by City. Promptly upon request by City, Concessionaire shall furnish or obtain from the appropriate person a form of license satisfactory to City, but it is expressly understood and agreed that, as between City and Concessionaire the license herein provided for shall nevertheless arise for the benefit of City immediately upon the production of said subject matter, and shall not await formal exemplification in a written license agreement as provided for above* (Anonymous RFP 0039, p. 103).

**Researcher’s Annotation:** This requirement is unusual given the type of contractual relationship.

**Benchmark Recommendation:** *A standard practice...is to establish minimum qualifications, whereby a level of experience, capability, or business volume is used as a threshold for consideration of bids or proposals. Minimum qualifications may include an experience element, for example, 3 to 5 years of experience operating a similar business, and a volume of past sales element, using a percentage (for example, 50%) of the expected business volume for at least 3 of the last 5 years. In some cases, airport experience may be required, such as in the award of agreements for multiple concession locations. Proposal bonds, guarantees, or sureties may also be required. Additional minimum qualifications are sometimes used [as] disqualifiers, such as... default under...current agreements with the airport operator, or...no lawsuits pending against the airport sponsor/operator,...prior judgments or pending lawsuits that would, in the opinion of the airport...disqualify the proposer* (Airport Cooperative Research Program et al., 2011, p. 160).

**Anonymous RFP Example:** “If Proposer or any of its principals, officers, partners, directors or members has...defaulted or been debarred (regardless of the current status...or underlying reasons...) from bidding on government (federal, state, county or local) or airport contracts, provide the current status of the debarment proceeding(s), the reasons for debarment and the expiration date of such debarment (if applicable)” (Anonymous RFP 0036B11), p.).

**Researcher’s Annotation:** Depending on the disposition of evaluation committee members and airport administration staff, this provision could produce a prima facie blackballing of proponents.

(table continues)

Social Justice 44/618	Sentiment Imprecisions	RFPs/Airports 42/34	Sentiment Codes 142
<p><b>Benchmark Recommendation:</b> <i>Under the terms of 49 Code of Federal Regulations (CFR) Part 23, Participation by Disadvantaged Business Enterprises in Airport Concessions, airport operators cannot grant preferences to local businesses in the award of concessions. However, preferences can be granted for local brands or concepts, as these can be operated by both local and national companies (Airport Cooperative Research Program et al., 2011, p. 37).</i></p>			
<p><b>Anonymous RFP Example:</b> <i>The preferences established herein in no way prohibit the right of the Board of County Commissioners to compare quality of materials proposed for purchase and compare qualifications, character, responsibility and fitness of all persons, firms or corporations submitting bids or proposals. Further, the preferences established herein in no way prohibit the right of the County Commission from giving any other preference permitted by law instead of the preferences granted herein (Anonymous 0045, p. 47).</i></p>			
<p><b>Researcher's Annotation:</b> This provision is within the authority of the airport but like several of this RFPs provisions could be used to justify subjective influences in the evaluation and award of contract.</p>			
<p><b>Benchmark Recommendation:</b> <i>Underperforming tenants create one of the most difficult challenges for airport concession managers. In addition to poor revenue performance, the concessionaires may have substantial time remaining in their terms and may ask for rent relief or some other form of assistance to compensate for financial losses. Underperforming tenants may even take action against the airport operator, claiming that their losses resulted from actions of the airport operator, whether justified or not. There is a cause-and-effect relationship between failure to meet sales targets and operational problems. The concessionaire may attempt to cut expenses to compensate for low sales, which may reduce sales even further, thus creating a downward spiral. It is incumbent upon the airport concession manager to recognize concessionaire shortcomings and to try to work with underperforming tenants to improve their situation (Airport Cooperative Research Program et al., 2011, p. 212)</i></p>			
<p><b>Anonymous RFP Example:</b> <i>If Authority is dissatisfied with the performance of a Concession Manager or Assistant Concession Manager at any time during the Term, Authority shall provide notice of its complaints to Concessionaire, and Concessionaire shall, within twenty (20) days after receipt of any such notice, respond in writing detailing the corrective action proposed to resolve Authority's concerns. If Authority rejects such proposed corrective action, Authority shall have the right to require, by notice to Concessionaire, that Concessionaire reassign, or cause the applicable Concession Operator to re-assign, such Concession Manager or Assistant Concession Manager to a location other than the Airport. In no event shall more than thirty (30) days elapse from the time Concessionaire receives notice of Authority's demand to reassign, or cause the applicable Concession Operator to re-assign, a Concession Manager or Assistant Concession Manager and the time a replacement for such Concession Manger or Assistant Concession Manager is performing under this Agreement. Notwithstanding the terms of this Section 4.3, no Concession Manager or Assistant Concession Manager shall be deemed to be an employee, agent or representative of Authority for any purposes whatsoever (Anonymous 0036, p. 18-19).</i></p>			
<p><b>Researcher's Annotation:</b> This language is somewhat open to overreaching subjectivity as a means to micro manage tenant's personnel decisions, including that of continued employment.</p>			

## Appendix K: Institutional Review Board (IRB) Approval Form

**RESEARCH ETHICS REVIEW APPLICATION  
TO THE WALDEN UNIVERSITY INSTITUTIONAL REVIEW BOARD  
REQUESTING APPROVAL TO CONDUCT RESEARCH  
VERSION 2010A**

<p><b>All shaded areas of this IRB application need to be completed by the researcher. Text in the unshaded areas may not be modified.</b></p> <p><b>Enter researcher's electronic signature (email address) here after reading the statement to the right: <u>Raymond.Kaval@WaldenU.edu</u></b></p> <p>IRB Approval Number is <b>03-27-15-0024270</b></p>	<p>By entering an email address in the box to the left, the submitter of this application is providing a digital signature confirming that she or he</p> <p>A. will read all of the instructions throughout this application;</p> <p>B. understands that neither participant recruitment nor data collection (including pilot data) may begin until explicit IRB approval has been received from IRB@waldenu.edu;</p> <p>C. understands that noncompliance with IRB instructions and policies can result in consequences including but not limited to invalidation of data, revocation of IRB approval, and dismissal from Walden University; and</p> <p>D. is responsible for submitting a current version of this form which can be found <a href="#">here</a>.</p>
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**IMPORTANT NOTE FOR STUDENT RESEARCHERS**

It is the student's responsibility to make sure that the faculty-approved IRB application and all supporting materials are submitted to [IRB@waldenu.edu](mailto:IRB@waldenu.edu). The IRB staff always confirms receipt of IRB materials. Data collection that is begun prior to receiving explicit IRB approval from [IRB@waldenu.edu](mailto:IRB@waldenu.edu) does not qualify for academic credit toward degree requirements.

**WHAT IS IRB APPROVAL?**

The Institutional Review Board (IRB) consists of staff and faculty members from each of Walden's major research areas and is responsible for ensuring that all Walden University research complies with the university's ethical standards as well as U.S. federal regulations and any applicable international guidelines. IRB approval indicates the institution's official assessment that the potential risks of the study are outweighed by the potential benefits.

IRB approval lasts for 1 year and may be renewed. Outside of the explicit dates and terms of IRB approval, researchers are not entitled to any protections, recognition, funding, or other support provide by Walden University or its affiliates. More detail about the IRB review process can be found at Walden's IRB Web site or by sending a specific request to [IRB@waldenu.edu](mailto:IRB@waldenu.edu).

**WHO SHOULD USE THIS IRB APPLICATION FORM?**

This application should be completed by all students and faculty members who are conducting research projects of any scope involving collection or analysis of data from living persons (whether from surveys, interviews, observation, student work, or records of any type). The only categories of research that do not need to be submitted for IRB approval are literature reviews, hypothetical research designs, and faculty projects that are completely independent of Walden affiliation, resources, participants, and funding. IRB approval for course-based research projects should be obtained by the faculty member who designs the course. Research projects conducted by fulltime employees of Walden or related organizations are also

under the purview of the Walden IRB. Instead of completing this form, staff researchers should send an email inquiry to [IRB@waldenu.edu](mailto:IRB@waldenu.edu) to initiate the IRB approval process for staff research.

### **WHEN SHOULD I WORK ON AND SUBMIT MY IRB APPLICATION?**

Questions about the IRB application and related materials may be submitted to [IRB@waldenu.edu](mailto:IRB@waldenu.edu) at any time. Non-doctoral IRB applications will be reviewed as soon as the application is complete.

For doctoral students, an IRB review cannot occur until the proposal oral conference has been held and the student has received formal proposal approval notification from the Office of Student Research Support.

It is expected that doctoral students will review IRB requirements as they are writing the proposal and to that end, this IRB application can be used as a worksheet to help think through the ethical issues of data collection. However, the student would need to complete the IRB application after proposal approval in order to address the details of the final, approved research design.

### **HOW LONG DOES IRB REVIEW TAKE?**

Researchers should allow a minimum of 4-6 weeks for IRB review (4 weeks for minimal risk studies and 6 weeks for studies involving vulnerable populations). This form takes 1-2 hours to complete, depending on the complexity of the study. Once the IRB staff confirms that the IRB application is complete, the IRB application will be scheduled for review at the next available IRB meeting (typically within 10 business days). Feedback from the board will be returned within 5 business days (amounting to a total of 15 business days for the initial review). Note that when a study is “approved with revisions,” the researcher should allow an additional 10-15 business days for those revisions to be reviewed and approved. If the revisions do not adequately address the ethical concerns, then an additional round of revisions and review might be necessary. The IRB members make every effort to make the revision requirements as clear as possible.

Students should consult program guidelines and documents such as the dissertation guidebook in order to understand how long the proposal and IRB review steps will take and plan their study’s timeline accordingly. Exceptions to approval procedures cannot be made in order to accommodate personal or external deadlines (e.g., limited access to participants).

### **CAN I CONTACT MY RESEARCH PARTICIPANTS BEFORE IRB APPROVAL?**

Note that researchers may NOT begin recruiting participants (i.e., obtaining consent form signatures) prior to IRB approval. The only documents that may be signed before IRB approval are Data Use Agreements or Letters of Cooperation from community partners and Confidentiality Agreements that are signed by transcribers, statisticians, and research assistants who might have access to the raw data. If you have questions about who should sign what, please email [IRB@waldenu.edu](mailto:IRB@waldenu.edu) for help.

### **WHAT IF I NEED TO CHANGE MY RESEARCH PROCEDURES AFTER IRB APPROVAL?**

Researchers must resubmit any IRB materials relevant to the change, along with a Request for Change in Procedures form, which can be found on the [Walden IRB Web site](#). As long as the proposed changes do not increase the level of risk, the request will be treated as an expedited review.

## WHAT ARE THE CRITERIA FOR IRB APPROVAL?

The purpose of this IRB application is to collect enough specific information to document that the study's benefits outweigh the costs and that the procedures are in compliance with federal regulations and university policies. To those ends, the board will evaluate the IRB application based on how well the following ethical principles are upheld:

Beneficence = maximize possible benefits and minimize possible harms

Justice = fairly distribute benefits and burdens of research

Respect for Persons = acknowledge participants' autonomy and protect those with diminished autonomy

More detail on the criteria for IRB approval is provided in this [online module](#). The IRB application will ask the researcher to do the following:

### General Description of the Proposed Research

- Demonstrate the ethical rationale for each component of data collection by describing how each will be analyzed to address the research question(s).
- Provide specific descriptions of the tasks the participants will be asked to complete.

### Community Research Stakeholders and Partners

- Submit a signed Letter of Cooperation from any community partner who will be involved in identifying potential participants or collecting data.
- Submit a signed Data Use Agreement from any organization that will be providing records to the researcher.
- Describe the plan for sharing research results with relevant stakeholders.

### Potential Risks and Benefits

- Describe anticipated risks and benefits of study participation.
- Make provisions to minimize risks to research participants and document those procedures.

### Data Integrity and Confidentiality

- Describe procedures to maintain data confidentiality and integrity.
- If data includes personal identifiers, submit signed certificates of confidentiality for everyone who has access to the data (except faculty members).
- If applicable, complete extra sections relevant to protected health information.

### Potential Conflicts of Interest

- Disclose and manage potential conflicts of interest.

### Data Collection Tools

- Describe all tools (surveys, interview questions, etc.) and authorizations related to data collection including evidence of compliance with copyright holder's terms of usage, permission to reproduce the instrument in the dissertation, or confirmation that the tool is public domain (as applicable).

### Description of the Research Participants

- Describe the study population, particularly inclusion and exclusion criteria, to demonstrate that those who shoulder the burden of the research will actually benefit from it.
- Describe how any vulnerable populations will be protected from safety/privacy risks and pressure to participate.

### Informed Consent

- Make provisions to obtain and document informed consent from all study participants and the appropriate parents, guardians, or caregivers.
- Submit **unsigned** copies of any relevant consent documents.

Final Checklist and Electronic Signatures

-Students must obtain faculty approval (via electronic signature) before submitting this form to [IRB@waldenu.edu](mailto:IRB@waldenu.edu).

This form must be completed and submitted via email. If you have questions as you are completing the form, please contact [IRB@waldenu.edu](mailto:IRB@waldenu.edu).

## PROJECT INFORMATION

1. Enter Researcher's name in blue space below:	
<b>Raymond J. Kayal, Sr.</b>	
2. If the researcher is a student, provide student ID number:	
<b>A00024270 - Quarter Based</b>	
3. Every researcher must submit a copy of a Human Research Protections training completion certificate with this application. Walden accepts Human Research Protections training certificates from either NIH, NCI, or CITI. The NIH module is most strongly recommended and takes 1-2 hours. A completion certificate is good for 5 years.	
Enter an X in the appropriate blue box below to indicate which training module was completed:	
<input checked="" type="checkbox"/>	National Institutes of Health (NIH): <a href="http://phrp.nihtraining.com">http://phrp.nihtraining.com</a>
<input type="checkbox"/>	Collaborative Institutional Training Initiative (CITI): <a href="http://www.citiprogram.org">http://www.citiprogram.org</a>
<input type="checkbox"/>	National Cancer Institute (NCI)
<input type="checkbox"/>	Other research ethics training:
4. Researcher's email address:	
<b><a href="mailto:Raymond.Kayal@WaldenU.edu">Raymond.Kayal@WaldenU.edu</a> (Alternate: <a href="mailto:kayalsr@bellsouth.net">kayalsr@bellsouth.net</a>)</b>	
5. Names of research collaborators and roles (if researcher is a <b>student</b> , please provide the name of the faculty member supervising this research, such as the committee chair):	
<b>Dr. Carol Wells, Committee Chair, Dr. Judith Forbes, Committee Member, Dr. David Bouvin, URR</b>	
6. Email address(es) of the supervising faculty member(s) and any other co-researcher collaborators:	
<b><a href="mailto:Carol.Wells@WaldenU.edu">Carol.Wells@WaldenU.edu</a>, <a href="mailto:Judith.Forbes@WaldenU.edu">Judith.Forbes@WaldenU.edu</a>, <a href="mailto:David.Bouvin@WaldenU.edu">David.Bouvin@WaldenU.edu</a></b>	
7. Provide the researcher's program affiliation at Walden (e.g., Ed.D.; Ph.D. in Clinical Psychology, etc.)	
<b>Ph.D. in Management</b>	
8. Project Title:	
<b>A Qualitative Study Comparing Proposals Used to Evaluate Airport Concessionaires</b>	
9. Enter an X in the blue box next to the study type that best describes the IRB approval requested:	
<input checked="" type="checkbox"/>	Dissertation (may include a pilot if pilot steps are described in item 12's procedures chart)
<input type="checkbox"/>	Doctoral Study (may include a pilot if pilot steps are described in item 12's procedures chart)
<input type="checkbox"/>	Doctoral pilot study prior to proposal approval (provide the rationale for why a pilot study is necessary prior to proposal approval here: _____)
<input type="checkbox"/>	Master's thesis
<input type="checkbox"/>	KAM study
<input type="checkbox"/>	Research for a course (specify course number: _____ and course enddate: _____)
<input type="checkbox"/>	Faculty Research
<input type="checkbox"/>	Other: _____

### I. GENERAL DESCRIPTION OF THE PROPOSED RESEARCH

<b>10.</b> Enter X's in the appropriate blue boxes to indicate all the data collection methods that are part of this study.	
	Interview
	Focus group
	Survey or assessment that is initiated by the researcher
	Survey or assessment that is routinely collected by the site
	Analysis of student test scores or work products (when this is the only analysis, items 37-51 of this application can be left blank)
<b>X</b>	Analysis of existing public records or documents (when this is the only analysis, items 37-51 of this application can be left blank)
	Analysis of existing privately held records (such as business records) or documents (when this is the only analysis, items 37-51 of this application can be left blank)
	Observation of people in public places
	Observation of people in school, workplace, or other non-public location
	Collection of physical specimens (e.g. blood, saliva)
	Other (please specify) _____

<b>11.</b> The IRB is obligated to factor the rigor of the research design into the overall assessment of the potential risks and benefits of this study. Please complete the chart below to ethically justify each component of data collection.				
<b>Research Question</b>	<b>Data Collection Tools</b>	<b>Datapoints Yielded</b>	<b>Data Source</b>	<b>Data Analysis</b>
List each research question (RQ) in a separate row below.	List which instrument(s) are used to collect the data that will address each RQ.	List which specific questions/variables/scales of the instrument will address each RQ.	List which persons/artifacts/records will provide the data.	Briefly describe the specific statistical or qualitative analyses that will address each RQ.
<b>RQ 1: How do concessionaire requirements and</b>	<b>Document comparisons and qualitative content</b>	<b>Concessionaire qualifications and categorical factors of airport size and governance type.</b>	<b>ACRP 54 Report and the sample of 30 airport RFDs purposively selected from the 86 U.S. Primary commercial passenger airports collectively representing 92% of all U.S. commercial airport passenger traffic that</b>	<b>Document analysis begins with within-document examination of ACRP Report 54 and ends with the last sample</b>



<p><b>evaluation criteria used at U.S. primary airports compare with those recommended by the ACRP Report 54 (Airport Cooperative Research Program et al., 2011)?</b></p>	<p><b>analysis.</b></p>		<p><b>are classified according to DOT and FAA parameters as governed directly either by government agencies or independently by aviation authorities, and each having one million or more passenger enplanements annually.</b></p>	<p><b>airport RFP in search of inferences of social and economic influences. Next, between-document analysis of the evaluation criteria contained in the sample RFPs for comparison with ACRP Report 54. Qualitative content analysis will provide the data necessary for answering the research questions, which include the socioeconomic propositions, evaluation criteria, criteria weighting, governance pattern necessary for abstracting the information, and the context narrative for this study's premise. Documents will be compared and content coded, analyzed, and categorized by airport size and governance type. Variances in criteria and criteria weighting between government-operated airports and independent agency-operated airports will be described.</b></p>
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<p><b>RQ 2:</b> How can socioeconomic values relate to decision-maker choices in airport concession procurement processes?</p>	<p>Document comparisons and qualitative content analysis.</p>	<p>Social and economic value factors explicated from the documents.</p>	<p>ACRP 54 Report and the sample of 30 airport RFDs purposively selected from the stratified population 86 U.S. Primary commercial passenger airports collectively representing 92% of all U.S. commercial airport passenger traffic that are classified according to DOT and FAA parameters as governed directly either by government agencies or independently by aviation authorities, and each having one million or more passenger enplanements annually..</p>	<p>Same as above using values coding for values, attitudes, and beliefs.</p>
<p><b>RQ 3:</b> How can one set of core evaluation criteria for airport classifications of size and governance differences be justified for common use?</p>	<p>Document comparisons and qualitative content analysis.</p>	<p>Concessionaire qualifications and categorical factors of airport size and governance type. Social and economic value factors explicated from the documents.</p>	<p>ACRP 54 Report and the sample of 30 airport RFDs purposively selected from the stratified population 86 U.S. Primary commercial passenger airports collectively representing 92% of all U.S. commercial airport passenger traffic that are classified according to DOT and FAA parameters as governed directly either by government agencies or independently by aviation authorities, and each having one million or more passenger enplanements annually.</p>	<p>Same as 1 and 2 above to show where common values and factors are congruent.</p>

**12.** In the chart below, describe the participant recruitment and data collection steps in enough detail such that privacy and safety risks can be ascertained. Deviation from the procedures listed below can result in invalidation of the data and dismissal from the university. Invalid data may not be published or included in a doctoral study.

You must describe any of the following data collection steps that apply to your study:

- How existing data or contact information of potential participants will be obtained
- Initial contact with potential participants
- Informed consent procedures
- Any pilot activities (if changes need to be made based on the pilot, you will need to submit a Request for Change in Procedures form, which is found on the [IRB website](#))
- Data collection (surveys, interviews, assessments, observations, etc.)

<p>-Any intervention/treatment activities that are critical to the study even if provided by another entity                  -Follow-up meetings with participants to review interview transcripts and/or perform membercheck (confirming validity of researcher’s interpretations)                  -Dissemination of study’s results to participants and stakeholders</p>			
<p><b>Participant recruitment and data collection steps</b></p> <p><b>It is a student researcher’s responsibility to ensure that the procedures described here are 100% aligned with the final proposal that is approved by committee members after the oral defense. Failure to fully align item 12 with the approved proposal can result in invalidation of data and rejection of the final study.</b></p>	<p><b>Durati on</b></p>	<p><b>Exact Location</b></p>	<p><b>Communi cation Format</b>                  (e.g., email, phone, in person, internet, etc.)</p>
<p><b>Step 1</b></p>			
<p><b>Internet search for concessions RFPs and direct requests from airport administrators. Airports classified according to DOT and FAA parameters and governed directly by a government agency, or independently</b></p>	<p><b>10 days</b></p>	<p><b>Websites from <i>Airports Council International North America</i>:</b>  <a href="http://www.aci-na.org/content/view-rfp">http://www.aci-na.org/content/view-rfp</a>;  <i>Airport Revenue News (ARN)</i>:  <a href="https://www.airportrevenue.com/concession-opportunities-san-francisco-international/">https://www.airportrevenue.com/concession-opportunities-san-francisco-international/</a>; <b>USA.gov</b>:  <a href="http://search.usa.gov/search?affiliate=usagov&amp;query=airport+concessions+requests+for+proposals">http://search.usa.gov/search?affiliate=usagov&amp;query=airport+concessions+requests+for+proposals</a>  <i>Aviation News Today at</i>  <a href="http://aviationnews.net/index.html?do=rfps">http://aviationnews.net/index.html?do=rfps</a></p> <p><b>Individual airport websites:</b>  <a href="http://www.trb.org/TerminalsFacilities/Publications1.aspx">http://www.trb.org/TerminalsFacilities/Publications1.aspx</a>  <a href="http://www.airportsamerica.com/airport.php?airportid=597&amp;categ">http://www.airportsamerica.com/airport.php?airportid=597&amp;categ</a></p>	<p><b>Interne t</b></p>

<b>by an aviation authority, will comprise the population.</b>	<a href="#">ory=1</a> <a href="#">Atlanta - Hartsfield International Airport</a> <a href="#">Boston Logan International Airport</a> <a href="#">Chicago O'Hare International Airport</a> <a href="#">Cleveland Hopkins International Airport</a> <a href="#">Dallas Fort Worth International Airport</a> <a href="#">Denver International Airport</a> <a href="#">Fort Lauderdale Hollywood International Airport</a> <a href="#">Houston George Bush Intercontinental Airport</a> <a href="#">John F. Kennedy International Airport</a> <a href="#">Las Vegas McCarran International Airport</a> <a href="#">Los Angeles International Airport</a> <a href="#">Miami International Airport</a> <a href="#">New York La Guardia Airport</a> <a href="#">Newark International Airport</a> <a href="#">Orlando International Airport</a> <a href="#">Palm Beach International Airport</a> <a href="#">Phoenix Sky Harbor International Airport</a> <a href="#">Pittsburgh International Airport</a> <a href="#">Ronald Reagan Washington National Airport</a>
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<b>Step 2</b>			
<b>Identify 30 specific RFP documents obtained from a sample of U.S. primary airports with one million or more passenger enplanements annually.</b>	<b>15 days</b>	<b>Researcher's Office</b>	<b>Internet</b>
<b>Step 3</b>			
<b>Develop a sampling frame from the airports from which RFP documents used for procuring concessionaires are obtained.</b>	<b>10 days</b>	<b>Researcher's Office</b>	<b>N/A</b>
<b>Step 4</b>			
<b>Review the in-context socioeconomic drivers and the selection criteria recommended in ACRP Report 54, (Airport Cooperative Research Program et al., 2011) and those of the sample RFP documents obtained from various airports.</b>	<b>20 days</b>	<b>Researcher's Office</b>	<b>N/A</b>
<b>Step 5</b>			
<b>Identify and annotate socioeconomic values relationships for linkage to differences between evaluation criteria and airport governance</b>	<b>20 days</b>	<b>Researcher's Office</b>	<b>N/A</b>

systems.			
<b>Step 6</b>			
Using spreadsheet software to code and record airport RFP selection criteria categorized by airport size and governance type featuring percentage ratings, importance rankings, degree of comments by ancillary statements, and thematic coding analysis, the evaluation criteria from each source will undergo analysis.	<b>20 days</b>	<b>Researcher's Office</b>	<b>N/A</b>
<b>Step 7</b>			
Qualitative comparison of the selection criteria recommended in ACRP Report 54 (Airport Cooperative Research Program et al., 2011) and those of the sample RFP documents obtained from various airports. Document analysis for differences in criteria for individual airports, classification of airports, and in comparison with the benchmark criteria depicted	<b>25 days</b>	<b>Researcher's Office</b>	<b>N/A</b>

in ACRP Report 54 (Airport Cooperative Research Program et al., 2011).			
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## II. COMMUNITY RESEARCH STAKEHOLDERS AND PARTNERS

Research participants are individuals who provide private data through any type of interaction, whether verbal, observed, typed, recorded, written, or otherwise assessed. Research participants' understanding of the study and willingness to engage in research must be documented with **CONSENT FORMS**, after IRB approval. For example, an educator comparing two instructional strategies by interviewing adult students in his classes would need to have each participant student sign a consent form.

Community partners include any schools, clinics, businesses, non-profits, government entities, residential facilities, or other organizations who are involved in your research project. Community partners' understanding of the study and willingness to engage in research must be documented with a **LETTER OF COOPERATION**. To continue with the same example, the educator comparing two instructional strategies would need a Letter of Cooperation from the school confirming (a) that the school approves the teacher's implementation of two different instructional strategies and (b) that the school approves the interview activities. In some cases a community partner will only provide a letter of cooperation after Walden has "officially" approved the research proposal. If this is the case, then enter a brief explanation of your planned steps in item 12. If you have questions about whether an individual or an organization should provide permission for some aspect of the research, please email IRB@waldenu.edu.

If a community partner's engagement in the research involves providing any type of non-public records, the terms of sharing those records must be documented in a **DATA USE AGREEMENT**, before IRB approval. Again using the same example, the educator comparing two instructional strategies will need a Data Use Agreement if he wants to analyze these students' past academic records or work products as part of the study. Data Use Agreements must be FERPA-compliant and HIPAA-compliant, as applicable to the setting.

A sample letter of cooperation and sample data use agreement can be downloaded from the [IRB Web site](#). This IRB application's final checklist will direct you to email or fax your community partners' Letters of Cooperation and any applicable Data Use Agreements at the same time you submit this IRB form.

Stakeholders include the informal networks of individuals who would potentially be impacted by the research activities or results (such as parents, community leaders, etc). Walden students are required to disseminate their research results in a responsible, respectful manner and are encouraged to develop this dissemination plan in consultation with the relevant community partners. Sometimes it is appropriate to provide a debriefing session/handout to individual participants immediately after data collection in addition to a general stakeholders' debriefing after data analysis.

13. Please identify all community stakeholders who should hear about your research results and indicate your specific plan for disseminating your results in an appropriate format.	
<b>A published copy of the finished study will be provided to the publisher of Airport Retail News.</b>	
14. Enter an X next to the description that best describes the community research partner's role in data collection. Mark all that apply.	
<b>X</b>	I am relying solely on public records and/or means to recruit participants and collect data, and thus, I have no community research partner.

	My community research partner has already agreed to assist in participant recruitment and/or data collection and I am submitting their letter of cooperation with this IRB approval.
	I am required to provide a copy of Walden's IRB approval to a funder or community partner before they can provide me with their formal approval. I seek Walden's conditional IRB approval at this time (which can be finalized once the Walden IRB receives the community partner's letter of cooperation).
	I would like to use the Walden Participant Pool to identify potential research participants (note that the IRB will seek participant pool approval for this study, on the researcher's behalf).
	Other: _____
<b>15a.</b> Name the organization(s) at which you intend to recruit participants and/or collect data as well as any funders involved in the study:	
N/A	
<b>15b.</b> Name the individual who is authorized to approve research within each of the community partner organizations:	
N/A	
<b>15c.</b> Please briefly describe how you chose each of the partners listed above:	
N/A	

### III. POTENTIAL RISKS AND BENEFITS

<p><b>16.</b> For each of the categories A-J below, carefully estimate risk level, enter an X to indicate the risk level, and describe the circumstances that could contribute to that type of negative outcome for <b>participants or stakeholders</b> in the space provided to the far right of each section. Minimal risk is acceptable but must be identified upfront. Minimal risk is defined as follows in U.S. federal regulations: "that the probability and magnitude of harm or discomfort anticipated in the research are not greater in and of themselves than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests." Substantial risk is acceptable as long as adequate preventive protections are in place (which you will describe in item 17).</p>		
	<b>Level of risk: check one</b>	<b>Description of risk: List the circumstances that could cause this outcome</b>
A. Unintended disclosure of confidential information (such as educational or medical records)	<input checked="" type="checkbox"/> Not applicable	
	<input type="checkbox"/> Minimal risk	
	<input type="checkbox"/> Substantial risk	
B. Psychological stress greater than what one would experience in daily life (e.g., materials or topics that could be considered sensitive, offensive, threatening, degrading)	<input checked="" type="checkbox"/> Not applicable	
	<input type="checkbox"/> Minimal risk	
	<input type="checkbox"/> Substantial risk	
C. Attention to personal information that is irrelevant to the study (i.e., related to sexual practices, family history, substance use, illegal behavior, medical or mental health)	<input checked="" type="checkbox"/> Not applicable	
	<input type="checkbox"/> Minimal risk	
	<input type="checkbox"/> Substantial risk	
D. Unwanted solicitation, intrusion, or observation in public places	<input checked="" type="checkbox"/> Not applicable	
	<input type="checkbox"/> Minimal risk	
	<input type="checkbox"/> Substantial risk	
E. Unwanted intrusion of privacy of others not involved in	<input checked="" type="checkbox"/> Not applicable	



study (e.g. participant's family).	<input type="checkbox"/>	Minimal risk	
	<input type="checkbox"/>	Substantial risk	
F. Social or economic loss (i.e., collecting data that could be damaging to any participants' or stakeholders' financial standing, employability or reputation)	<input checked="" type="checkbox"/>	Not applicable	
	<input type="checkbox"/>	Minimal risk	
	<input type="checkbox"/>	Substantial risk	
G. Perceived coercion to participate due to any existing or expected relationship between the participant and the researcher (or any entity that the researcher might be perceived to represent)	<input checked="" type="checkbox"/>	Not applicable	
	<input type="checkbox"/>	Minimal risk	
	<input type="checkbox"/>	Substantial risk	
H. Misunderstanding as a result of experimental deception (such as placebo treatment or use of confederate research assistants posing as someone else)	<input checked="" type="checkbox"/>	Not applicable	
	<input type="checkbox"/>	Minimal risk	
	<input type="checkbox"/>	Substantial risk	
I. Minor negative effects on participants' or stakeholders' health (no risk of serious injury)	<input checked="" type="checkbox"/>	Not applicable	
	<input type="checkbox"/>	Minimal risk	
	<input type="checkbox"/>	Substantial risk	
J. Major negative effects on participants' or stakeholders' health (risk of serious injury)	<input checked="" type="checkbox"/>	Not applicable	
	<input type="checkbox"/>	Minimal risk	
	<input type="checkbox"/>	Substantial risk	

17. Explain what steps will be taken to minimize risks and to protect participants' and stakeholders' welfare.
<b>All data are gathered exclusively from public records, and there are no human participants.</b>
18. Describe the anticipated benefits of this research, if any, for individual participants.
<b>N/A (There are no human participants)</b>
19. Describe the anticipated benefits of this research for society.
<b>Effecting positive social change is embedded in this thesis in a way that draws heavily on both its theoretical and applied dimensions. positive social change will be achieved by the philosophically transformative orientation of the research in the way it is presented in support of the Code of Federal Regulations [e.g., 49 CFR Parts 23 and 26] of the U.S. Department of Transportation Disadvantaged Business Enterprise assistance programs that are designed to improve small and minority business opportunity participation in airport concessions contracting.</b>

#### **IV. DATA INTEGRITY AND CONFIDENTIALITY**

20a. In what format(s) will you obtain and subsequently store the data? (e.g., paper, electronic media, video, audio)
<b>A combination of electronic and paper copies</b>
20b. Where will you store the data?
Personal computer and home office.
21. Describe what security provisions will be taken to protect this data during initial data collection, data transfer, and archiving (e.g., privacy envelopes, password protection, locks).
The data will be secure from loss as stored in synchronized back-up on three password protected personal computers and two stand-alone hard drives.
22. Describe what types of checks are in place to facilitate accuracy of data collection. Please note that the university's Office of Research Integrity and Compliance can audit the complete set of raw data at any time after IRB approval.
<b>All RFP documents and the ACRP Report 54 will be maintained and available for examination at all times.</b>

<b>23.</b> Explain exactly when and how the data disposal will occur. (Keeping raw data for five years is the minimum requirement).	
Electronic and soft copies will be kept by researcher for 5 years.	
<b>24.</b> Describe the specific plans for handling adverse events involving research participants that might require immediate referral, stopping data collection, management of a new conflict of interest, re-assessment of risks and benefits, or responding to breached confidentiality. These plans must be tailored by the researcher for the specific research context and population.	
<b>N/A (All data are gathered from public records documents).</b>	
<b>25.</b> Understanding the difference between confidentiality and anonymity: <u>Anonymous</u> data contains absolutely zero identifiers and makes it impossible to determine who participated and who did not. <u>Confidential</u> data contains one or more identifiers, but identifiers are kept private by the researcher. In order to protect participant privacy and assure that study participation is truly voluntary, anonymous data collection is preferred, whenever possible.	
Is it possible to collect your data anonymously?	
<b>N/A (All data are gathered from public records documents).</b>	
<input type="checkbox"/>	No, my communications with potential participants and/or consent procedures require one or more of their identifiers (such as name, email address, or phone number) to be shared with me. But I confirm that I will provide complete confidentiality.
<input type="checkbox"/>	Yes, I have designed my anonymous consent and data collection procedures so that identities are completely protected even from me, the researcher.
<b>26.</b> Will you retain a link between study code numbers and direct identifiers after the data collection is complete?	
<input type="checkbox"/>	No.
<input type="checkbox"/>	Yes, but only to identify those participants who indicate that they want their data withdrawn.
<input checked="" type="checkbox"/>	Yes, it is otherwise necessary because <u>all data are gathered from public records documents.</u>
<b>27.</b> Will you provide an identifier or potentially identifying link to anyone else besides yourself?	
<input type="checkbox"/>	No.
<input checked="" type="checkbox"/>	Yes, it is necessary because <u>all data are gathered from public records documents.</u>
<b>28.</b> Explain who will approach potential participants to take part in the research study and what will be done to protect individuals' privacy in this process.	
<b>N/A</b>	
<b>29.</b> List all individuals who will have access to the data (including research assistants, transcribers, statisticians, etc.). If you are a student, the IRB assumes that your supervising faculty members will have access to the data, so you do not need to list them.	
<b>All data are public and available from the Internet.</b>	
<b>30.</b> To ensure data confidentiality among your research colleagues, you will either need to obtain a signed Confidentiality Agreement for each person you listed for Question 29 <u>or</u> de-identify the data (by removing all identifying links) before anyone else has access to it. Please visit the <a href="#">IRB Web site</a> to download a sample Confidentiality Agreement. This application's final checklist will direct you to send the IRB your signed Confidentiality Agreement(s) at the same time you submit this IRB form.	
Place an X next to each blue box that is applicable:	
<input type="checkbox"/>	I will be emailing the signed confidentiality agreement(s) to IRB@waldenu.edu.
<input type="checkbox"/>	I will be faxing the signed confidentiality agreement(s) to (626) 605-0472.
<input checked="" type="checkbox"/>	Not applicable because I am the only one who will have access to the raw data.
<input type="checkbox"/>	Not applicable because the accessible data are anonymous or de-identified.

**31.** This IRB application is designed to collect enough information to ensure compliance with USA federal research regulations. However, state and international laws might also be relevant. Please confirm in the blue area below that you are aware of any applicable state or international regulations and describe your plan for ensuring compliance.

**Researchers recruiting participants and collecting data in USA only:** Please confirm that you have made yourself aware of any state laws that might be relevant to this study's data collection activities (e.g., mandated reporting, privacy, protection of minors or other vulnerable populations) and explain what procedures are in place to comply with those state laws. State-level professional organizations and licensing entities for your field are a good source of this information.

**Researchers recruiting participants or collecting data in countries other than the USA:** Each international researcher is responsible for making themselves aware of the relevant human subjects protection laws and entities overseeing research for those other countries. International researchers must confirm that they have consulted the available guidance for the countries relevant to their research activities and provide a plan for complying with the relevant laws and oversight entities there. An international compilation of human subjects policies can be found at this link:

<http://www.hhs.gov/ohrp/international/intlcompilation/intlcompilation.html>

#### ADDITIONAL ISSUES TO ADDRESS WHEN THE RESEARCH INVOLVES PROTECTED HEALTH INFORMATION

<b>32.</b> As part of this study, the researcher(s) will
<input type="checkbox"/> Collect protected health information* from participants → Please complete question 33.
<input type="checkbox"/> Have access to protected health information* in the participants' records → Please complete question 33.
<input checked="" type="checkbox"/> None of the above → Please skip to question 34.

**\*Protected Health Information (PHI)** is defined under HIPAA (Health Insurance Portability and Accountability Act of 1996) as health information transmitted or maintained in any form or medium that:

- A. identifies or could be used to identify an individual;
- B. is created or received by a healthcare provider, health plan, employer or healthcare clearinghouse; and
- C. relates to the past, present or future physical or mental health or condition of an individual; the provision of health care to an individual; or the past, present or future payment for the provision of healthcare to an individual.

**33.** To use PHI in research you must have approval through one of the following methods:

- A. An authorization signed by the research participant that meets HIPAA requirements; or
- B. Use of a limited data set under a data use agreement.

Place an X next to the corresponding blue box below to indicate which method of approval you will use.

<input type="checkbox"/>	A. Research participants in this study will sign an <i>Authorization to Use or Disclose PHI for Research Purposes</i> form. If the study includes multiple activities (e.g., clinical trial or collection and storage of PHI in a central repository), then two authorization forms must be submitted for review. You may download a sample authorization form at the IRB Web site, fill in the required information, and fax to (626) 605-0472.
<input type="checkbox"/>	B. I will access a limited data set by signing a Data Use Agreement with the party that releases the PHI. A limited data set must have all possible identifiers removed from the data. It is the responsibility of the researcher and the party releasing the PHI to have in place and maintain a copy of a Data Use Agreement which meets HIPAA requirements. Use the template Data Use Agreement and fill in the required information. A copy of the signed Data Use Agreement must be submitted for IRB review.

### V. POTENTIAL CONFLICTS OF INTEREST

<p><b>34.</b> This item asks you to disclose information relevant to separating your multiple roles as clearly as possible, with the goal of ensuring authentically <u>voluntary</u> participation in your study. Doctoral research directly benefits the student (allowing him or her to obtain a degree), and so the researcher should minimize the potential for either (a) conflict of interest or (b) perceived coercion to participate. Researchers who are in positions of authority must take extra precautions to ensure that potential participants are not pressured to take part in their study. <u>Data collection should be as detached as possible from the researcher's authority.</u> Examples:          -a professor researcher may recruit students AFTER grades have been assigned          -a psychologist researcher may recruit clients from ANOTHER psychologist's practice          -a manager researcher may conduct ANONYMOUS data collection so that subordinates do not perceive their responses or [non]participation as being associated with their job standing</p> <p>At the time of study recruitment, are the potential study participants aware of any of the researchers' other professional or public roles? (Such as teacher, business owner, community leader, supervisor, etc.?)</p>	
<b>X</b>	No. <b>All data are obtained from public records documents. There are no human study participants.</b>
	Yes, at the time of recruitment some of the participants are aware of the researcher's <b>(Insert title here)</b> role, and the following measures will be taken to separate the researcher's dual roles and minimize perceived coercion to participate: <b>(insert explanation here).</b>
<p><b>35.</b> This item asks you to disclose information related to possible financial conflicts of interest, with the goal of maintaining research integrity. Is it possible that the financial situations or professional positions (to include promotions, contracts, clients, and reviews) of the researchers or their families could be directly impacted by the design, conduct, or results of this research?</p>	
	No.
<b>X</b>	Yes, and the conflict of interest is being managed by the following disclosures/measures: <b>That I retired from active participation in 2004.</b>
<p><b>36.</b> Will the researcher give participants or stakeholders any gifts, payments, compensation, reimbursement, free services, or extra credit? It is acceptable to compensate your participants as long as the compensation cannot be interpreted as coercive among the participant population. For example, a \$5 gift card to a coffee house is fine as a thank you gift, but an Ipod would not be, especially if the participants are teenagers. It is often better to eliminate compensation all together or make sure that 100% of your sample gets the same compensation (as opposed to only compensating those in your experimental group).</p>	
<b>X</b>	No.
	Yes. More information is provided below. What compensation will be given? <b>(insert type of compensation here)</b> At what point during the research will the compensation be given? <b>(insert when compensation will be given here)</b> Under what conditions will the compensation be given? (i.e., how will compensation for withdrawn participants be handled?) <b>(insert description here)</b>

### VI. DATA COLLECTION TOOLS

In order to approve your study, the IRB needs to review the full text of each data collection tool (e.g., surveys, interview questions, etc.). This application's final checklist will direct you to send your data collection tools and evidence of compliance with the copyright holder's usage terms at the same time you submit this IRB form. If any further changes are made to the data collection tools after they have been IRB-approved, you must submit those changes for IRB approval.

**READ THIS IF YOU ARE USING A PUBLISHED INSTRUMENT:**

Many assessment instruments published in journals can be used in research as long as commercial gain is not sought and proper credit is given to the original source (United States Code, 17USC107). However, publication of an assessment tool's results in a journal does not necessarily indicate that the tool is in the public domain.

The copyright holder of each assessment determines whether permission and payment are necessary for use of that assessment tool. Note that the copyright holder could be either the publisher or the author or another entity (such as the Myers and Briggs Foundation, which holds the copyright to the popular Myers-Briggs personality assessment). The researcher is responsible for identifying and contacting the copyright holder to determine which of the following are required for legal usage of the instrument: purchasing legal copies, purchasing a manual, purchasing scoring tools, obtaining written permission, obtaining explicit permission to reproduce the instrument in my dissertation, or simply confirming that the tool is public domain.

Even for public domain instruments, Walden University requires students to provide the professional courtesy of notifying the primary author of your plan to use that tool in your own research. Sometimes this is not possible, but at least three attempts should be made to contact the author at his or her most recently listed institution across a reasonable time period (such as 2 weeks). The author typically provides helpful updates or usage tips and asks to receive a copy of the results.

Many psychological assessments are restricted for use only by suitably qualified individuals. Researchers must check with the test's publisher to make sure that they are qualified to administer and interpret any particular assessments that they wish to use.

**READ THIS IF YOU ARE CREATING YOUR OWN INSTRUMENT OR MODIFYING AN EXISTING INSTRUMENT:**

It is not acceptable to modify assessment tools without explicitly citing the original work and detailing the precise nature of the revisions. Note that even slight modifications to items or instructions threaten the reliability and validity of the tool and make comparisons to other research findings difficult, if not impossible. Therefore, unless a purpose of the study is to compare the validity and reliability of a revised measure with that of one that has already been validated, changes should not be made to existing measures. If the study is being conducted for the purpose of assessing the validity/reliability of a modified version of an existing measure, the original measure must also be administered to participants.

<b>37.</b>	Are any of your data collection tools published or based upon a published instrument?
<input type="checkbox"/>	Yes → Complete #38 a-c.
<input checked="" type="checkbox"/>	No → <b>Skip to #39 if you are only using tools you created yourself.</b>
<b>38a.</b>	Name the copyright holder for each published instrument.
<b>38b.</b>	Place an X next to each of the following legal usage terms that applies to the instrument. If you are using multiple published instruments, please enter the acronym for each measure (instead of an X) next to the usage terms that apply to that instrument.
<input type="checkbox"/>	I have obtained legal copies of the instrument.
<input type="checkbox"/>	I have obtained a legal copy of the manual or scoring kit.
<input type="checkbox"/>	I have obtained written permission to use the instrument in my research (submitted with this application).
<input type="checkbox"/>	I have obtained explicit permission to reproduce the instrument in my dissertation (submitted with this application).

	I have confirmed that the tool is public domain: <b>(Insert citation here)</b> .
	Other: _____
	<b>38c.</b> If you are making any modifications to the existing tool, please describe the modifications and explain why they are necessary.
	<b>39a.</b> List the titles of all self-designed interview guides, coding protocols, surveys, document review protocols, etc. here:
	<b>39b.</b> Did an expert panel outside of the faculty committee review the self-designed tool(s)? Expert panel review is not required but increases validity of a student-designed tool and thus, factors into the ratio of benefits to risks.
	No
	Yes
	<b>39c.</b> Did you pilot any of these tools already in a previous IRB-approved study? Piloting is not required but factors into benefits/risks assessment.
	No
	Yes. The Walden IRB approval number was <b>(insert IRB approval number here)</b>
	<b>39d.</b> Do you plan to pilot any of these tools or procedures?
	No.
	Yes. <b>(Briefly describe exactly what aspect of the study will be piloted and ensure the pilot steps included in item #12.)</b>

## VII. DESCRIPTION OF THE RESEARCH PARTICIPANTS

	<b>40a.</b> Provide the target number of participants, including numbers per group if your study involves multiple groups or a separate pilot sample:
	<b>40b.</b> Provide a brief rationale for this sample size:
	<b>40c.</b> Describe how potential participants will be found:
	<b>40d.</b> Describe the sampling strategy and provide a brief rationale for why that strategy was selected (e.g., random sampling, maximum variation sampling, snowball sampling, criterion sampling, stratified purposeful sampling, convenience sampling, etc):
	<b>41.</b> Please list all criteria for inclusion and exclusion of participants in this study (such as relevant experiences, age range, etc). Your inclusion criteria should define the sample's critical characteristics, based on the scope of the research question. Once you've defined inclusion criteria, if you have no further limitations on who can participate, just indicate "none" under exclusion criteria.
	Inclusion criteria:
	Describe how you will identify individuals who meet the inclusion criteria:
	Exclusion criteria:
	Describe how you will identify which individuals must be excluded:

<p><b>42.</b> Aside from the inclusion/exclusion criteria listed in #41 above, describe how potential participants' demographic variables will be relevant to obtaining an appropriate sample. (Quantitative researchers need to explain how a representative sample will be obtained in terms of gender, ethnicity, or any other relevant demographics. Qualitative researchers need to explain what demographic factors will be considered in selecting participants.)</p>			
<p><b>43.</b> The checklist of vulnerable groups below will help you check your responses to questions 40-42 for potential ethical problems. The ethical challenge is to achieve the goal of <a href="#">equitable sampling</a> that is appropriate to the research question while excluding vulnerable individuals whom the research procedures cannot adequately protect. At the same time, exclusion of any group reduces potential benefits to that group. So the IRB will separately weigh potential risks and benefits for each vulnerable group in this section.</p> <p>The potentially vulnerable populations listed below may only be specifically <u>recruited</u> when (a) the vulnerability status is directly related to the research question and (b) adequate measures are taken to ensure safety and voluntary participation.</p> <p>For each of the vulnerable groups below, indicate whether your procedures are designed to recruit any of the following as participants. <b>You need to place an X in one of the four blue boxes for each lettered category of vulnerable participants and add description of the protections to the right as indicated.</b></p>			
<p><b>A. Minors (17 and under)</b></p>			
	Yes: I will be specifically recruiting minors as participants. Protections are described to the right→	Describe protections from pressure to participate:	
		Describe protections from safety and privacy risks:	
	Possible: My participants might be minors but I may not know if they are. Protections are described to the right →	Describe protections from pressure to participate:	
		Describe protections from safety and privacy risks:	
	No: I will screen age so I can exclude minors. Exclusion procedures are described to the right →	Explain which screening procedure will enable exclusion of minors:	
	No: My recruitment methods automatically exclude minors.		
<p><b>B. Residents of any facility (prison, treatment facility, nursing home, assisted living, group home for minors)</b></p>			
	Yes: I will be specifically recruiting facility residents as participants. Protections are described to the right→	Describe protections from pressure to participate:	
		Describe protections from safety and privacy risks:	
	Possible: My participants might be facility residents but I may not know if they are. Protections are described to the right→	Describe protections from pressure to participate:	
		Describe protections from safety and privacy risks:	
	No: I will screen facility resident status so I can exclude them. Exclusion procedures are described to the right →	Explain which screening procedure will enable exclusion:	
	No: My recruitment methods automatically exclude facility residents.		
<p><b>C. Mentally disabled individuals</b></p>			
	Yes: I will be specifically recruiting mentally disabled persons as participants. Protections are described to the right→	Describe protections from pressure to participate:	
		Describe protections from safety and	



		privacy risks:	
	Possible: My participants might be mentally disabled but I may not know if they are. Protections are described to the right→	Describe protections from pressure to participate:	
		Describe protections from safety and privacy risks:	
	No: I will screen mental disability status so I can exclude them. Exclusion procedures are described to the right →	Explain which screening procedure will enable exclusion:	
	No: My recruitment methods automatically exclude mentally disabled individuals.		
D. Emotionally disabled individuals			
	Yes: I will be specifically recruiting emotionally disabled persons as participants. Protections are described to the right→	Describe protections from pressure to participate:	
		Describe protections from safety and privacy risks:	
	Possible: My participants might be emotionally disabled but I may not know if they are. Protections are described to the right→	Describe protections from pressure to participate:	
		Describe protections from safety and privacy risks:	
	No: I will screen emotional disability status so I can exclude them. Exclusion procedures are described to the right →	Explain which screening procedure will enable exclusion:	
	No: My recruitment methods automatically exclude emotionally disabled individuals.		
E. Pregnant women			
	Yes: I will be specifically recruiting pregnant women as participants. Protections are described to the right→	Describe protections from pressure to participate:	
		Describe protections from safety and privacy risks:	
	Possible: My participants might be pregnant but I may not know if they are. Protections are described to the right→	Describe protections from pressure to participate:	
		Describe protections from safety and privacy risks:	
	No: I will screen pregnancy status so I can exclude them from my sample. Exclusion procedures are described to the right →	Explain which screening procedure will enable exclusion:	
	No: My recruitment methods automatically exclude pregnant women.		
F. Subordinates of the researcher			
	Yes: I will be specifically recruiting my subordinates as participants. Protections are described to the right→	Describe protections from pressure to participate:	
		Describe protections from safety and privacy risks:	
	Possible: My participants might be my subordinates but I may not know if they are. Protections are described to the right→	Describe protections from pressure to participate:	
		Describe protections from safety and privacy risks:	
	No: I will screen subordinate status so I can exclude them. Exclusion procedures are described to the right →	Explain which screening procedure will enable exclusion of subordinates:	
	No: My recruitment methods automatically exclude my subordinates.		
G. Students of the researcher			



	Yes: I will be specifically recruiting my students as participants. Protections are described to the right→	Describe protections from pressure to participate:	
		Describe protections from safety and privacy risks:	
	Possible: My participants might be my students but I may not know if they are. Protections are described to the right→	Describe protections from pressure to participate:	
		Describe protections from safety and privacy risks:	
	No: I will screen student status so I can exclude my students. Exclusion procedures are described to the right →	Explain which screening procedure will enable exclusion of students:	
No: My recruitment methods automatically exclude my students.			
H. Clients or potential clients of the researcher			
	Yes: I will be specifically recruiting my clients as participants. Protections are described to the right→	Describe protections from pressure to participate:	
		Describe protections from safety and privacy risks:	
	Possible: My participants might be my clients but I may not know if they are. Protections are described to the right→	Describe protections from pressure to participate:	
		Describe protections from safety and privacy risks:	
	No: I will screen client status so I can exclude them. Exclusion procedures are described to the right →	Explain which screening procedure will enable exclusion:	
No: My recruitment methods automatically exclude my clients.			
I. Individuals who might be less than fluent in English			
	Yes: I will be specifically recruiting non-English speakers as participants. Protections are described to the right→	Describe protections from pressure to participate:	
		Describe protections from safety and privacy risks:	
	Possible: My participants might be less than fluent in English but I may not know if they are. Protections are described to the right→	Describe protections from pressure to participate:	
		Describe protections from safety and privacy risks:	
	No: I will screen non-English speakers so I can exclude them. Exclusion procedures are described to the right →	Explain which screening procedure will enable exclusion:	
No: My recruitment methods automatically exclude non-English speakers.			
J. Individuals who are in crisis (such as natural disaster victims or persons with an acute illness)			
	Yes: I will be specifically recruiting individuals in crisis as participants. Protections are described to the right→	Describe protections from pressure to participate:	
		Describe protections from safety and privacy risks:	
	Possible: My participants might be in crisis but I may not know if they are. Protections are described to the right→	Describe protections from pressure to participate:	
		Describe protections from safety and privacy risks:	
	No: I will screen crisis status so I can exclude them. Exclusion procedures are described to the right →	Explain which screening procedure will enable exclusion:	
No: My recruitment methods automatically exclude individuals in crisis.			

<b>K. Economically disadvantaged individuals</b>			
<input type="checkbox"/>	Yes: I will be specifically recruiting economically disadvantaged individuals as participants. Protections are described to the right→	Describe protections from pressure to participate:	<input type="checkbox"/>
		Describe protections from safety and privacy risks:	<input type="checkbox"/>
<input type="checkbox"/>	Possible: My participants might be economically disadvantaged but I may not know if they are. Protections are described to the right→	Describe protections from pressure to participate:	<input type="checkbox"/>
		Describe protections from safety and privacy risks:	<input type="checkbox"/>
<input type="checkbox"/>	No: I will screen economic status. Exclusion procedures are described to the right →	Explain which screening procedure will enable exclusion:	<input type="checkbox"/>
<input type="checkbox"/> No: My recruitment methods automatically exclude economically disadvantaged individuals.			
<b>L. Elderly individuals (65+)</b>			
<input type="checkbox"/>	Yes: I will be specifically recruiting elderly individuals as participants. Protections are described to the right→	Describe protections from pressure to participate:	<input type="checkbox"/>
		Describe protections from safety and privacy risks:	<input type="checkbox"/>
<input type="checkbox"/>	Possible: My participants might be elderly but I may not know if they are. Protections are described to the right→	Describe protections from pressure to participate:	<input type="checkbox"/>
		Describe protections from safety and privacy risks:	<input type="checkbox"/>
<input type="checkbox"/>	No: I will screen age so I can exclude elderly individuals. Exclusion procedures are described to the right →	Explain which screening procedure will enable exclusion:	<input type="checkbox"/>
<input type="checkbox"/> No: My recruitment methods automatically exclude elderly individuals.			
<b>44. Please briefly justify the inclusion of each vulnerable group for whom you answered “Yes” or “Possible” above in item 43. Ensure that this response provides a rationale for why it is impossible or unethical to conduct the research without including the protected population.</b>			
<input type="checkbox"/>			
<b>45. If competency to provide consent could possibly be an issue for any participants, describe how competency will be determined and your plan for obtaining consent. If not applicable, please indicate NA.</b>			
<input type="checkbox"/>			

**ADDITIONAL ISSUES TO ADDRESS WHEN PARTICIPANTS INCLUDE CHILDREN (AS PER FEDERAL REGULATIONS)**

<b>46. Will your sample include individuals less than 18 years of age?</b>		
<input type="checkbox"/>	Yes → Please complete questions 47-48.	
<input type="checkbox"/>	No → Please skip ahead to question 49.	
<b>47. If this study proposes to include minors, this inclusion must meet one of the following criteria for risk/benefit assessment, according to the <a href="#">federal regulations</a>.</b>		
Place an X in the appropriate blue box to indicate the level of risk.		
<input type="checkbox"/>	Minimal risk	
<input type="checkbox"/>	Greater than minimal risk, but holds prospect of direct benefit to participants.	
<input type="checkbox"/>	Greater than minimal risk, no prospect of direct benefit to participants, but likely to yield generalizable knowledge about the participant’s disorder or condition.	
<b>48. Please explain how the criterion in question 47 is met for this study.</b>		
<input type="checkbox"/>		

**ADDITIONAL ISSUES TO ADDRESS WHEN PARTICIPANTS INCLUDE  
PRISONERS  
(AS PER FEDERAL REGULATIONS)**

<b>49.</b> Is it possible that your sample will include prisoners? Place an X in the appropriate blue box below.	
<input type="checkbox"/>	Yes → Please complete question 50 a-e.
<input type="checkbox"/>	No → Please skip ahead to question 51.
<b>50.</b> Enrollment of prisoners requires that the IRB is able to document that the seven conditions under federal regulations 45 CFR 46 Subpart C are met. If you plan to recruit individuals who are at high risk of becoming incarcerated in a penal institution during the research (e.g., participants with substance abuse history, repeat offenders, etc.), it is best that the IRB can address the Subpart C requirements at the time of initial review. Otherwise, if a participant becomes incarcerated during the course of the research and the IRB has not previously reviewed and approved your research for enrollment of prisoners, all research activity must immediately cease for that individual until review and application of Subpart C regulations occurs by the IRB.	
<b>a.</b> Will this study examine the possible causes, effects, or processes of incarceration?	
<input type="checkbox"/>	Yes
<input type="checkbox"/>	No
<b>b.</b> Will this study examine the facility as an institutional structure?	
<input type="checkbox"/>	Yes
<input type="checkbox"/>	No
<b>c.</b> Will this study specifically examine the experience of being incarcerated?	
<input type="checkbox"/>	Yes
<input type="checkbox"/>	No
<b>d.</b> Will this study examine a condition(s) particularly affecting these prisoners?	
<input type="checkbox"/>	Yes
<input type="checkbox"/>	No
<b>e.</b> Will this study examine a procedure, innovative or accepted, that will have the intent or reasonable probability of improving the health or well being of the participants?	
<input type="checkbox"/>	Yes, and residents will be assigned to groups by <u>(provide explanation as to how groups will be formed here)</u> .
<input type="checkbox"/>	No

### VIII. OBTAINING INFORMED CONSENT

This application's final checklist will direct you to email unsigned drafts of your consent/assent forms to IRB@waldenu.edu at the same time you submit this IRB form. Your application is not considered complete until they are received.

<p><b>51.</b> Federal regulations require that the informed consent procedures disclose each of the elements in the checklist below and that consent be documented (usually by asking the participants to sign the consent form listing all of the disclosures but there are some other arrangements that are acceptable, depending on the privacy issues and logistics of the data collection).</p> <p><u>Anonymous surveys</u> rely on implicit endorsement rather than obtaining a signed endorsement. In other words, instead of collecting a signature the researcher might instruct the participant to complete the survey if they agree to participate in the study as described on the cover page, which would need to include all the elements of informed consent below.</p> <p>When participants are <u>6 and under</u>, researchers must obtain parental consent in addition to reading a script that asks the children for their verbal assent to participate. When participants are <u>between 7 and 17</u>, researchers must obtain parental consent in addition to reviewing an age-appropriate assent form with the child and asking the child to sign if they want to participate.</p> <p><u>Templates</u> for consent and assent forms can be downloaded from the <a href="#">IRB Web site</a>. Note that the consent and assent forms on the IRB Web site are only templates and <u>will likely need a great deal of tailoring</u> for your study. Pay particular attention to making the <u>reading level appropriate</u> for your targeted participant population.</p>		
<b>Please affirm, by placing an X in each of the corresponding blue boxes, that your consent/assent form(s) contain each of the following required elements.</b>	<b>YES</b>	<b>N/A</b>
Statement that the study involves research		<b>X</b>
Statement of why subject was selected		<b>X</b>
Disclosure of the identity and all relevant roles of researcher (e.g., doctoral student, part-time faculty member, facility owner)		<b>X</b>
An understandable explanation of research purpose		<b>X</b>
An understandable description of procedures		<b>X</b>
Expected duration of subject's participation		<b>X</b>
Statement that participation is voluntary		<b>X</b>
Statement that refusing or discontinuing participation involves no penalty		<b>X</b>
Description of reasonably foreseeable risks or discomforts		<b>X</b>
Description of anticipated benefits to subjects or others		<b>X</b>
Information on compensation for participation		<b>X</b>
Description of how confidentiality will be maintained		<b>X</b>
Whom to contact with questions about the research (i.e. researcher's contact information)		<b>X</b>
Whom to contact with questions about their rights as participants (Walden University representative)		<b>X</b>
Statement that subject may keep a copy of the informed consent form		<b>X</b>
All potential conflicts of interest are disclosed		<b>X</b>
Consent process and documentation are in language understandable to the participant		<b>X</b>
There is no language that asks the subject to waive his/her legal rights		<b>X</b>
If appropriate, indicates that a procedure is experimental (i.e., not a standard Rx)		<b>X</b>
If appropriate, disclosure of alternative procedures/treatment		<b>X</b>
If appropriate, additional costs to subject resulting from research participation		<b>X</b>

### FINAL IRB CHECKLIST

<p><b>52.</b> Please indicate below, by placing an X in the corresponding blue boxes, which method you are using to send each of your supporting documents. We ask that you send these supporting documents to the IRB at the same time you submit this application.</p> <p>Students must obtain their supervising faculty member's approval in question #55 <u>before</u> submitting any materials to the IRB.</p>			
	<b>Emailed to IRB@waldenu.edu</b>	<b>Faxed to (626) 605-0472</b>	<b>Not applicable to my study</b>
Human Research Protections training completion certificate			<b>X</b>
Data collection tools (e.g., surveys, interviews, assessments, etc.)			<b>X</b>
<u>All of the following that apply to any assessments' copyright holders:</u> written/mailed permission to use the instrument, permission to reproduce the instrument in the dissertation, confirmation that the tool is public domain, proof of the researcher's qualifications to administer the instrument			<b>X</b>
Letters of Cooperation from community partner organizations (e.g., school) or individuals (e.g. cooperating teacher) who are assisting with participant recruitment or data collection			<b>X</b>
Data Use Agreement from any community partners that will be sharing their non-public records			<b>X</b>
Invitation to participate in research (e.g., letter, flier, phone script, ad, etc.)			<b>X</b>
Signed Confidentiality Agreements for transcribers, statisticians, research assistant, etc.			<b>X</b>
Consent/assent forms			<b>X</b>
Federal certificate of confidentiality (to shield data from subpoena)			<b>x</b>

Please maintain a copy of this completed application for your records. Once the IRB application and all supporting documents have been received, the IRB staff will email the researcher and any relevant faculty supervisors to confirm that the IRB application is complete. At this time, the IRB staff will also notify the researcher of the expected IRB review date for the proposal.

The review date will be scheduled no later than 15 business days after your completion of this application. In the case of doctoral students, the review date will be scheduled no later than 15 business days after both  
A) the application is complete  
and B) the proposal is fully approved.

Notice of outcome of the IRB review will be emailed to the researcher and any supervising faculty members within 5 business days of the review. Please be aware that the IRB committee might require revisions or additions to your application before approval can be granted.

Neither pilot nor research data may be collected before notification of IRB approval. Students collecting data without approval risk expulsion and invalidation of data. The IRB will make every effort to help researchers move forward in a timely manner. Please contact [IRB@waldenu.edu](mailto:IRB@waldenu.edu) if you have any questions.

### FEEDBACK ON THIS IRB APPLICATION

<p><b>53.</b> The board is committed to making this IRB application as clear and specific as possible so that even novice researchers can provide all the information necessary for the board to evaluate the ethics of the proposed data collection. If you would like, please give us feedback on any questions or steps that you found unclear:</p> <p>You will also have an opportunity to provide anonymous feedback at the end of the IRB review process.</p>
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### RESEARCHER ELECTRONIC SIGNATURE

<p><b>54.</b> By placing an X next to each of these boxes and providing my email address below as an authentication, I am providing an electronic signature certifying that each of the statements below is true.</p>	
<input checked="" type="checkbox"/>	The information provided in this application form is correct, and was completed after reading all relevant instructions.
<input checked="" type="checkbox"/>	I agree to conduct this and all future IRB correspondence via email/fax.
<input checked="" type="checkbox"/>	I, the researcher, will request IRB approval before making any modification to the research procedures or forms, using the Request for Change in Procedures Form found at the <a href="#">Walden IRB Web site</a> .
<input checked="" type="checkbox"/>	I, the researcher, will report any unexpected or otherwise significant adverse events and general problems within one week using the Adverse Event Reporting Form found at the <a href="#">Walden IRB Web site</a> .
<input checked="" type="checkbox"/>	Neither recruitment nor data collection will be initiated until final IRB approval is received from <a href="mailto:IRB@waldenu.edu">IRB@waldenu.edu</a> .
<input checked="" type="checkbox"/>	I understand that this research, once approved, is subject to continuing review and approval by the Committee Chair and the IRB.
<input checked="" type="checkbox"/>	I, the researcher, will maintain complete and accurate records of all research activities (including consent forms and collected data) and be prepared to submit them upon request to the IRB.
<input checked="" type="checkbox"/>	I understand that if any of the conditions above are not met, this research could be suspended and/or not recognized by Walden University.
Enter researcher email address (provides authentication for electronic signature and thus must match email address on file with Walden University):	
<a href="mailto:Raymond.Kaval@WaldenU.edu">Raymond.Kaval@WaldenU.edu</a> (Alternate: <a href="mailto:kayalsr@bellsouth.net">kayalsr@bellsouth.net</a> )	

#### IRB Policy on Electronic Signatures

Walden's IRB operates in a nearly paperless environment, which requires reliance on verifiable electronic signatures. Electronic signatures are only appropriate when the signer is either (a) the sender of the email, or (b) copied on the email containing the signed document.

Electronic signatures are regulated by the Uniform Electronic Transactions Act. Legally, an "electronic signature" can be the person's typed name, their email address, or any other identifying marker. An electronic signature is just as valid as a written signature as long as both parties have agreed to conduct the

transaction electronically. University staff will verify any electronic signatures that do not originate from a password-protected source (i.e., an email address officially on file with Walden).

#### SUPERVISING FACULTY MEMBER ELECTRONIC SIGNATURE

<p><b>55.</b> As the faculty member supervising this research, I assume responsibility for ensuring that the student complies with University and federal regulations regarding the use of human participants in research. By placing an X in each of these boxes and providing my email address below as an authentication, I am providing an electronic signature certifying that each of the statements below is true.</p>	
<b>X</b>	I affirm that the researcher has met all academic program requirements for review and approval of this research.
<b>X</b>	I will ensure that the researcher properly requests any protocol changes using the Request for Change in Procedures Form found at the <a href="#">Walden IRB Web site</a> .
<b>X</b>	I will ensure that the student promptly reports any unexpected or otherwise significant adverse events and general problems within 1 week using the Adverse Event Reporting Form found at the <a href="#">Walden IRB Web site</a> .
<b>X</b>	I will report any noncompliance on the part of the researcher by emailing notification to IRB@waldenu.edu.
<p>Faculty member should enter their email address (provides authentication for electronic signature and thus must match email address on file with Walden University): carol.wells@waldenu.edu</p>	