



university of
groningen

Public Values in the Design Process of a PPP Urban Light Rail Project

“How can a PPP, in the preparation and design phase of an urban light rail project, encourage or discourage the embracement of procedural and material public values for light rail in the design process?”



Colophon

Title:	Public Values in the Design Process of a PPP Urban Light Rail Project
Author:	Luna Berkedam
Contact:	l.a.berkedam@student.rug.nl
Student Number:	S3108716
Bachelor:	Technische Planologie
University:	Rijksuniversiteit Groningen
Version:	Final Version
Date:	July, 2020
Supervisor:	Dr. S. Verweij
Cover page:	(Provincie Utrecht & Gemeente Utrecht, 2019)

Table of Contents

Colophon	2
Table of Contents	3
Abstract	5
1 Introduction	6
1.1 Background.....	6
1.2 Societal Relevance	6
1.3 Scientific Relevance.....	6
1.4 Objectives and Research Questions	7
1.5 Reading Guide.....	7
2 Theoretical Framework	8
2.1 Public-Private Partnership.....	8
2.1.1 Defining PPP	8
2.1.2 Motives for Cooperation	8
2.2 Public Values	9
2.2.1 Defining Public Values.....	9
2.2.2 Procedural Public Values	9
2.2.3 Material Public Values	10
2.3 Conceptual Model.....	12
3 Methodology.....	13
3.1 Case Study Method.....	13
3.1.1 Case Description	13
3.1.2 Case Selection	14
3.2 Data Collection	14
3.2.1 Literature Review	14
3.2.2 Semi-structured Interviews	15
3.2.3 Media Documents	15
3.3 Data Analysis	16
3.4 Ethical Considerations.....	16
4 Results.....	17
4.1 PPP Characteristics.....	17
4.1.1 Type of Contract.....	17
4.1.2 Relationships within the Decision-Making Process	17
4.2 Motives for Cooperation	18
4.2.1 Motives for the Public Sector	18
4.2.2 Motives for the Private Sector.....	18
4.3 Procedural Public Values.....	19
4.3.1 Legitimacy	19
4.3.2 Responsiveness	19
4.3.3 Transparency	20
4.3.4 Accountability	20
4.4 Material Public Values.....	22
4.4.1 Efficiency & Effectiveness within the Design Process	22
4.4.2 Quality	22

5 Conclusion	24
5.1 <i>Tensions</i>	24
5.2 <i>Recommendations</i>	24
6 Discussion & Reflection.....	25
6.1 <i>Discussion</i>	25
6.2 <i>Reflection and Recommendations for Future Research</i>	25
References.....	26
Appendix 1 – Interview Guide	29
Appendix 2 – Consent Form.....	30
Appendix 3 – Deductive Coding Tree.....	32
Appendix 4 – Inductive Codebook.....	33

Abstract

Light Rail Transit Systems often require resources that reach beyond the resources available within governmental organizations. PPPs seem to offer an opportunity to still execute such projects. Yet, an increased responsibility of private parties for the delivery of public transport systems raises the question whether the public interest in terms of public values can still be safeguarded. Existing literature shows the need for further empirical research on this in a specific context. This thesis investigates the effect of PPPs on public values in the design process of urban light rail projects through a case study of the Uithoflijn. A literature review is combined with semi-structured interviews and a review of media documents. Two types of public values are distinguished, being procedural (legitimacy, responsiveness, transparency, and accountability) and material (efficiency & effectiveness and quality) public values. Results show the varying motives for cooperation between public and private parties in the D&C contract. Additionally, the embracement of the procedural and material public values is distinguished and compared, which uncovers conflicts as a result of tension between contract requirements as well as public and private interests. Thereafter, recommendations are made to strengthen the embracement of public values. Private actors should be given the contractual freedom to use their knowledge and expertise to create higher material value within a design, while also having an explicit role in supporting public actors in safeguarding public values. Consequently, the design process should be more about the spirit of the contract, being a desired end goal, rather than contractual games that eventually discourage the embracement of public values.

I | Introduction

1.1 Background

Governments are increasingly cooperating with private sector enterprises to facilitate and manage public infrastructure (Grimsey and Lewis, 2004). From 2005 onwards, public-private partnerships (PPPs) have become an emerging governance model for public service delivery in the Netherlands (Hueskes et al., 2019). Moreover, Huang et al. (2016) stress that PPPs are globally being applied for the delivery of transport infrastructure, for example road and rail projects. Advocates argue that PPPs can increase efficiency for the delivery of public services (such as public transport infrastructure). For example, this can refer to technical developments that might result in improved quality, lower prices and faster delivery times (Estache & Saussier, 2014; Hueskes et al., 2019). Nonetheless, it remains questionable whether the involvement of private enterprises in public service delivery is only fruitful, or that it also creates risks for the execution of public duties with regards to public values (Koppenjan et al., 2008; Reynaers, 2014). Heldeweg and Sanders (2011) argue that it can be possible to safeguard and maintain public values, but the combination of private sector involvement (with private interests) and public sector responsibility (with public interests) is under no circumstances self-evident.

1.2 Societal Relevance

Well-functioning public transport systems can be considered as an important public value that governments should safeguard (Koppenjan et al., 2008; Martens, 2017). According to Martens (2017), a fundamental duty of government is to provide sufficient accessibility to all, by establishing a public transport system that meets the demands, needs and interests of society (van der Bijl et al., 2018; Martens, 2017). Next to accessibility, a sustainable and a just as well as legitimate public transport system is of great importance to society as a whole (Rijksoverheid, 2019). Nevertheless, traffic jams tend to increase and bring about economic, environmental and social debt in urban areas all over the world (Vasconcelos et al., 2019). High-quality public transport systems that effectively meet the mobility needs of people, for example Light Rail Transit Systems, may offer a future-proof solution for transport infrastructure (Böhler-Baedeker & Hüging, 2015; van der Bijl et al., 2018). Because the realisation of such systems often requires resources that reach beyond the resources available within the governmental organization, PPP structures seem to offer an opportunity to still execute such projects (Jacobs, 2019). Yet, it is not clear to what extent the benefits of private sector involvement will offset the possible threats regarding the safeguarding of public values. It is therefore crucial to research this possible trade-off (Heldeweg & Sanders, 2011; Koppenjan et al., 2008; Reynaers, 2014).

1.3 Scientific Relevance

Most research on PPPs is currently focused on (financial) performance, the organizational form and contractual arrangements, whereas the impact of those factors shaping the PPP on public values is often neglected in research (Hueskes et al., 2019; Reynaers, 2014). After conducting a case study to investigate the effect of PPPs on public values, Reynaers (2014) concludes that public values can either be threatened, safeguarded, or strengthened by the use of PPPs, depending on the project phase and the specific public value that is being researched. She, among others, stresses the need for further empirical research on the effect of PPPs on public values, focused on different phases within the project and for different specific public values (Da Cruz & Marques, 2012; Hodge & Greve, 2010; Reynaers, 2014). Reynaers (2014) and Willems (2014) underline that public values and PPPs should be studied in their specific context, as this specific context shapes the performance of public values to a large extent. Therefore, empirical findings from case studies cannot just be generalized to other

examples, contexts and countries. Hence, it is important to increase the amount of research to allow for comparing case-study findings and eventually gain a greater understanding of the effect of PPPs on public values in general (Reynaers & de Graaf, 2014).

1.4 Objectives and Research Questions

This research investigates the effect of PPPs on public values in urban light rail projects. To do so, the extent to which two types of public values (procedural and material) are embedded in the design of an urban light rail project is being researched in the specific case of the Uithoflijn. It is first of all important to characterize the specific PPP influencing the public values, as well as to define the specific public values this research focuses on. Motives that encourage public authorities and private enterprises to cooperate possibly influence the type of public values taken into account and are therefore relevant to consider.

This research adopts the following research question:

“How can a PPP, in the preparation and design phase of an urban light rail project, encourage or discourage the embracement of procedural and material public values for light rail in the design process?”

Consequently, the questions that follow from the main research question and the specific case of the Uithoflijn are:

1. How can the specific PPP in the case of the Uithoflijn be characterized?
2. What are procedural public values for urban light rail projects?
3. What are material public values for urban light rail projects?
4. What motives encourage public authorities and private enterprises to cooperate in the design process in the case of the Uithoflijn?
5. To what extent are public values taken into account in the design of the case study?

1.5 Reading Guide

This thesis comprises six chapters. Core concepts will be further defined in chapter two. Chapter three elaborates on the different research methods and the specific case being studied. The fourth chapter presents the results for the case of the Uithoflijn. Chapter five will answer the main research question and provide recommendations. Chapter six will discuss the findings in the light of the existing literature and reflect on the research process.

2 | Theoretical Framework

2.1 Public-Private Partnership

2.1.1 Defining PPP

This research approaches a PPP in line with the infrastructure approach (Weihe, 2008a). This refers to the cooperation between governments and private sector enterprises for the provision of public infrastructure, for this research this specifically refers to the design of public transport infrastructure (Grimsey and Lewis, 2004; Weihe, 2008a).

The institutional structure of a PPP determines how a PPP influences public values. However, this can differ significantly among various definitions of PPPs (Bovaird, 2004). Weihe (2008a) distinguishes narrow and broad definitions of the PPP-concept within the infrastructure approach. Most research on the effect of PPPs on public values is concerned with a narrow definition that only covers arrangements that integrate private financing, design, construction, operation, and/or maintenance into a single contract (Reynaers, 2014; Weihe, 2008a). However, to be able to expand the knowledge on the effect of PPPs on public values, this research adopts a broad definition of the PPP concept, which can cover all varieties of the above-mentioned components (Weihe, 2008a; Whittington, 2012).

The institutional structure of the broad PPP definition can be further analysed and defined following the approach of a network-PPP (Heldeweg & Sanders, 2011). Here, governments and private enterprises cooperate in a governance network that produces shared objectives (the desired goal) and a common strategy (to reach that goal), while both continue to have their own tasks, authorities, and responsibilities (Heldeweg & Sanders, 2011). This is schematically represented by Sanders (2010) in figure 2.1.

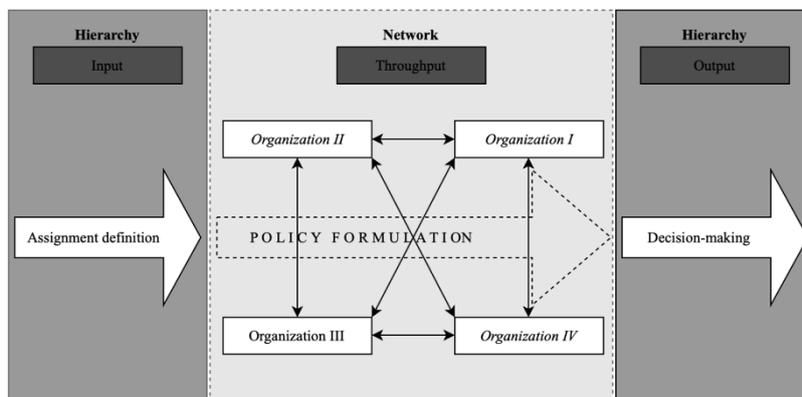


Figure 2.1: *The decision-making process in a PPP [Het besluitvormingsproces bij een PPS]* (Translated from Sanders, 2010, p.82).

2.1.2 Motives for Cooperation

Linder (1999) describes various types of normative aims for PPPs that can be considered motives for the establishment of a PPP (referenced by Reynaers & de Graaf 2014, p.122). Most important, PPPs are expected to modernize traditional public management by providing the possibility for cooperation with private enterprises. Expectations are that this strengthens innovation, productivity, competition, service efficiency, and cost reduction. Moreover, PPPs oftentimes allow for financial risk-sharing, as a result of private sector investment. Hence, PPPs provide the opportunity for both the public and the private sector to benefit from one another's resources and knowledge, as well as shared risks and responsibilities. Nevertheless, Koppenjan et al. (2008) argue that profit generally remains to be the most important motive for the private sector.

2.2 Public Values

2.2.1 Defining Public Values

There exists much confusion in public administration literature about the exact definition of public values (Koppenjan et al., 2008; Reynaers, 2014). Hence, Reynaers (2014) stresses the importance to determine which specific public values are being discussed in a particular study.

This research will draw a distinction between two types of public values, as was proposed by Weihe (2008b): procedural and material public values. Although the traditional approach to public values often relates to procedural values such as accountability and transparency (Weihe, 2008b; Reynaers, 2014), Weihe (2008b) expands the notion of public values by including values that reflect material benefits. In doing so, Weihe (2008b) distinguishes two general categories of public values:

- ◆ “Procedural values: the traditional values of public administration such as equality, transparency, democratic accountability and governance by rule.”
- ◆ “Material values: tangible substance values (for example those affiliated with the rationale for implementing PPPs).” (Weihe, 2008b, p.153).

Although research has shown that cooperation between public authorities and private enterprises is necessary to achieve a higher material value, the safeguarding of procedural values may be threatened (Weihe, 2008b).

2.2.2 Procedural Public Values

Procedural values concern standards that processes of governmental actions should adhere to. Hence, they refer to the way the public sector is supposed to act (de Bruijn & Dicke, 2006; Weihe, 2008b). This research focuses on four specific procedural public values, based on their significance in public administration literature on the effect of PPPs on public values (see for example de Bruijn & Dicke, 2006; Heldeweg & Sanders, 2011; Koppenjan et al., 2008; Reynaers, 2014). Their relevance for light rail projects is embedded in the idea that safeguarding procedural values is crucial for projects that involve high amounts of public money (Bovens et al., 2017). Public transport infrastructure projects, and rail projects specifically, tend to involve high expenses that are generally financed by the government (Huang et al., 2016). Considering that the financial resources of government mainly consist of tax money, they have to adhere to certain values for good governance (Bovens et al., 2017). The four procedural values that this study focuses on are described below.

Legitimacy

Legitimacy is concerned with the extent to which the governmental organization hands over decision-making authority to private actors (Heldeweg & Sanders, 2011). Following the institutional structure of a PPP, the decisions and actions of a government become to a large extent influenced by the network in which public and private actors cooperate (Sanders, 2010). However, private actors cannot base their behavior on the conventional legal legitimacy of “decision-making by government” in a way the governmental organization can (Heldeweg & Sanders, 2011). Hence, a project that is executed in a PPP network can face a challenge with regards to legitimacy if not only the public, but also private actors act as decision-making authority.

Responsiveness

Responsiveness is in this research defined as “the ability of public servants to determine, influence and adjust public service delivery” (Reynaers, 2014, p.43). Because the actual provision of public service delivery is (partly) transferred to the private sector within a PPP, responsiveness is threatened when the public authority is no longer capable of intervening in the project at every desirable moment (Reynaers, 2014).

Transparency

Transparency is concerned with the availability of, and access to, information about public service delivery (Acar & Robertson 2004, referenced by Reynaers 2014, p.43). First of all, a transparent provision of information should be guaranteed within the public sector, between the public actors involved in the project, and the elected officials. Second, a transparent provision of information to citizens and other stakeholders should be guaranteed. The latter is primarily meant to make sure that citizens are informed about the plans and actions of the government, for example via websites or information meetings, in order to enhance citizens’ support for the project (Hood et al., 2006). The question in the context of a PPP is whether the public organization is still capable of ensuring a sufficient degree of transparency, considering that the project takes place within a network of both public and private actors.

Accountability

The government has the obligation to account for (i.e., motivate for) its behavior (Faber & Budding, 2018; Bovens et al., 2017). Accountability refers to the process where citizens can hold the government to account for their behavior through elected officials (Reynaers, 2014). In other words, the public organization involved in the project has to be able to explain and motivate its behavior towards elected officials. This process is facilitated by the possibility for elected officials to ask questions to the public organization (Bovens et al., 2017). Considering that within a PPP network public organization(s) and private enterprises cooperate to reach shared objectives, the question emerges whether the public organization(s) can still fulfill the task to account for the behavior taking place within the network. Collins and Butler (2003) stress that this can be endangered when the public organization becomes “systematically distanced” and no longer has direct control on the behavior that takes place (referenced by Reynaers, 2014, p.43).

2.2.3 Material Public Values

For public (transport) infrastructure projects in general, material values refer to both tangible values related to the process of a project (i.e., effectiveness and efficiency outcomes), as well as tangible values directly representing desired quality outcomes for the project (Estache & Saussier, 2014; Reynaers, 2014).

Efficiency & Effectiveness within the Design Process

The private sector is assumed to be more performance oriented, enhancing a higher degree of efficiency and effectiveness (Reynaers & de Graaf, 2014), resulting in for example lower prices and faster delivery times (Hueskes et al., 2019). Estache & Saussier (2014) identify three key-drivers within a PPP that might contribute to a higher efficiency: a lower degree of political interference, risk transfers, and private sector resources such as up-to-date technical and management knowledge. However, Jupe (2009) stresses that the results of PPPs to deliver public transport infrastructure, and railways specifically, have been disappointing in terms of costs and efficiency. The main reason for this lies within the idea that risks cannot be evenly distributed between public and private actors because the ‘unreliable’ private sector cannot take sole responsibility for vital transport infrastructure (Jupe, 2009).

Quality

Quality refers to desired tangible values for a well-functioning public transport system. Although PPP literature generally suggests that the private sector contributes to a higher value in terms of quality as a result of private sector resources such as innovation, productivity and service efficiency (Reynaers & de Graaf, 2014; Weihe, 2008b), Reynaers (2014) stresses that this is not a given thing, as “private firms will strive for financial optimization and provide only a minimum level of quality” (p.44).

For public transport systems in general, the national government of the Netherlands stresses the need for a public transport system that improves accessibility for all in a fast, reliable, comfortable, safe, and sustainable way (Rijksoverheid, 2017, 2019). For light rail systems specifically, van der Bijl et al. (2018) conclude that five domains of argumentation in favor of light rail can be distinguished (see table 2.1). They reflect tangible desired circumstances for Light Rail Transit Systems and can therefore be considered material values with regards to quality. Table 2.1 shows the five domains, as well as indicators that further operationalize these domains, based on the literature presented in the third column.

DOMAIN OF ARGUMENTATION (van der Bijl et al., 2018, p.91)	CHARACTERISTICS	SOURCE(S)
Effective Mobility “Effectiveness of transport and mobility”	<ul style="list-style-type: none"> • Accessible • High capacity • Reliable • Safe • Fast • Comfortable 	Böhler-Baedeker & Hüging, 2015; Rijksoverheid, 2017; van der Bijl et al., 2018.
Efficient City “Suitability of spatial use and spatial / urban (re)development”	<ul style="list-style-type: none"> • Suitable in urban landscape • Added spatial value • Attractiveness 	Böhler-Baedeker & Hüging, 2015; van der Bijl et al., 2018.
Economy “Prosperity and well-being in/for cities”	<ul style="list-style-type: none"> • Potential for economic development • Increased value of land 	Van der Bijl et al., 2018.
Environment “Decreasing carbon footprints; sustainable cities”	<ul style="list-style-type: none"> • Sustainable transport system • Less environmental pollution • Healthy city 	Van der Bijl et al., 2018.
Equity “Socially inclusive cities”	<ul style="list-style-type: none"> • Universal access for all groups in society • Contribution to social inclusiveness 	Rijksoverheid, 2019; van der Bijl et al., 2018.

Table 2.1: *Material public values for light rail with regards to quality* (Author)

2.3 Conceptual Model

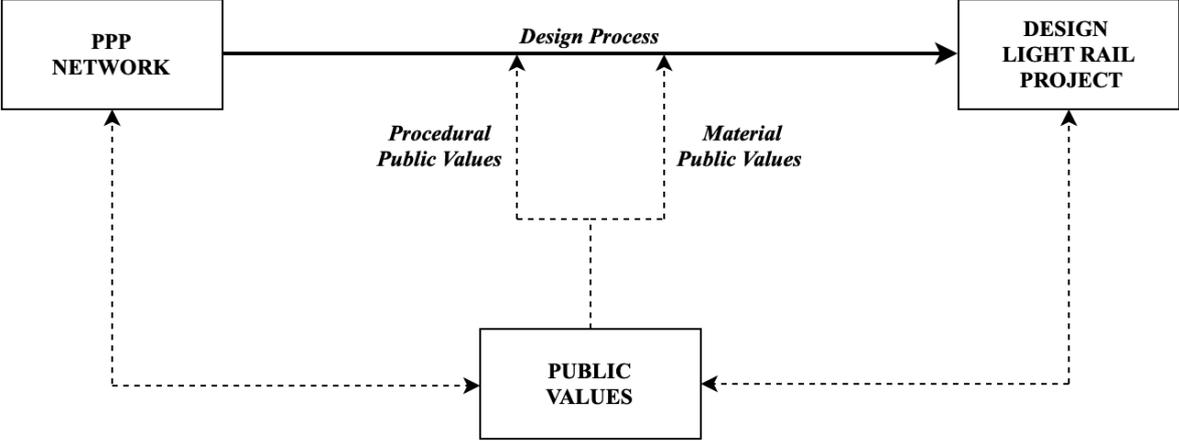


Figure 2.2: Conceptual model (Author, 2020).

The conceptual model (figure 2.2) shows how the main concepts within this thesis interrelate. It shows how a PPP network is being established in order to create a design for an urban light rail project. This happens within the design process, where two types of public values have an influence: material and procedural. The public values influence the PPP network by providing a framework within which the public authority establishes a PPP. In turn, the PPP network also influences if and to what extent specific public values are being taken into account in the design process. Eventually, this structure determines how specific public values for light rail are being represented in the design of a light rail project.

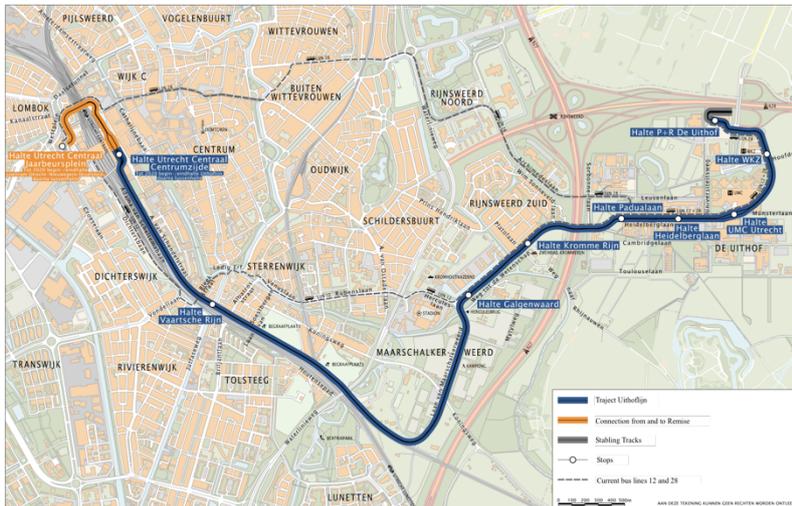
3 | Methodology

3.1 Case Study Method

Because the embracement of public values is highly dependent on the specific context in which they are embedded (Koppenjan et al., 2018; Reynaers, 2014; Willems, 2014), this research adopts a case study approach. A case study offers the possibility to gain profound and integral knowledge on a specific object or process in practice (Clifford et al., 2016).

3.1.1 Case Description

The Uithoflijn concerns an urban light rail project that replaced the original bus line between Utrecht Central Station and Utrecht Science Park (map 3.1). It is supposed to contribute to the aim of the Province and the City of Utrecht to develop a resilient and future-proof public transport system that improves accessibility and sustainability (Provincie Utrecht & Gemeente Utrecht, 2019). After the start of the project in 2010, it has been taken into use on the 16th of December 2019. This research focuses on the preparation- and design-phase of the project, presented in figure 3.1.



Map 3.1: The trajectory of the Uithoflijn (Translated from Provincie Utrecht & Gemeente Utrecht, 2020)

Implementation Decision		Preparation Phase <i>Establishment of Project Organization and Schedule of Requirements</i>		Procurement Phase <i>BAM and CAF</i>	
2010	2011	2012	2013	2014	
Design Phase <i>Design & Construct</i>	Building Tram Infrastructure and Production Phase Material		Test Operation Uithoflijn	Pilot Operation Uithoflijn	
2015	2016	2017	2018	2019	

Figure 3.1: Chronology Uithoflijn & Focus of research (Translated from Projectorganisatie Uithoflijn, 2020)

3.1.2 Case Selection

The selection of the case is based on its relevance to the research objective. First of all, the Uithoflijn is a light rail project commissioned by the government, and completely funded with public money. Hence, the project is expected to adhere to certain procedural and material public values. Second, the design of the Uithoflijn has been established in a network of public and private enterprises, possibly affecting the specific public values that are embraced within the project. Finally, the specific contract type (D&C) contributes to an expansion of knowledge on the effect of PPPs on public values in general, as most research on this topic is concerned with a narrower definition of PPPs (Reynaers, 2014).

3.2 Data Collection

The case study method makes use of triangulation of research methods. According to Clifford et al. (2016), this strengthens the validity of research outcomes. This study combines a literature review with semi-structured interviews and a review of media documents. Due to the COVID-19 pandemic, it was not possible to conduct physical interviews, which is why they have been conducted online via a video-call. An overview of the used methods in relation to the research questions is presented in figure 3.2.

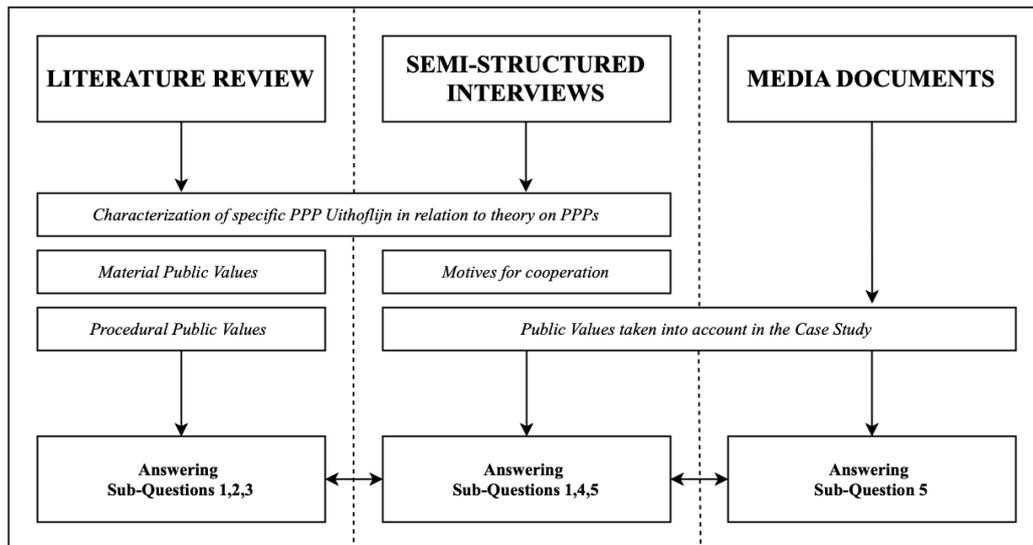


Figure 3.2: Overview of the used methods in relation to the research questions (Author, 2020)

3.2.1 Literature Review

First, a literature review was conducted to be able to sharpen the focus of this research and elaborate on relevant concepts. This helped to answer sub-questions 1,2 and 3, and laid the foundation for the interview questions and the coding tree. Additionally, it creates the opportunity to compare research results with existing literature (Clifford et al., 2016).

Relevant literature was found by making use of different search engines like ‘Smartcat’, ‘Scopus’ and ‘Google Scholar’. The literature concerns both Dutch and international scientific literature, in order to gain a broad understanding of, and insight in, the concept of a PPP and public values for urban light rail projects.

3.2.2 Semi-structured Interviews

The primary data has been collected by conducting semi-structured interviews with public and private stakeholders involved in the design process of the Uithoflijn. Because the concept of public values tends to be a politically sensitive subject, it is important to diminish the influence of the way questions are proposed on the answers. Semi-structured interviews provide the opportunity to ask open-ended questions, allowing for a scope of deviation that enables the researcher to understand the specific perspectives of respondents and go in-depth. At the same time, sufficient structure (in the form of an interview guide) is safeguarded, to allow for targeted data collection and comparison (Clifford et al., 2016; Rabionet, 2011). The interviews were conducted in Dutch, and the interview guide can be found in Appendix 1. The information deduced from the interviews will help to answer sub-questions 1,4 and 5.

It is important that respondents have been extensively involved in the design process. Snowball sampling offers a suitable method for recruiting the right respondents. This method uses a contact person to facilitate contact with another expert, who can in turn help recruiting other experts (Valentine, 2005). Another criterion was an equal number of respondents from the private and public sector, as this study aims for comparing the two perspectives. Table 3.1 provides an overview of all respondents.

NAME IN THESIS	ORGANIZATION / SECTOR	OCCUPATION (IN DUTCH)	DATE	ONLINE MEDIUM	DURATION (MINUTES)
- (explorative interview)	Provincie Utrecht (Public)	Allround medewerker traminfrastructuur	28/04/2020	Microsoft Teams	34
Respondent 1 (R-1)	Provincie Utrecht (Public) <i>Uithoflijn Project Organization</i>	Projectmanager Traminfrastructuur	07/05/2020	Microsoft Teams	47
Respondent 2 (R-2)	Provincie Utrecht (Public)	Senior Adviseur Openbaar Vervoer	03/06/2020	Microsoft Teams	46
Respondent 3 (R-3)	Provincie Utrecht (Public)	Opgavemanager Uithoflijn	18/06/2020	Microsoft Teams	53
Respondent 4 (R-4)	Movares B.V. (Private)	Senior Adviseur Mobiliteit en Ruimte	30/04/2020	Microsoft Teams	73
Respondent 5 (R-5)	BAM Infra (Private)	Contractmanagement & Legal Projectcontrol	08/06/2020	Microsoft Teams	40
Respondent 6 (R-6)	BAM Infra (Private)	Integraal Ontwerpleider	22/06/2020	Microsoft Teams	38

Table 3.1: Overview of interviewees (Author, 2020)

3.2.3 Media Documents

The Uithoflijn received a lot of media attention. Therefore, it is interesting to analyze news articles that discuss public values concerning the design of the project. The media documents are complementary to the information derived from the semi-structured interviews, in order to gain a broader understanding that helps answering sub-question 5. Relevant news articles are selected via search engine 'Nexis Uni', using the reference words: 'Uithoflijn', 'Ontwerp' and 'Gehoord'. Table 3.2 provides an overview of the selected news articles.

AUTHOR(S)	TITLE	NEWSPAPER	DATE OF PUBLICATION
Bekkering, P.	<i>Nieuwe tram vereist veel acrobatiek van rolstoeler</i>	AD Utrechts Nieuwsblad	13-06-2020
Houtekamer, C. & Rengers, M.	<i>Lange reeks fouten bij Uithoflijn; Rapport over Uithoflijn Bewust te laag begroot, geen samenwerking, informatie niet gedeeld; Utrecht lange reeks fouten bij aanleg van de Uithoflijn</i>	NRC Handelsblad	05-12-2018
Hoving, R.	<i>Een omgeving fijner maken, dat is wat me drijft</i>	AD Utrechts Nieuwsblad	31-12-2019

Table 3.2: Overview of selected news articles (Author, 2020)

3.3 Data Analysis

From the online interviews, audio recordings have been made using 'Quicktime Player' software. The recordings have been transcribed using 'oTranscribe'. The transcripts and selected media documents have been coded using the coding software 'ATLAS.ti' with a combination of deductive and inductive codes (Thomas, 2003). Based on the analyzed literature, a theory-driven (deductive) code-tree has been developed to analyze the 5th sub-question (Appendix 3). Additional data-driven (inductive) codes have been identified during the coding process to analyze sub-questions 1 and 4 (Appendix 4).

3.4 Ethical Considerations

In order to act ethically, it is important to be transparent about the intentions and objectives of this research, as well as the process of data collection and data analysis. Therefore, before conducting the interviews, interviewees were sent a consent form via email and they were formally asked whether they agreed with the interview being recorded at the beginning of the interview. The document contained agreements regarding the purpose of this research, the processing of data and the rights of interviewees, such as the right to remain anonymous and the possibility to correct the transcripts for factual inaccuracies. By signing the document, interviewees confirmed that they agreed with the explicit agreements. The information derived from the interviews will not be used for any other purpose than is stated beforehand, without permission. The document is attached in Appendix 2.

4 | Results

This chapter presents the results of the case study. The results have been based on the information collected via the semi-structured interviews and the selected media documents. This chapter follows the structure of the theoretical framework, starting with an interpretation of the PPP in the context of the case. Afterward, the main motives to establish the PPP are being discussed. Finally, the extent to which the specific procedural and material public values are embraced within the design process will be reviewed.

4.1 PPP Characteristics

4.1.1 Type of Contract

The contract for this project was a Design & Construct (D&C) contract, meaning that the design and construction of the Uithoflijn are tendered as one single contract. Hence, this type of PPP fits the broad definition of a PPP within the infrastructure approach (Weihe, 2008a). Characteristic for the design process within a D&C contract is that the client provides a framework for the design, compromising a set of functional requirements that the design has to adhere to, while the individual design is left to the creativity of the contractor. The contractor has the responsibility to prove the client that the proposed design fits with the specific functional requirements, meaning that the contractor remains to be dependent on the client to a certain extent.

4.1.2 Relationships within the Decision-Making Process

The decision-making process is schematically presented in figure 4.1, showing the different actors and their relationships.

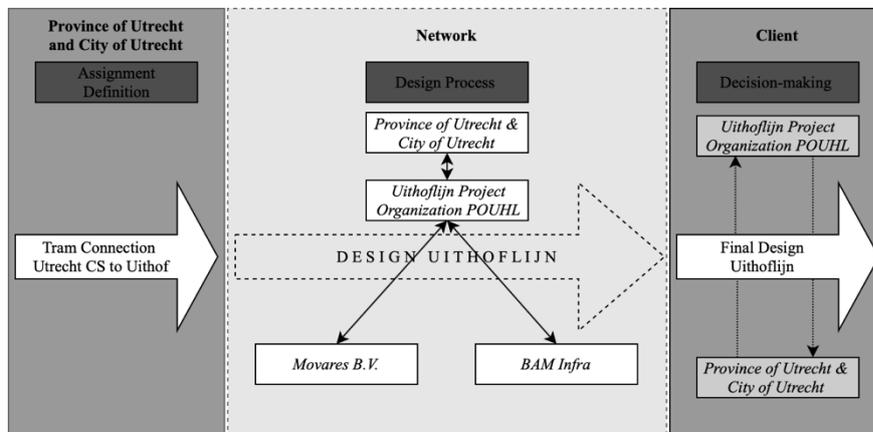


Figure 4.1: The decision-making process in the case of the design for the Uithoflijn (Sanders, 2010, p.82; edited by Author, 2020).

The Province and City of Utrecht are the sponsors of the project. They formulate the assignment definition and define abstract critical requirements for the project. To execute the project, the Uithoflijn Project Organization (POUHL) has been established as the client. The POUHL developed the functional requirements that the design had to adhere to, based on the abstract requirements formulated by the sponsors, and an advising reference design created by Movares B.V. Eventually the contractor, BAM Infra, became responsible for creating the design. The type of contract provided the contractor with a degree of freedom to make design choices, as long as these choices are aligned with the set of prescribed functional requirements. This was not always experienced that way, expressed by R-5: “The word ‘freedom’ is not suitable for this phase according to me. I think that there are already too many requirements within the contract, in general for this type of contract, to really be able to do your own thing” (R-5, 2020). The communication between the various actors predominantly went through the project organization (figure 4.1).

4.2 Motives for Cooperation

4.2.1 Motives for the Public Sector

Knowledge & Expertise

The foremost important motive identified by all public sector respondents to cooperate with private enterprises is knowledge and expertise. The design required very technical and specific knowledge and expertise, which was not available within the governmental organization (R-3, 2020).

Swift Recruitment of Temporary Employees

The second motive concerns the opportunity to swiftly recruit, but also get rid of employees in a decent manner. R-1 explains that the project had a high peak in terms of workload, which only lasted for a couple of years. When the project finished, the required knowledge and expertise that was crucial at the time was no longer necessary.

4.2.2 Motives for the Private Sector

The contribution of knowledge and expertise to the project was also stressed by private sector respondents. Furthermore, three motives can be specifically identified for the private sector, which are described below.

Profit

Earning money is a key motive for the private sector, mentioned by all private sector respondents. R-5 demonstrates that in the end, the contractor needs to make profit. R-6 underlines this by stating the following: “*So yes very strongly taken, the main reason why you participate is purely to make money, to generate revenue*” (R-6, 2020).

Prestige Project

Another important motive links to the degree in which a project allows for the possibility to distinguish the company from the competition. This is illustrated by the following quote: “*Basically all disciplines that the company BAM Infra is concerned with can be applied in this project. This makes it a multi-disciplinary project, with which we could distinguish ourselves*” (R-5, 2020).

Job Generator and Personal Development

Multiple respondents explained that their contribution to light rail projects is important to keep employees with specific knowledge on light rail systems within the organization (R-4; R-5, 2020). Furthermore, R-6 stresses that it enhances the development of knowledge on light rail systems, contributing to the personal development of employees.

4.3 Procedural Public Values

Table 4.1 shows the extent to which the specific procedural public values are embraced within the design process.

PROCEDURAL PUBLIC VALUE	EMBRACEMENT WITHIN DESIGN PROCESS
Legitimacy	●
Responsiveness	●
Transparency within the public sector	○
Transparency towards citizens and stakeholders	●
Accountability	○

- Strong embracement
- Moderate embracement
- Weak embracement

Table 4.1: *The extent of embracement for procedural public values (Author, 2020).*

4.3.1 Legitimacy

Most respondents argued that the POUHL can be considered as the decision-making authority. They formally remained to be in control, safeguarding a legal basis for the decisions and actions within the project that embraces legitimacy.

The decision-making position of the POUHL, with regards to the design, is expressed in two ways. Firstly, they prescribe the set of functional requirements which influences the design to a large extent. Secondly, they had to provide their approval for all elements of the design. Nevertheless, R-1 states that it is not always that black and white, as *“It is not possible to identify one authority that had decision-making authority on all elements of the design, it varies. The more abstract an element, the more it was in the domain of the sponsors, the more detailed an element, the more it was in the domain of the contractor and his/her sub-consultants. Everything in between was often in the domain of the POUHL”* (R-1, 2020).

4.3.2 Responsiveness

All respondents agreed that the governmental organizations (the POUHL directly and the sponsors indirectly, via the POUHL) were, to a certain extent, able to influence the design process. Nevertheless, as long as the contractor creates a design that fits within the framework of requirements, they formally have the freedom to determine what will happen (R-1, 2020). Hence, responsiveness was embraced in the design process but oftentimes hampered by the contractual freedom inherent in a D&C contract.

According to R-3, the public authority should always be able to keep track of the project and make adjustments when necessary. This is safeguarded by the aforementioned fact that they had to provide their approval for all components of the design and formulate the requirements. However, it is up for discussion whether or not certain design components fit within the set of requirements. This might result in a contractual game, in which the contractor, a commercial party, focuses on what is predefined in the tender of the contract (R-3, 2020). This oftentimes resulted in challenging situations, expressed by R-2: *“Well, eventually a lot of things can be influenced or adjusted, but don’t ask how much effort, money and hassle that took”* (R-2, 2020). Moreover, to be able to still make progress, requests from the public authority to adjust the design could not be taken into account at every desirable moment (R-6, 2020).

4.3.3 Transparency

Transparency within the public sector was clearly perceived as a challenge. All respondents acknowledged the importance to include citizens and other stakeholders in the design process, and also indicated their commitment to this. Nevertheless, media documents show that specific groups within society still felt unheard.

Transparency within the public sector

The desire to create political support resulted in a situation where “*yeah I don’t want to say that it is exactly calculated in such a way that it fits, but within the assessment framework you consciously choose to include specific information, and ignore other information*” (R-2, 2020). This directly threatens transparency, as crucial information was deliberately withheld from elected officials (Houtekamer & Rengers, 2018). All respondents acknowledged these challenges, which is expressed by R-3: “*I consider transparency to be an important area of attention and improvement*” (R-3, 2020).

Transparency towards citizens and stakeholders

Transparency towards citizens is to a large extent safeguarded by the Freedom of Information Act, which provides both active and passive disclosure of public information and documents (R-1, 2020). Moreover, some members within the project organization were occupied with the provision of information towards citizens (i.e. newsletters, folders, information nights), and every decision on the design was taken in consultation with important stakeholders (R-1; R-3, 2020). Additionally, all private sector respondents stressed their responsibility and attempts to involve all stakeholders and society groups in the design process. Regardless of these efforts, R-5 explains that the media shows that specific social groups still felt unheard (for example Bekkering, 2020), and stresses the importance to improve this during the preparation phase. After procurement, it becomes a lot harder to adjust the design to their wishes.

4.3.4 Accountability

Although the importance of accountability is acknowledged by all respondents, it was oftentimes perceived as challenging, which was also emphasized in the media. Elected officials did not have a clear view on the project design (Houtekamer & Rengers, 2018) and were not always capable to account for the governmental behavior towards citizens, directly endangering the process of accountability.

The process of accountability for the specific case of the Uithoflijn is schematically presented in figure 4.2. It starts at the POUHL, as they have to report about the project to the steering group. In turn, the Provincial Executive and the City Council have the power to ask questions, that the Deputy of the Province and the Councilor of the Municipality should be able to answer. Hence, they have the obligation to inform the Provincial Executive and the City Council on the progress of the project, which constitutes the line of public accountability. Because particular information requires specific knowledge and expertise, the public actors are to some degree dependent on the information of the involved private enterprises, which are therefore included in figure 4.2. (R-1; R-2, 2020). R-1 describes this as follows: “*Look, sometimes you receive very complex questions, for which you need the private parties to formulate an answer*” (R-1, 2020).

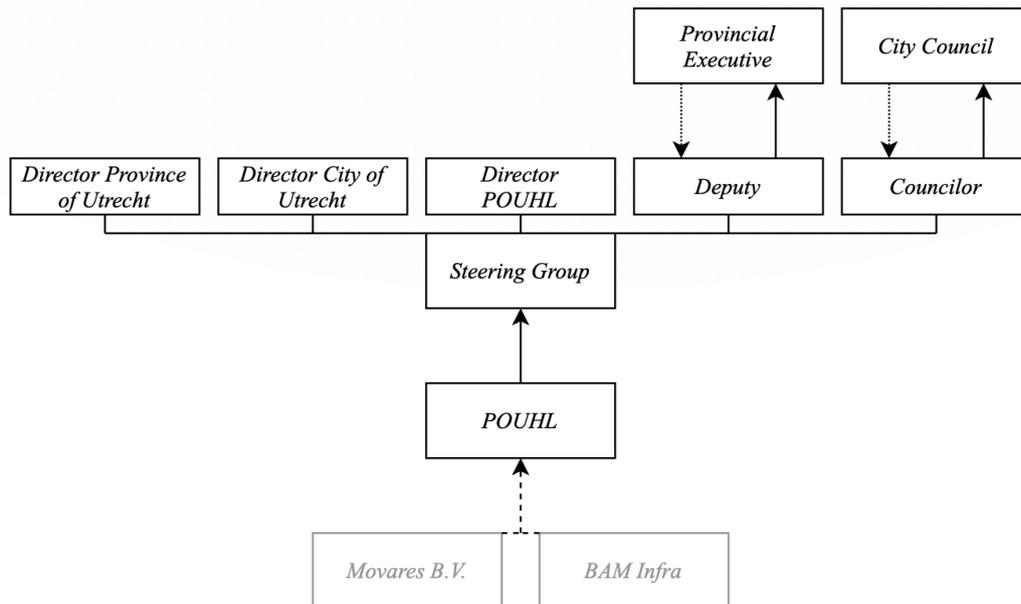


Figure 4.2: *The process of accountability for the specific case of the Uithoflijn* (Author, 2020).

The project organization tended to wait too long with informing elected officials (Houtekamer & Rengers, 2018; R-2; R-3, 2020). This had three important reasons. First, the desire to create political support as explained in 4.3.3. Second, the dependency of the POUHL on the knowledge and expertise of private enterprises (R-1; R-2, 2020). Despite this, none of the private sector respondents felt that they influenced the process of accountability, and some even stated that they preferably did not want to get involved in this process (R-4, 2020). Lastly, the project suffered from many delays and became more expensive, which are challenging subjects to account for (R-1, 2020).

The process of accountability had great influence on the decision-making process and the progress of the project, as symbolized by R-5: *“At the moment public accountability comes in, and in addition you might also fear your own position within the political system, then of course you will re-consider everything over and over again before saying yes or no. In fact, what you sometimes see in public organizations is the feeling that not making a decision is the safest option. Let’s just wait and see. My firm belief is that this really did happen within this project”* (R-5, 2020). Councilor Lot van Hooijdonk acknowledges this by stating that *“We should have made decisions faster so we could have avoided the delay”* (Hoving, 2019).

4.4 Material Public Values

Table 4.2 shows the extent to which the specific material public values are embraced within the design process.

MATERIAL PUBLIC VALUE	EMBRACEMENT WITHIN DESIGN PROCESS
Efficiency & Effectiveness within the Design Process	○
Quality	●

- Moderate embracement
- Weak embracement

Table 4.2: The extent of embracement for material public values (Author, 2020).

4.4.1 Efficiency & Effectiveness within the Design Process

The case shows that a higher degree of efficiency and effectiveness within the design process is not guaranteed in a PPP.

Respondents agreed that the public and private parties shared risks, but not based on equality. In fact, most risks remained to be for the client. This formed an important reason for the public authority to be willing to remain in control in the design process (R-3, 2020). This resulted in almost 400 amendment requests to the contractor (Houtekamer & Rengers, 2018; R-6, 2020). Hence, the official freedom that the contractor had to apply its creativity and expertise could not be used optimally, and a lot of political interference was necessary to keep track of the project, eventually resulting in further delays and increased expenses (Hoving, 2019; R-1; R-5; R-6, 2020).

4.4.2 Quality

All respondents argued that the transition to a light rail line that connects Utrecht Central Station and Utrecht Science Park resulted in an increased quality for this specific public transport system. Notwithstanding, all public sector respondents indicated that the design of the Uithoflijn does not compass the sophisticated appearance that they desired.

The positive impact on quality is above all embedded in an increased effectiveness of the mobility system, as all respondents argued that the light rail system contributed to an improved accessibility for areas along the track, particularly due to a higher capacity (R-1; R-3; R-6, 2020), speed (R-4; R-6, 2020) and reliability (R-4, 2020). Moreover, R-6 stressed that the segregation of traffic flows improved safety. The added spatial value in terms of spatial quality and attractiveness as well as economic value in terms of its contribution to “a sound business climate” (R-2, 2020) has also been emphasized (Hoving, 2019). R-1 even speaks of a so-called “Tram-bonus (...) I really think a light rail has a higher appreciation value among the public” (R-1, 2020). The contribution to a more sustainable transport system, and hence, a healthy city was not mentioned by the respondents for being a public value. Nevertheless, local residents felt that a light rail system would contribute to a better environment in terms of decreased noise levels and improved air quality, which created social support for the project (Hoving, 2019; R-4, 2020).

However, the outcomes in terms of quality are not all positive. Bekkering (2020) argues that the requirements to be wheelchair accessible were not met, which threatens universal access and therefore social inclusiveness of Utrecht. Following Bekkering (2020), “the problems could have been prevented when the interest group [Solgu] would have been involved in the design process from the beginning” (Bekkering, 2020), which was also generally emphasized by R-5. Furthermore, all public sector

respondents indicated that the appearance of the Uithoflijn is not what they desired for, although it fits within the contractual prescribed requirements. R-6 explains that the political hassle regarding the meaning of requirements and ambiguous responsibilities has influenced the final result, as both parties become to 'hide' themselves behind the contractual agreements: “(...) *and in the end that influences the outcome, parties become less focused on the envisioned end-goal, and more focused on, let's say, the laborious way towards it*” (R-6, 2020).

5 | Conclusion

5.1 Tensions

The case study shows that a PPP can cause tensions between procedural and material public values, which might eventually result in a sub-optimal outcome for both.

Tensions arise as a result of conflicting interests between the public and the private sector that work counterproductive. The motives for cooperation show that the public authority is dependent on the knowledge and expertise of private enterprises for the execution of a light rail project. However, private enterprises remain to be commercial parties whose main driver is to earn money. For the public authority, in contrast, the results show their desire to remain in control to be able to safeguard procedural public values. This is in line with the theoretical expectations defined in chapter two.

The PPP (in terms of a D&C contract), transfers responsibility for the establishment of the design to the private actor by giving it contractual freedom to make design choices. Despite this, the public authority tries to remain the decision-making authority to safeguard a sufficient degree of responsiveness and legitimacy. This tension causes challenging situations that delay decision-making and increase the projects' expenses. In turn, this impacts the embracement of other procedural values, as the design process gains a higher political sensitivity, which makes it harder to account for or to be transparent about. This further delays decision-making which negatively impacts the possibilities for the contractor to make progress, eventually resulting in even more delay, higher costs, and extra discussion. Consequently, the efficiency and effectiveness of the design process deteriorate, creating a situation where both parties hide behind the contractual agreements, instead of focusing on the envisioned end-goal. Finally, this results in a sub-optimal quality as well.

To conclude, a PPP can strengthen the embracement of public values by making use of mutual strengths. However, this highly depends on the willingness of public as well as private parties to genuinely cooperate and aim for real synergies, keeping each other's interests in mind. The established contract plays an important role in this, as the case study shows that the D&C contract creates tensions with regards to decision making. The case study shows that the aforementioned preconditions are not self-evident and that it might not be possible to embrace both procedural and material public values in an optimal way. Still, this thesis can offer guidance to improve this embracement.

5.2 Recommendations

The PPP contract should enhance the embracement of mutual strengths and varying interests. The private actors should have sufficient freedom in the design process to effectively make use of their knowledge and expertise to create a well-functioning light rail system. To do so, the contract should contain less predefined requirements compared to the case study. On the other hand, the role of private actors in the embracement of procedural as well as material public values should be made more explicit, to avoid tensions in the decision-making process between the freedom of private enterprises and the responsibility of public authorities to safeguard public values. Consequently, public authorities should respect the freedom of private actors in the design process and accept their decreased direct control on the content of the design in order to reach a higher material value. At the same time, private actors should acknowledge their responsibility to safeguard procedural public values and support the public authorities in embracing them as best as possible. The design process should be about the desired end goal, rather than contractual hassle.

6 | Discussion & Reflection

6.1 Discussion

This research contributes to the scientific knowledge about the effect of PPPs on the embracement of public values by reviewing the extent to which specific procedural and material values have been embraced by a specific type of PPP for the case of an urban light rail project. The findings are in line with existing literature, demonstrating that a PPP can offer both opportunities and threats with regards to the embracement of public values, as it depends on the specific context in which they are embedded (Koppenjan et al, 2008; Reynaers, 2014; Reynaers & de Graaf, 2014; Willems, 2014). Yet, this study adds to existing literature by offering insights into concrete conflicts that may occur in the embracement of public values within a D&C contract, which can be used to conduct comparative analysis with other case-studies in the future. Ways to do so could be to compare them on specific characteristics like contract type, project type, project phase or (type of) public values. This endorses the need for further empirical research that is diverse in its contexts to gain a greater understanding of the effect of PPPs on public values in general (Reynaers, 2014; Reynaers & de Graaf, 2014).

6.2 Reflection and Recommendations for Future Research

Reflection on the research outcomes

The case study method offered a suitable method for answering the research questions as it appreciates the specific context of the case. Nevertheless, it is important to acknowledge the limitations on the generalization of findings, as they are based on one specific case. Hence, the findings should be seen in the light of past and future research on this topic, to be able to say something about the effect of PPPs on public values in general.

Furthermore, the literature that identified the procedural and material public values that are at stake in urban light rail projects (except for quality) have predominantly been based on public administration literature about PPPs and public values. The selected values are not based on their specific appropriateness for light rail, but rather their applicability to public transport infrastructure projects that involve high expenses. This thesis does not suggest that the selected values are the only important public values for urban light rail projects. Future research could investigate in practice which public values are specifically applicable to light rail projects.

Finally, although this study of a D&C contract did provide an insight in concrete tensions between public values and public and private actors, it is not always considered a true partnership in scientific literature. Modern literature emphasizes PPP characteristics that the D&C contract does not allow for, such as long-term contracting, private financing, far-reaching design freedom, risk transfers, and joint decision-making (for example Brogaard & Petersen, 2018; Parrado & Reynaers, 2019; Verweij et al., 2020).

Reflection on the research process

Looking back, I think that the research process has been successful. The theoretical framework provided an effective guide to base the research questions and coding schemes on. Due to the COVID-19 crisis, recruiting respondents was challenging, as some did not have the opportunity to contribute to this research during these times. Fortunately, six respondents agreed to share their experiences and thoughts. I was positively surprised by their honest and fair responses to my questions, regardless of the political sensitivity. Additionally, I think that the review of media documents has had a positive effect on the content of this research, as it worked complementary to the input of respondents.

References

- Bekkering, P. (2020). *Nieuwe tram vereist veel acrobatiek van rolstoeler*. AD Utrechts Nieuwsblad.
- Bovaird, T. (2004). Public-Private Partnerships: from Contested Concepts to Prevalent Practice. *International Review of Administrative Sciences*, 70(2), 199-215.
- Bovens, M.A.P., 't Hart, P., van Twist, M.J.W., van den Berg, C.F., van der Steen, M.A., Tummers, L.G. (2017). *Openbaar Bestuur: Beleid, Organisatie en Politiek*. Deventer: Wolters Kluwer.
- Böhler-Baedeker, S. & Hüging, H. (2015). *'Public Transport First' Strategy*. Bonn: Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ).
- Brogaard, L. & Petersen, O. -H. (2018). Public-private partnerships (PPPs) in development policy: Exploring the concept and practice. *Development Policy Review*, 36, O729 – O747.
- Clifford, N., Cope, M., Gillespie, T. & French, S. (2016). *Key methods in geography* (Third ed.). London: SAGE.
- Da Cruz, N.F. & Marques, R.C. (2012). Mixed companies and local governance: no man can serve two masters. *Public Administration*, 90(3), 737-758.
- De Bruijn, H. & Dicke, W. (2006). Strategies for safeguarding public values in liberalized utility sectors. *Public Administration*, 84(3), 717-735.
- Estache, A. & Saussier, S. (2014). Public-private partnerships and efficiency: A short assessment. *CESifo DICE Report*, 12(3), 8-13.
- Faber, A.S.C. & Budding, G. (2018). *Innovatie in Publieke Verantwoording*. Vrije Universiteit Amsterdam.
- Grimsey, D. & Lewis, M.K. (2004). *Public Private Partnerships: The Worldwide Revolution in Infrastructure Provision and Project Finance*. Cheltenham: Edward Elgar.
- Heldeweg, M. & Sanders, M. (2011). Botsende publieke waarden bij publiek-private samenwerking. Dimensies en dilemma's van juridisch-bestuurskundige legitimiteit in het bijzonder bij openbaar gezag. *Bestuurskunde*, 20(2), 33-43.
- Hodge, G. & Greve, C. (2010). Public-private partnerships: Governance scheme or language game? *Australian Journal of Public Administration*, 69(1), S8-S22.
- Hood, J., Fraser, I. and McGarvey, N. (2006). Transparency of Risk and Reward in U.K. Public-Private Partnerships. *Public Budgeting and Finance*, 26(4), 40-58.
- Houtekamer, C. & Rengers, M. (2018). *Lange reeks fouten bij Uithoflijn; Rapport over Uithoflijn Bewust te laag begroot, geen samenwerking, informatie niet gedeeld; Utrecht lange reeks fouten bij aanleg van de Uithoflijn*. NRC Handelsblad.
- Hoving, R. (2019). *Een omgeving fijner maken, dat is wat me drijft*. AD Utrechts Nieuwsblad.
- Huang, Z., Zheng, P., Ma, Y., Li, X., Xu, W., and Zhu, W. (2016). A simulation study of the impact of the public-private partnership strategy on the performance of transport infrastructure. *SpringerPlus*, 5(1), art. no. 958.

- Hueskes, M., Koppenjan, J.F.M. & Verweij, S. (2019). Public-private partnerships for infrastructure: Lessons learned from Dutch and Flemish PhD-theses. *European Journal of Transport and Infrastructure Research*, 19(3), 160-176.
- Jacobs, I. (2019). *Overleg met Rutte over financiering OV-projecten Randstad*. Retrieved on March 4 from <https://www.ovpro.nl/metro/2019/01/09/geheim-overleg-over-financiering-ov-projecten-randstad/>. OVPro.
- Jupe, R. (2009). New Labour, Public-Private Partnerships and Rail Transport Policy. *Economic Affairs*, 29(1), 20-25.
- Koppenjan, J., Charles, M.B. & Ryan, N. (2008). Editorial: Managing Competing Public Values in Public Infrastructure Projects. *Public Money and Management*, 28(3), 131-134.
- Martens, K. (2017). *Transport Justice: Designing Fair Transportation Systems*. London: Routledge.
- Parrado, S. & Reynaers, A. -M. (2019). Public-private partnerships: procedural over results-driven accountability. *International Review of Administrative Sciences*, 65(1), 1-18.
- Projectorganisatie Uithoflijn (2020). *Powerpoint presentation Uithoflijn Utrecht*. Retrieved on June 18 from Respondent 3.
- Provincie Utrecht & Gemeente Utrecht (2019). *Fotogalerij Tram 22 in gebruik*. Retrieved on June 6 from <https://www.uithoflijn.nl/nieuws/fotogalerij/>.
- Provincie Utrecht & Gemeente Utrecht (2019). *Uithoflijn*. Retrieved on March 14 from <https://www.uithoflijn.nl/home/>.
- Provincie Utrecht & Gemeente Utrecht (2020). *Routekaart Uithoflijn*. Retrieved on June 21 from https://www.uithoflijn.nl/fileadmin/Redacteuren_Bestand_Upload/Afbeeldingen/Tracedelen/16122_8_uithoflijn_routekaart_kd_met_wijzigingen_2020_doorkoppeling.pdf.
- Rabionet, S.E. (2011). How I Learned to Design and Conduct Semi-Structured Interviews: An Ongoing and Continuous Journey. *Qualitative Report*, 16(2), 563-566.
- Reynaers, A. -M. (2014). Public Values in Public-Private Partnerships. *Public Administration Review*, 74(1), 41-50.
- Reynaers, A. -M. & de Graaf, G. (2014). Public Values in Public-Private Partnerships. *International Journal of Public Administration*, 37(2), 120-128.
- Rijksoverheid (2017). *Vertrouwen in de Toekomst: Regeerakkoord 2017-2021*. Den Haag: Rijksoverheid.
- Rijksoverheid (2019). *Klimaatakkoord*. Den Haag: Rijksoverheid.
- Sanders, M. (2010). Legitieme besluitvorming door PPS. *Recht der werkelijkheid*, 31(1), 80-85.
- Thomas, D. R. (2003). *A general inductive approach for qualitative data analysis*. New Zealand: University of Auckland, School of Population Health.
- Valentine, G. (2005). Tell me about...: using interviews as a research methodology. *Methods in human geography: A guide for students doing a research project*. 2nd edition. Harlow: Prentice Hall. Pp. 110-126.
- Van der Bijl, R., Bukman, B., & van Oort, N. (2018). *Light Rail Transit Systems: 61 Lessons in Sustainable Urban Development*. Elsevier.

Vasconcelos, V.S., Silva, F.Q., Rovai, R.L., De Liberal, M.M.C., & Rached, C.D.A. (2019). Identification of the main risk factors in infrastructure projects of transporting people on rail by public-private partnerships. *International Journal of Entrepreneurship*, 23(1), 1-17.

Verweij, S., Loomans, O. & Leendertse, W. (2020). The Role of the Public Partner in Innovation in Transport Infrastructure PPPs: A Qualitative Comparative Analysis of Nine Dutch DBFM contracts. *Public Works Management & Policy*, 25(1), 5-32.

Weihe, G. (2008a). Ordering Disorder – On the Perplexities of the Partnership Literature. *The Australian Journal of Public Administration*, 67(4), 430-442.

Weihe, G. (2008b). Public-Private Partnerships and Public-Private Value Trade-Offs. *Public Money and Management*, 28(3), 153-158.

Whittington, J. (2012). When to Partner for Public Infrastructure? *Journal of the American Planning Association*, 78(3), 269-285.

Willems, T. (2014). Democratic Accountability in Public-Private Partnerships: The Curious Case of Flemish School Infrastructure. *Public Administration*, 92(2), 340-358.

Appendix I – Interview Guide

ORGANISATIE & ROL [BLOK 1]

- Kunt u mij iets vertellen over uw achtergrond bij *[bedrijf/instantie/organisatie]*?
- Hoe bent u bij het project betrokken geraakt? (Rol/ fase)
- Op welke manier was *[bedrijf/instantie/organisatie]* betrokken bij dit project?
 - Welke andere partijen zijn betrokken geweest in dit project? (Ontwerpfase)

MOTIEVEN VOOR SAMENWERKING [BLOK 2]

- **Vraag voor de publieke partij**
 - Wat zijn binnen dit project de 3 belangrijkste motieven geweest om de samenwerking met de private sector op te zoeken?
 - Denkt u dat de private bedrijven de publieke organisatie hebben aangevuld, en zo ja: hoe?
- **Vraag voor de private partij**
 - Wat zijn vanuit uw bedrijf de 3 belangrijkste motieven geweest om mee te werken aan dit project en de samenwerking met de publieke sector op te zoeken?
 - Denkt u als privaat bedrijf de publieke organisatie te hebben aangevuld, en zo ja: hoe?

VERHOUDINGEN BINNEN DE SAMENWERKING [BLOK 3]

- Hoe zou u de verhoudingen tussen de verschillende betrokken actoren beschrijven?
 - Hoe verhiel de rol van *[bedrijf/instantie/organisatie]* zich tot andere actoren?
- Een aantal vragen over hoe deze samenwerking contractueel is vastgelegd:
 - Is het contract in overleg opgesteld of vooraf al vastgesteld?
 - Wat was de duur van het contract?
 - Was volgens u sprake van risicospreiding tussen de publieke en de private partijen volgens het contract?
- Hoe zijn de verantwoordelijkheden binnen de ontwerpfase verdeeld?
 - Zijn er vooraf bepaalde eisen gesteld aan het ontwerp? Zo ja: heeft dit volgens u de totstandkoming van het ontwerp beïnvloed?
- Wie was uiteindelijk de beslissende autoriteit als het gaat om het ontwerp?
- Was de publieke partij, volgens u, op elk moment in staat om het ontwerp te controleren en bij te sturen?
- Wat onderscheidt de Uithoflijn volgens u van andere lightrail projecten?

(PUBLIEKE) WAARDEN BINNEN HET PROJECT [BLOK 4]

- Wat zijn volgens u de top 3 belangrijkste publieke waarden in lightrail projecten?
 - Hoe ziet u dit terug in de Uithoflijn?
 - In hoeverre heeft *[bedrijf/instantie/organisatie]* daar volgens u daaraan bijgedragen?
- Wat draagt de Uithoflijn volgens u bij aan het openbaar vervoersysteem in Utrecht?
 - Heeft de Uithoflijn volgens u een meerwaarde voor de stad gecreëerd? Zo ja, op welke manier?
- Het openbaar bestuur heeft de plicht publieke verantwoording af te leggen en verantwoordelijkheid te nemen voor het creëren van publieke dienstverlening (zoals voor de aanleg van infrastructuur)
 - **Vraag voor publieke partij**
 - Kunt u mij vertellen hoe dit proces (van verantwoording afleggen & verantwoordelijkheid nemen) tijdens dit project is verlopen?
 - Denkt u dat de samenwerking met private partijen invloed heeft gehad op dit proces? Zo ja: hoe?
 - **Vraag voor private partij**
 - Hoe heeft u dit proces (van verantwoording afleggen & verantwoordelijkheid nemen) tijdens het project ervaren?
 - Wat voor invloed heeft dit gehad op de samenwerking tussen *[bedrijf]* en de publieke partij?
 - Heeft u het gevoel dat u dit proces als *[bedrijf]*, zijnde een private partij, heeft beïnvloed? Zo ja: hoe?
- Wat heeft *[bedrijf/instantie/organisatie]* volgens u voornamelijk bijgedragen aan het project?
- Hoe kijkt u terug op uw/ *[bedrijf/instantie/organisatie haar]* bijdrage aan het project?
 - Denkt u dat er kansen zijn gemist? En zo ja, waar lag dat aan?

Appendix 2 – Consent Form

Overeenkomst van deelname

Onderzoeksproject: Bachelor scriptie Technische Planologie Luna Berkedam

Universiteit: Rijksuniversiteit Groningen

Titel: “Public Values in the Design Process of a PPP Urban Light Rail Project”

Het doel van het onderzoek is om inzicht te krijgen in het effect van Publiek-Private Samenwerkingen op publieke waarden binnen openbaar vervoer projecten.

Geachte heer/ mevrouw,

Bedankt dat u mij wilt helpen met mijn onderzoek naar het effect van het aangaan van een Publiek-Private Samenwerking op het in acht nemen van publieke waarden binnen openbaar vervoer projecten, in het bijzonder lightrail projecten. Met deze brief informeer ik u over het verloop van het interview.

Vanwege de huidige ontwikkelingen omtrent het coronavirus, zal het interview online plaatsvinden. Het gesprek zal circa 45 minuten duren. U kunt op ieder moment aangeven te willen stoppen, of een vraag niet te willen beantwoorden. Het interview kan door de open structuur ook uitlopen wanneer u extra toelichting wenst te geven.

Het interview zal worden opgenomen met een audiorecorder en vervolgens worden getranscribeerd. U heeft de mogelijkheid het transcript te controleren en waar nodig aan te passen op feitelijke onjuistheden. Het transcript zal worden gebruikt om de informatie uit het interview nader te analyseren, om zo de onderzoeksvraag te kunnen beantwoorden. Het audiobestand zal verwijderd worden wanneer het onderzoek is afgerond. De gegevens die tijdens het interview worden verzameld zullen vertrouwelijk worden behandeld. De gegevens, evenals het transcript, zullen worden gedeeld met mijn begeleider dr. Stefan Verweij. Daarnaast zal de scriptie worden opgenomen in het archief van de Rijksuniversiteit Groningen. Het transcript zal niet in de scriptie worden opgenomen. U heeft de mogelijkheid anoniem te blijven indien u dit wenselijk acht.

Met het ondertekenen van deze overeenkomst verklaar ik dat:

- Het mij duidelijk is waar dit onderzoek over gaat.
- Ik begrijp dat deelname aan dit onderzoek vrijwillig is en ik het recht heb om individuele vragen niet te beantwoorden.
- Ik begrijp dat mijn deelname aan het onderzoek vertrouwelijk is en dat, zonder mijn schriftelijk bezwaar hiertegen, materiaal (algemeen of in de vorm van quotes) in de rapportage kan worden gebruikt.
- Ik begrijp dat alle informatie die wordt verkregen vertrouwelijk zal worden bewaard, zij het op een met wachtwoord beveiligde computer of bestand.
- Ik begrijp dat de data die voortkomt uit het interview gebruikt kan worden in artikelen, hoofdstukken van boeken, gepubliceerd en ongepubliceerd werk en in presentaties.
- Ik begrijp dat ik na afloop van het interview mijn antwoorden slechts kan aanpassen op feitelijke onjuistheden.

Voor verdere vragen kunt u contact opnemen met:

Luna Berkedam (student)
l.a.berkedam@student.rug.nl

en

dr. Stefan Verweij (begeleider)
s.verweij@rug.nl

Wanneer u akkoord gaat met bovenstaande, graag invullen:

Ik geef toestemming tot het opnemen van het interview
voor verwerkings- en coderingsdoeleinden JA / NEE

Ik wens anoniem te blijven binnen dit onderzoek JA / NEE

Wanneer NEE:

Mijn voornaam kan worden gebruikt binnen dit onderzoek JA / NEE

Wanneer JA:

Er kan een pseudoniem naar mijn keuze worden gebruikt
(Bijvoorbeeld: 'respondent *nummer*') JA / NEE

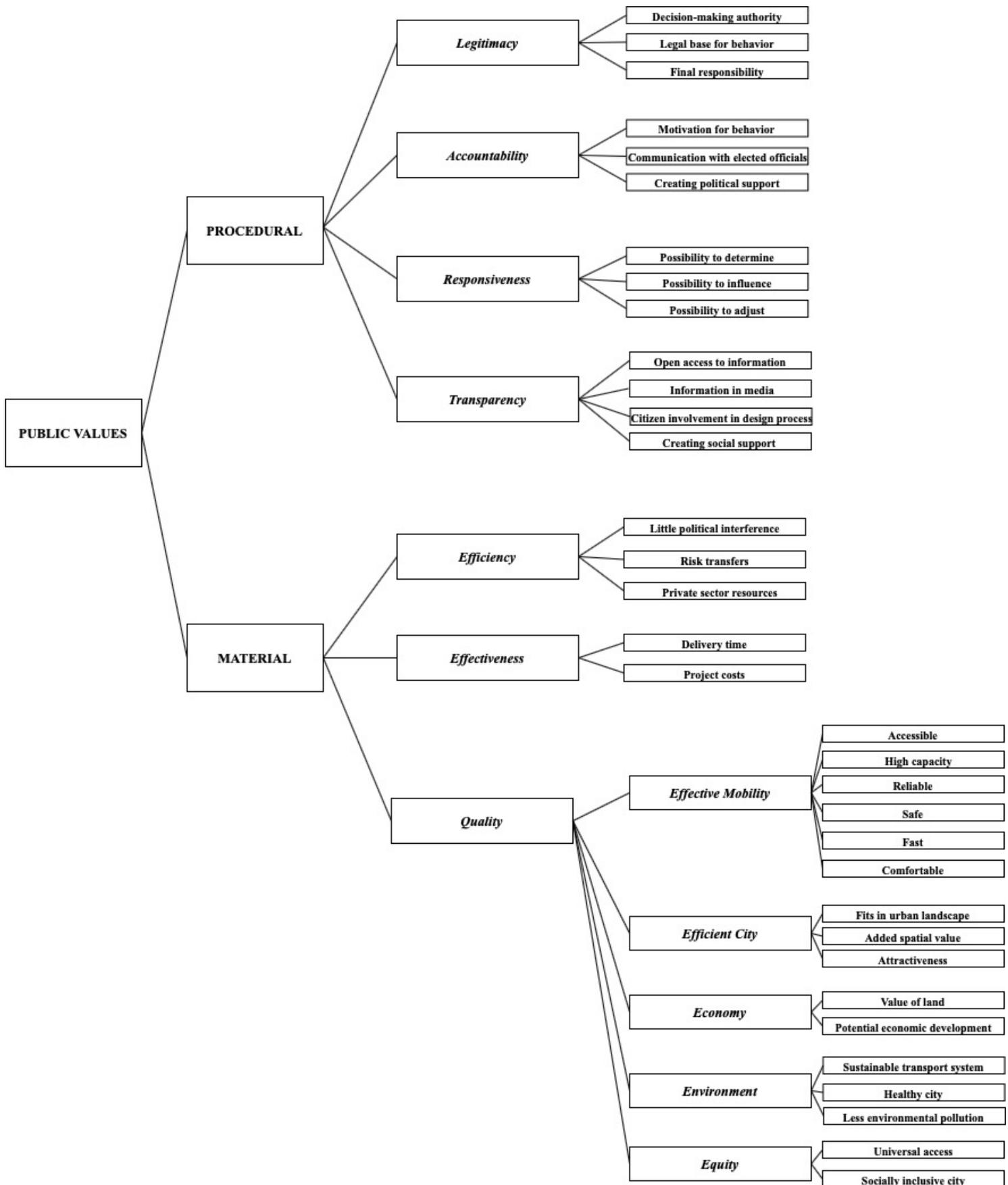
Naam deelnemer interview.....

Datum.....

Email.....
(indien u wenst een transcript van dit interview te ontvangen om te checken op feitelijke onjuistheden)

Handtekening.....

Appendix 3 – Deductive Coding Tree



Appendix 4 – Inductive Codebook

CONCEPT	CODE-GROUP	CODE
PPP Characteristics	General information	Contract type
		Actors
	Decision-making process	Division of responsibilities
		Relationships
		Communication public/private sector
	Satisfactory with PPP structure	Contribution private sector
		Risks of a PPP
	Motives for cooperation	Motives for the public sector
Easy recruit & get rid of employees		
Motives for the private sector		Profit
		Prestige project
		Generates work
		Personal development
		Knowledge & expertise