

**ALMA MATER EUROPAEA
EUROPEAN CENTER, MARIBOR
Project management**

DOCTORAL DISSERTATION

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ALMA MATER EUROPAEA

European Centre, Maribor

Doctoral dissertation
of the study program of the third Bologna level

PROJECT MANAGEMENT

**VKLJUČITEV LOKALNE SKUPNOSTI V
URBANO INFRASTRUKTURO JAVNO-
ZASEBNEGA PARTNERSTVA: V ISKANJU
SOCIALNE VREDNOSTI.**

**LOCAL COMMUNITY ENGAGEMENT IN
URBAN INFRASTRUCTURE PUBLIC-
PRIVATE PARTNERSHIP: IN PURSUIT OF
SOCIAL VALUE**

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Maribor, June 2023

ACKNOWLEDGEMENT

The journey was tough, from visa denial to the COVID-19 pandemic that led to losing my job, to struggling with a vast scope of research because I wanted to provide an almighty solution. Many times, I wanted to give up, but thanks to all those who supported me on this journey, I may not be able to mention some names in this acknowledgement section, either because of the confidentiality surrounding the support they gave me throughout my dissertation or perhaps I could have forgotten. So let me first express my general thanks to all those who supported me directly or indirectly through this challenging and stressful journey that I began in 2019.

Second, words will fail me to express my sincere gratitude to the following lecturers at Alma Mater Europaea, who patiently guided me on this journey: To my mentors, Prof. Yongkui Li and Dr. Yilong Han, who spent their time and resources guiding me. I cannot forget your encouragement and support from the first peer-reviewed publication to the first rejection and the several rejections that followed our first paper. I am grateful and indebted to both of you for making me grow as a practitioner and researcher.

Prof. Dr. Mladen Radujkovic, you are indeed a father figure to me. Thank you for always providing help at every tough time I experienced during this Ph.D. journey, from supporting me in my first publication to connecting me with opportunities. I would also like to mention Prof. Dr. Martina Huemann, whose comments and critiques during my proposal and seminar

presentations helped me to focus my research and pointed me toward the research methodology I used for this dissertation.

Third, I am indebted to all my colleagues on this journey, but special thanks to Dr. Gunnar Lühr and Dr. Reinhard Wagner, the first graduating set of this program, for their support and advice, especially during my proposal development stage. I would like to express my gratitude to my coursemates, Mario, Uros, Oxhana, and Niko, for their support and collaboration. I am also grateful and indebted to Marisa, who introduced me to the Ph.D. program, Alice who introduced me to the Scotland Hub programme, and the senior executives I interviewed to validate the developed framework.

Fourth, I would like to use this opportunity to express my sincere thanks to my friends and family: my late mother Blessing for teaching me how to love; my father Stephen for always praying for me; my siblings Rovie, Otho, Eriarie, Zino, Onos, Edo, and Eva for their unwavering support; my friends Bawo, Torty, Kemi, Hope, Udeme, Dara, Ugochukwu, Stephen, and the Venerable Dr. Tope-Tapere for their encouragement and; my wife Edith and daughter Oruaro for giving me hope and a shoulder to lean on throughout this journey.

Finally, I would like to thank all the experts who provided answers to my questions during the interviews and focus group sessions. Unfortunately, I will not be able to mention their names. But as I have said in my personal note to each of you, I will be forever grateful for your time and support throughout this journey. The informal sessions I had with most of you through WhatsApp during the design and evaluation stages of my research were one of the most exciting learning experiences of this journey. Thank you, thank you.

Above all, it is by the grace of God.

God bless everyone that supported me on this journey.

IZVLEČEK

Ta disertacija temelji na intervjujih, analizi dokumentov, podatkih družbenih medijev (Nairaland), problematizirajočem pregledu, srečanjih fokusnih skupin in neformalnih razpravah s strokovnjaki in akademiki na področju javno-zasebnega partnerstva (JZP), da bi razvili okvir, ki obravnava glavno raziskovalno vprašanje in problem : Kako lahko država (vlada) organizira sodelovanje skupnosti v javno-zasebnih partnerstvih v mestni infrastrukturi, da postanejo transformacijska in usmerjena v ustvarjanje družbene vrednosti s skupnostmi in za skupnosti v Nigeriji? Predlagani okvir predlaga uokvirjanje javno-zasebnih partnerstev mestne infrastrukture kot posebne ozemeljske metaorganizacije (TMO) za premagovanje izzivov pri usklajevanju na makro ravni sodelovanja skupnosti. Z združevanjem različnih deležnikov in ozaveščanjem javnosti o družbeni vrednosti lahko javno-zasebno partnerstvo mestne infrastrukture, oblikovano kot TMO, olajša interaktivno prizorišče za sodelovanje več deležnikov, ki je zelo primerno za ustvarjanje družbene vrednosti na določenem ozemlju ali urbanem območju. Poleg tega okvir priporoča trajne izobraževalne kampanje in kampanje ozaveščanja ter pobude za opolnomočenje skupnosti, kot je civilno množično financiranje, kot strategije odgovornosti za spodbujanje ljudi in skupnosti k sprejemanju javno-zasebnih partnerstev kot potrebnega državnega posega za ustvarjanje družbene vrednosti. Na splošno ta disertacija prispeva k raziskavam in praksi o vključevanju zunanjih deležnikov, ustvarjanju družbene vrednosti in upravljanju infrastrukturnih projektov, zlasti v okoljih, kjer so institucije šibke ali jih sploh ni, kot je podsaharska Afrika.

Ključne besede: vključevanje skupnosti, vladnost, metaorganiziranje, odgovornost, javno-zasebna partnerstva (JZP).

ABSTRACT

Engaging communities is crucial for understanding, identifying and mainstreaming social value outcomes in urban infrastructure Public-Private Partnerships (PPPs). Decision makers in the public policy arena increasingly describe an engaged community as key to the successful design and implementation of public-private partnerships. Despite this understanding, the "actual work and daily practice" of government tends to lurk behind most external stakeholder engagement research. The result is that the strategies used by the government to reimagine, and reconfigure the socio-political context and facilitate a transformational approach to community engagement are often ignored. Adopting a governmentality lens and a design science research method, this dissertation refocuses attention on the steering role of government as the dominant stakeholder in the engagement process. To do so, we explore the macro and micro dimensions of community engagement within the context of urban infrastructure, through a rich case context (Nigeria's socio-political context) and an embedded case (the Lekki-Epe expressway). We then develop, validate, and evaluate a framework, grounded in the kernel theories of meta-organising and responsabilization, to provide theoretical and practical guidance for facilitating transformational community engagement and pursuing a social value agenda. The Nigerian context provides a useful context in this regard, since mobilizing private capital to address infrastructure deficits remains a formidable task for governments and policymakers. This situation is also common in most sub-Saharan African countries.

Keywords: Community Engagement Framework, Governmentality, Meta-organising, Responsibilisation, Public-Private Partnerships (PPPs).

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DECLARATION OF THE PROOFREADER

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LIST OF ABBREVIATIONS

BPE	Bureau for Public Enterprises
DP	Design Principle
DSR	Design Science Research
FRN	Federal Republic of Nigeria
ICRC	Infrastructure Concession and Regulatory Commission
NIIMP	National Integrated Infrastructure Master Plan
NPPPN	Nigerian Public Private Partnership Network (NPPPN)
NUDP	Nigeria Urban Development Plan
ORQ	Overarching Research Question
PPP	Public Private Partnership
SPV	Special Purpose Vehicle
SRQ	Sub-Research Question
SSA	Sub-Saharan Africa
SV	Social Value
SVC	Social Value Creation
TCE	Transformational Community Engagement
TMO	Territory-based Meta-Organisation
UN	United Nations
UN-SDGs	United Nations Sustainable Development Goals
WTP	Willingness – TO – Pay

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1 INTRODUCTION

“Government is to be judged by its action upon men, and by its action upon things; by what it makes of the citizens, and what it does with them; its tendency to improve or deteriorate the people themselves, and the goodness or badness of the work it performs for them, and by means of them” (J. S. Mill 1991, 229).

1.1 Motivation for the research

- “Thousands of people have gathered in Johannesburg to protest against the cost of toll roads linking the city with the capital Pretoria.” (BBC News 2012, 7th March)
- “Unending controversy over tolls on Lekki-Epe Expressway.” (The Vanguard 2010, 27th July)
- “Protest in Nigeria over toll roads turns violent.” (The Associated Press 2011, 17th December).

The use of public-private partnerships (PPPs) as a governance mechanism for the provision of urban infrastructure services in Sub-Saharan Africa, particularly Nigeria, is at crossroads. On one hand, as evident from the afore-mentioned newspaper headline, there is a growing community opposition towards infrastructure PPP projects, while on the other hand, there is an increasing need for African countries to crowd in private capital and expertise, through PPPs, in order to bridge their infrastructure gap and improve the quality of life of their people and communities, especially the ones in urban areas (AfDB 2018, 5). Reconciling these two paradigms is complex but crucial, as it requires the private partner, the public partner, and communities "to develop partnerships in joint problem solving, management of projects, decision-making, learning, and sense-making" (Bowen et al. 2010, 307).

This form of community engagement, described as transformational community engagement, moves beyond the "symbolic engagement activities" of simply giving back to the society (Bowen et al. 2010, 305), rather it seeks to co-create solutions to complex societal challenges (such as social disparities, growing unemployment, and climate change) that are common in relevant areas where urban infrastructure is being built. The relevant area can be a community or an urban area. So, if the need for a transformational approach to community engagement is becoming widely accepted in PPPs, why are we not seeing urban infrastructure PPPs delivering social value? Why are community oppositions growing? This practical problem, recurrently

seen in most African countries' (particularly in Nigeria) urban infrastructure PPP landscape, is the paradox driving this research.

1.2 Research Background

The benefits or value generated from urban infrastructures (such as roads, waste supply systems, and public buildings) are not limited to the basic functionality of the constructed asset. Rather, through the creation of additional social value, these infrastructures can improve both the people's quality of life and the resilience and well-being of those communities wherein they are being built (Mulholland et al. 2019, 2; Ma et al. 2017, 1368; Awuzie and McDermott 2016, 107). These additional social value outcomes or benefits can be economic (e.g., job opportunities), environmental (e.g., access to quality green space), or social (e.g., access to a supportive and inclusive neighbourhood).

As a result, the additional social value created through urban infrastructures are generally attributed to the positive economic, social, and environmental impact on the lives of the people or the communities directly involved throughout the infrastructures' lifecycle (Raiden and King 2021; Mulholland et al. 2020, 75–76; Awuzie and McDermott 2016, 107). This explains both the implicit and explicit prevalence of infrastructure in any government's sustainable and inclusive development agenda (Thacker et al. 2018, 324–325).

Although social value has been described as a "practical vehicle for realising the United Nations' Sustainable Development Goals (SDGs)" (Raiden and King 2021, 1), this concept is holistic in scope, with its creation highly based on the context and inherently local to a particular area. And within the context of the provision of urban infrastructure and other public services, it is created in a multistakeholder setting and influenced by government policies (Supply Chain Sustainability School 2017, 51; Zhou and Mi 2017, 1387). As a result, the growing social value agenda is a conscious effort on the part of a government to explore public-private sector collaboration in order to build on the expertise of each partner through appropriate allocation of resources, risks, and rewards that best meet clearly defined public needs (Quelin et al. 2017, 764; Siemiatycki 2012).

In other words, governments must play an active and deliberate role in using public private partnerships more effectively to create social value outcomes such as addressing long-term inequalities, supporting citizens to live happier and healthier lives, and leaving a legacy of

sustainable, resilient, and inclusive communities in urban areas. whether directly through the contracting of social services, or indirectly through social value policies.

Nevertheless, these public-private sector collaborations, commonly known as public-private partnerships (PPPs), are usually "long-term collaborative relationships between one or more firms and public bodies that combine public sector management or oversight with private partners' resources and competencies for the direct provision of a public good or service" (Kivleniece and Quelin 2012, 273). They can also be described as a particular form of cooperation or organisation within which multiple parties (including but not limited to private, public, and non-profit organisations), with different knowledge bases, resources, and capabilities, collaborate meaningfully to deliver social value (DiVito et al. 2021, 1094; Bishop and Waring 2016, 1939; Dam 2013).

As a consequence, the creation of social value can be argued as the rationale behind "the existence of PPPs with hybrid arrangements more broadly, as both the public and private actors attempt to deliver benefits that go beyond the private realm and contribute towards the wider social or public benefits" (Quélin et al. 2017, 769). See also Villani et al. (2017, 878).

Nevertheless, the contribution of urban infrastructure PPP to social value creation has not been taken seriously (Wang 2020b; Cui et al. 2018 783). Rather, more often than not, infrastructure PPPs are typically structured with more emphasis on economic viability and little or no consideration for the social value created for communities (Calderón and Servén 2010, 34). Amadi et al. (2018, 783–429) observed that, in most cases, impacted communities who are the end-users of the constructed asset are often ignored or manipulated in decision-making, even though, as the end-users, they are "the main revenue stream of the project and in a way part of the project financiers," with their "continued support and patronage of the facility vital for the survival of the project" (Amadi et al. 2018, 428–429) and social value creation (Sierra et al. 2016).

As a consequence, the current approach to community engagement is more rhetorical and, at best, a form of giving back to a passive recipient (the community), rather than aimed at creating social value with and for the communities. So, "public (community) opposition has been reported as the main reason for the failure of PPP projects in some instances" (Cui et al. 2018, 783).

Several emerging studies from sub-Saharan Africa have also given credence to this fact (Babatunde et al. 2016; Bekele 2019; Amadi et al. 2020; Toriola-Coker et al. 2020). These studies reveal that the practise of community engagement in urban infrastructure PPP in sub-Saharan Africa is more often than not a box-ticking (window-dressing) exercise. The result, according to these studies, is the growing number of policy questions, accountability issues, and socio-economic condemnation that PPP is facing (see also Leigland 2018, 122; Quélin et al. 2017, 769; Villani et al. 2017, 878), especially in developing countries like Nigeria.

Consequently, a growing stream of literature (Ng et al. 2012, 104; Ng et al. 2013, 371; Hodge et al. 2017, 274), including the cited emerging studies from sub-Saharan Africa (Babatunde et al. 2016; Bekele 2019; Amadi et al. 2020; Toriola-Coker et al. 2020), has suggested a transformational approach to community engagement as a suitable strategy for coordinating relevant stakeholders, gaining community support, and leveraging local knowledge to deliver better outcomes (social value) with and for communities. In this regard, transformational community engagement moves "beyond symbolic engagement activities and relies on authentic dialogue and critical reflectivity," and framed around the understanding that "community engagement" has evolved from "managing responses to particular issues to co-creating solutions to social challenges" (Bowen et al. 2010, 305, 307) in a multistakeholder setting (Ruhli et al. 2015, 2).

In this regard and within the context of urban infrastructure PPP as a public service, community engagement has emerged as a reliable coordination mechanism or governance strategy that is used to align the interests and objectives of multiple stakeholders to provide better services to communities through "a process that creates a dynamic context of interaction, mutual respect, dialogue, and change, not a unilateral management of stakeholders" (Manetti and Toccafondi 2012, 365). Nevertheless, this type of engagement is built on "mutuality and reciprocity," and in practise, it involves "the joint management of projects with communities and community leadership in decision-making." (Bowen et al. 2010, 305).

The relevance of this approach to community engagement in urban infrastructure PPP is clear, but the process of facilitating, organising, or enabling it (transformational community engagement) is complex, especially in sub-Saharan African countries like Nigeria, where formal institutions that enable socio-economic interaction are weak or absent (Nwauche and Claeysé 2019). The underdevelopment, absence, or weakness of formal institutions, described by Khanna and Palepu (2010, 33) as "institutional voids" and understood in George et al. (2016,

377) as "the absence of market-supporting institutions, specialised intermediaries, and contract-enforcing mechanisms" are, according to Ika et al. (2021, 2) and Gregory (2020) a major challenge for delivering (urban infrastructure PPP) projects in Africa.

This is because these institutional voids do create socio-political complexity, uncertainty, and risk (Soderlund and Sydow 2019; Wang et al. 2020; Delhi and Mahalingam 2020, 1). Social economic interactions (like, in this context, community engagement at both the macro- and micro-levels), are confronted with high transactional and institutional costs (Ika et al. 2021, 2) due to the coordination and social legitimacy costs of bridging diverse interests, objectives, including the planning horizons of a wide range of government and societal stakeholders involved in the engagement process (Bridoux and Stoelhorst 2020, 214).

Given these complexities, there has been limited ambition on the part of the government or public institutions to create an enabling environment for a transformational approach to community engagement. Rather, the focus is mostly transactional, that is using community engagement as a means of giving back to the community and dealing with the unanticipated resistance from communities during the project delivery phase (Batidzirai et al. 2021, 2; Cidik 2020 38; Boyer et al. 2016, 48). This is happening even though earlier work by Dunham et al. (2006, 43) have challenged the notion of communities being seen as "passive recipients" and advocated for an approach to community engagement in which community members are recognised as "agents" of change with local and relevant knowledge that the projects can benefit from.

This dominant transactional approach to community engagement, in PPPs, tends to conceal the dynamic power relations, existing in the engagement process, between the state, communities, and private investors. It also avoids the role of government as a dominant stakeholder in the engagement process. It, rather, seems to follow the deep-rooted reductionism tradition in project management research, in which to grasp a complex phenomenon, it is described simplistically (Song et al. 2022, 338; Eskerod and Larsen 2018, 161). Thus, resulting to the lack of how, why, and to what extent explanation on the role of the government as the dominant stakeholder (Biygautane et al. 2020, 1078) and on the "triadic relationship between the public, the private, and the impacted stakeholders" (Castelblanco et al. 2022) which happens to change over time and in different contexts.

Government actions, in this case (in the engagement process), are expected not only to be "purposeful, strategic, innovative, and entrepreneurial, but also endowed with discretion and capacity to seek out stakeholders as partners to bring the meaningful and demanded change" (Schafer and Zhang 2018, 157). This is because, in practise, community engagement is largely organised, shaped, and subsidised by the state but carried out by the PPP organisation (the special purpose vehicle) on their behalf. Therefore, questions must have been raised about the "reflectiveness, goals and capability" (Biygautane et al. 2020, 1078) of the state or government as the dominant stakeholder.

Yet, the "actual work and daily practise" (Song et al. 2022, 340) of government, as the dominant stakeholder in a PPP, tends to lurk behind in most external stakeholder engagement analysis (for instance, see Bice et al. 2021; Eskerod and Larsen 2018; Caldwell et al. 2017; Hodge et al. 2017; El-Gohary et al. 2006). The result is that the specific tactics and strategies used by government to alter, reimagine, and reconfigure the socio-political context to enable and govern community engagement in the desirable way (transformational engagement aimed at creating social value), are often ignored or at best vague in research and practise (Song et al. 2022, 335; Biygautane et al. 2020, 1078; Castelblanco et al. 2022). As a result, policy, regulation, and a theoretical framework to "guide best practise remain wanting" (Bice et al. 2019, 294).

To bridge this persistent gap, scholars have suggested that "the governance of some projects like urban infrastructure PPPs that need to improve the quality of life of impacted stakeholders (e.g., communities) based on solutions co-developed with them" (Kujala et al. 2022, 1143; Dunham et al. 2006, 40) "should be conceptualised as a close link to the wider socio-political contexts rather than as isolated activities or phenomena" (Song et al. 2022, 335). In other words, research should be practically relevant and context-specific.

Therefore, to extend the contextual turn to stakeholder engagement, scholars (Kujala et al. 2022, 1170; Aaltonen et al. 2021, 710; Sachs and Kujala 2021, 13) have called for an understanding of stakeholder engagement within different contexts, like Africa. Aaltonen et al. (2021, 710), for instance, in their recent call for papers on project stakeholder engagement, suggested the need for researchers to pay attention to getting an understanding on how the broader institution and socio-political context do impact on the way institutions and communities are engaged in project management. Especially "in a context with weak institutions and changing and emerging regulatory frameworks," like Africa.

Africa offers "different, unique, if not extreme topics, contexts, empirical settings, and ways of seeing the world as compared to other settings, like North America, Europe, and, to some extent, East Asia" (Ika et al. 2020, 3). Therefore, bringing insights from Africa's complex socio-political context might add to the understanding of how transformational engagement practises can be facilitated and enabled, in these regions, to create social value communities within urban infrastructure PPPs (Ika et al. 2021, 4; Sachs and Kujala 2021, 14; Gregory 2020).

Against this background, the focus of this dissertation is to augment the practical and theoretical understanding of the practise of transformational approaches to community engagement, aimed at creating social value within the context of urban infrastructure PPPs in sub-Saharan Africa, using Nigeria as a case study. Therefore, the research problem, which is also formalised as the overarching research question (RQ) of the dissertation, is: *how can the state (government) facilitate community engagement in urban infrastructure PPP to become transformational and aimed at creating social value with and for communities in Nigeria?*

Asking the "how" question enables the research to transcend the rather narrow focus on a project level of analysis, which is unfortunately has dominated the PPP research, towards the conditions that support and foster PPP projects relations with communities on one hand and social value creation on the other. Such a view, as Hodge and Greve (2018, 4) observed, recognised the important influences and variables of the socio-political context, which the narrowed view of PPP, "as solely a project or project delivery matter", tends to neglect.

1.3 Research aim, objective and theoretical positioning

This research aims to address the overarching research question, which is also the research problem, by conceptualising transformational community engagement as the governmental frame for pursuing the social value agenda through urban infrastructure PPP projects. It further develops a framework (a set of guiding principles) that can guide the Nigerian government to facilitate a transformational approach to community engagement in the delivery of urban infrastructure PPPs in Nigeria. The Nigeria context provides a useful natural experiment in this regard, since both practice (e.g., PPIAF 2016) and research (e.g., Babatunde et al. 2012; Babatunde et al. 2016; Toriola-Coker et al. 2021) have strongly emphasised community engagement in PPPs, particularly on issues relating to social value creation. The situation in Nigeria is also common in most sub-Saharan African countries (see Bekele 2019) and developing countries in general (see Leigland 2018).

To this end, the overarching question will be addressed by two research objectives. This is to ensure that the specific context (urban infrastructure PPP in Nigeria) is explored well enough to facilitate the investigation and, to the extent possible, explain the actions or strategies the government can take to facilitate such transformational community engagement in Nigeria (Yin 2014).

Therefore, the first objective is to identify and understand the challenges (if any) of implementing transformational community engagement aimed at creating social value within the context of urban infrastructure PPP in Nigeria. From a practical perspective, a transformational approach to community engagement is a joint value-creating engagement that requires bringing together a wide range of multi-societal and multi-level government actors and institutions to address complex societal problems such as social value creation. (Keller and Virág 2021).

The interactions between the multiple stakeholders (private enterprise, community groups, and individuals, as well as public agencies) involved in the engagement process are influenced by the socio-political structure or relations of the country in which a PPP is embedded (Song et al. 2022; Aaltonen et al. 2021, 710; Bridoux and Stoelhorst 2020, 214; Chen and Hubbard 2012, 39). In this regard, the socio-political context offers "constraints and opportunities that are always subject to interpretation and contestation by actors" (Keller and Virag 2021, 3) with "distinct interests, expectations, planning horizons, objectives, and goals," which may be in alignment or conflict (Lehtinen 2021, 18).

Consequently, this complexity that stems from the socio-political context can foster or inhibit trust and reciprocity (Agyenim-Boateng et al. 2017; Biygautane et al. 2018; Biygautane et al. 2020), which are necessary factors for the collaboration and meaningful engagement between the state (government), society (communities), and market (private firms) (Xie et al. 2017; 1391), that can lead to social value creation with and for communities. Particularly in an environment like Nigeria, where the formal institutions that increase the benefits of cooperative solutions to problems by creating an enabling environment for realising potential gains from such transactions and interactions, are weak or absent (Nwauche and Claeysé 2019).

Nevertheless, in practise, the transformational approach to community engagement, that is aimed at creating social value with and for communities, is a joint value-creating engagement (Sierra et al. 2016; Doloï 2018; Cui and Sun 2019, 17). This engagement has two dimensions:

the macro-level dimension, wherein the social value goals are articulated and aligned with other relevant stakeholders' goals, and the micro-level dimension, in which the project is executed and additional social value is created for the impacted community (Derakhshan et al. 2019, 76; Di Maddaloni and Davis 2017, 1537).

Moreover, one of the most fundamental elements of research in the fields of project governance (Song et al. 2022, 333), stakeholder engagement (Kujala et al. 2022, 1170; Aaltonen et al. 2021, 710; Sachs and Kujala 2021, 13), and social value (Zhou and Mi 2017), is that investigations must be considered in context. This requires case-specific studies, and because the participatory actions of institutions and communities are influenced by the national socio-political system, this governmental context (i.e., the 'macro' level of the institutions and actors), need to be examined in consideration of their adherence or otherwise to community engagement. Thus, we frame the first sub-research question (SRQ 1) focused on getting an understanding on how the socio-political context influences the current practise of community engagement in Nigeria.

- *How has the formal institutional arrangement (regulatory and political) embedded in the socio-political context impacted community engagement in urban infrastructure PPPs in Nigeria over time?*

Since an impacted community's violation and willingness to participate in a community engagement process (Derakhshan et al. 2019, 76) are dependent on the "generalised perception or assumption of the desirability or appropriateness of an entity's actions within some socially constructed system of beliefs, values, and definitions" (Suchman 1995, 574), we explore the shared beliefs widely held in society about PPP to gain an in-depth understanding of the "community-PPP project" relations at the micro-level. Therefore, the second sub-research question is framed as:

- *How has the informal institutions (shared beliefs) embedded in the socio-political context influenced community attitudes towards urban infrastructure PPPs in Nigeria over time?*

By combining micro-level analysis (where the research seeks to understand what motivates people and community attitudes towards an urban infrastructure PPP project in their proximity) and macro-level analysis (where the research seeks to understand how the broad socio-political context influences community engagement), the research followed the tradition of primary researchers that are interested in "social criticism and transformation" (Daymon and Holloway

2011, 105). In this regard, both sub-research questions make visible and explicit the underlying factors constraining the practise of a transformational approach to community engagement in Nigeria.

This also led to the second research objective, which is to identify the governance strategies the state or government can use to facilitate a transformational approach to community engagement. Governance in this context is "the creation of a structure, or an order, that cannot be imposed externally (e.g., through a high level of monitoring such as price or contract mechanism alone) but resulted from the interaction between the multiple players who influence one another" (Simard et al. 2018, 462). The goal is to prevent further opening-up of inequalities in the society and improve the overall project's success (Di Maddaloni and Davis 2017, 1537). Therefore, to achieve the second research objective, we frame the third sub-research question (SRQ 3):

- *What are the appropriate governmental strategies the state or government can use to facilitate a transformational approach to community engagement within the context of urban infrastructure PPP in Nigeria?*

Table 1 below illustrates the relationship between the overarching research question, the two research objectives, and the three sub-research questions (SRQs). In this regard, the three sub-research questions (SRQ1–SRQ3) were posed to provide knowledge to address the overarching research question. Also, since the research is concerned with the 'purposeful actions' that the state or government can take to govern multi-stakeholder interactions in a desirable way but by manipulating or influencing the socio-political context (Kujala et al. 2022, 1153), the Foucauldian concept of governmentality, described as "a conduct of conduct" (Foucault 2007, 192–193) is a well-suited theoretical foundation for this dissertation.

In governmentality literature, to conduct the actions of others means "to lead, to direct, or to guide, and perhaps implies some sort of calculation as to how this is to be done" (Dean 2010, 17). It entails any attempt to shape with some degree of intentionality the behaviours and actions of subjects (or the governed) according to some specific sets of norms and for a variety of ends". Therefore, the art of governing or government in this sense, according to Dean (2010, 18), "is an undertaking conducted in the plural."

Explaining further, Dean stated that "there is a plurality of governing agencies and authorities, of aspects of behaviour to be governed, of norms invoked, of purposes sought, and of effects, outcomes, and consequences." Therefore, governmentality is more or less "a calculated and

rational activity, undertaken by a multiplicity of authorities and agencies and employing a variety of techniques and forms of knowledge, that seeks to shape conduct by working through the desires, aspirations, interests, and beliefs of various actors for definite but shifting ends and with a diverse set of relatively unpredictable consequences, effects, and outcomes" (Dean 2010, 18).

Hence, with governmentality, we can bring back the state or government into external stakeholder engagement research within the context of urban infrastructure PPP; keeping in mind that, in practise, community engagement is largely organised, shaped, and subsidised by the state but carried out by the SPV on behalf of the state or government. In this regard, we can certainly speak of "transformational community engagement" as an "apparatus of governmentality" or "a way of thinking about the practise of governance: that is who can govern, what governing is, and what or who is governed" (Gordon 1991, 3), as regards social value creation within the context of urban infrastructure PPP.

Table 1: Relationship between research questions and research objectives

Research problem and overarching research question	
How can the state (government) organise community engagement in urban infrastructure PPP to become transformational and aimed at creating social value with and for communities in Nigeria?	
Research objective	Sub-research question
To identify and understand the challenges (if any) of implementing transformational community engagement aimed at creating social value within the context of urban infrastructure PPP in Nigeria.	How have the socio-political context and other related forces impacted the practise of community engagement in urban infrastructure PPP in Nigeria over time?
	What are the shared beliefs that influence a community group’s perception and attitude towards an urban infrastructure PPP in Nigeria over time?
To identify the governmental strategies, the government can use to facilitate a transformational approach to community engagement	What are the appropriate governmental strategies the state or government can use to facilitate a transformational approach to community engagement within the context of urban infrastructure PPP in Nigeria?

Source: Own source 2023.

A transformational approach to community engagement in this sense is possible, partly because of its articulation by government as organised practises (strategies, programmes, and techniques) through which multiple stakeholders are attracted to an interactive arena and steered towards a predefined goal (social value creation) without reverting too much to hierarchical forms of governance and control such as contract monitoring (Cornea et al. 2017).

Therefore, governmentality' in this research helps to problematize the current community engagement practise within a specific context (Nigeria), so as to seek governmental strategies or technologies that govern in the desirable way of the social value agenda pursuit. In chapter 5, governmentality is reviewed to provide a deeper understanding of the research problem and later connected to the conceptual framework that guides the empirical phase of the dissertation.

1.4 Research methodology

The need for stakeholder engagement research that are "practically relevant" enough to take on the "actual problems with concrete effects in making people's lives better in specific contexts" has been highlighted in the literature (Kujala et al. 2022, 1137; Sachs and Kujala 2021; Silvius and Schipper 2019; Eskerod and Huemann 2013, 38). Therefore, building on these literatures, this dissertation adopted a design science research method to bridge this "significance gap" and to develop a transformational community engagement framework (TCE framework) – a set of guiding principles that can guide government to organise transformational community engagement that is aimed at creating social value. The TCE framework in this case is a "purposeful artefact" that "addresses a generalised type of problem and evaluates its utility for solving problems of that type" (Venable and Baskerville 2012, 142).

In design science research, an artefact can be a process, framework, or guidelines that solve the practical problems experienced by people in various contexts instead of exploring, describing, explaining, and predicting such existing reality (Hevner and Chatterjee 2010, 3). Design science research is therefore centred around designing solutions to practical problems, like complex societal and organisational issues. In infrastructure and construction research, a growing number of researchers (e.g., Hanid 2014; Biotto 2018) have adopted different design research science approaches to identify practical problems and develop conceptual tools and frameworks to solve them.

However, crucial in design science is its contribution to both the theory and practise of solving real-world problems, which requires the balancing of methodological rigour with the demands

of practical relevance (Silvius and Schipper 2019, 10). Secondly, the knowledge generated must include not only information about the solution but also evidence that shows how well the novel solution can be effectively used in the real world to satisfy the needs of the stakeholders dealing with the problem.

Thus, to satisfy the two conditions stated above, this research adopted a three-stage DSR method or approach. First, we identify a practical problem and situate or link it to relevant literature. Second, to gain a better understanding of the problem in a specific case and context, we combine data from relevant open government documents, semi-structured interviews of PPP practitioners, and online naturalistic data (social media) to explore the problem in depth within the context of urban infrastructure PPP in Nigeria (Yin 2014). This exploratory research, therefore, seeks to unearth the macro- and micro-level dimensions of the problem. The macro-level dimension was explored through document analysis and semi-structured interviews, while the micro-level dimension was explored through a case study analysis of the Lekki-Epe toll road and urban road PPP in Lagos, Nigeria. The case study was constructed with data collected both from the social media (Nairaland) and through semi-structured interviews.

In the final stage, the insights from stages 1 and 2 were then combined with an additional literature review (kernel theories), a case study, and a focus group session so as to design and evaluate the proposed artefact (TCE Framework). In each of these stages, appropriate qualitative research techniques were used to collect and analyse the data. The DSR stages are explained in much detail in Chapter 5.

1.5 Research scope and limitation

The research focused on sub-Saharan African countries because, even though the adoption of PPP promises a cost-effective and efficient mechanism and opportunity for delivering social value outcomes, community opposition is increasing. To this end, Nigeria was chosen as a case study to represent SSA countries. The research focus was also limited to Nigeria because of the COVID-19 pandemic and the ease of travelling without a visa within Nigeria.

Additionally, in this study, we define the following concepts:

First, we defined, PPPs as a "strategy that is utilised to provide quality infrastructure facilities and services with high efficiency (as purpose and function), based on a long-term contractual

arrangement between public and private parties (as basis of formal governance of the relationship), through the synergetic cooperation between the public and private partners (as means and key feature)" (Zhang et al. 2015, 498). This definition provides a better nuance for investigating how the diverse and, at times, conflicting logics embedded in the organisational form of PPPs provide an opportunity for social innovation that could lead to the creation of social value.

Secondly, following the understanding that social value broadens the appreciation of value beyond economic terms and speaks about the additional socio-economic and environmental benefits created for people as a result of an organization's activities or projects (Sierra et al. 2016, 2; Doloi 2018, 2; Cui and Sun 2019, 17), We defined social value as "the direct positive impact on people and communities that can be created by going beyond the 'fit for purpose' built environment design to creating socially sensitive infrastructure" (Supply Chain Sustainability School 2017, 51).

The adopted definition of "social value" implies that, although the concept of social value is universal, its creation is dependent on the context and inherently local to a particular area (Zhou and Mi 2017, 1387–1388). Following this understanding, the research adopted the "traditional view based on geography, or place-based communities, which is centred on the physical proximity of the members to project developments" (Di Maddaloni and Davis 2017, 1549). This view is widely accepted in infrastructure delivery (see, for example, Di Maddaloni and Sabini 2022; van Den Ende and van Marrewijk 2019; Liu et al. 2018; Teo and Loosemore 2017). The geographic-based view classified the local community as a group of people whose relationships, interests, and values are tied to the site or location of an infrastructure project (Dunham et al. 2006, 28; Bhaskara 2015, 43). This includes residents, community groups, business owners, and other groups from which the community draws its resources (for example, drivers in the case of a transport infrastructure such as a road), but excludes other external stakeholders like non-governmental organisations, the media, and the general public.

Community engagement, therefore, is defined in this paper in line with the Brisbane Declaration as "a two-way process by which the aspirations, concerns, needs, and values of citizens and communities are incorporated at all levels and in all sectors in policy development, planning, decision-making, service delivery, and assessment; and by which governments and other business and civil society organisations involve citizens, clients, communities, and other stakeholders in these processes" (The United Nations 2005,1). In the context of urban

infrastructure PPP and social value creation, community engagement is generally done through partnerships with a broad range of urban actors and therefore "must be coupled with a reflective awareness of what this engagement is trying to achieve in order for it to be undertaken in the most suitable way possible" (Boyle et al. 2022, 3).

1.6 Outline of the Dissertation

This dissertation is structured to roughly narrate the research process.

Following this introduction section (Chapter 1) is Chapter 2, which introduced the problem and situated it in literature and Chapter 3 that discusses the socio-political environment within which the urban infrastructure PPP is embedded in Nigeria. Thereafter, the necessary foundations, assumptions, concepts, and background of governmentality as the theoretical lens were presented in Chapter 4. This chapter further combined this understanding with insights from Chapter 2 to develop a conceptual framework that guided the empirical section of this dissertation.

Chapter 5 presented the research approach (design science research), including an overview of the research methods and techniques used for the data gathering and analysis. Chapter 6 answered the first sub-research question by exploring the current community engagement practise in urban infrastructure PPP within the context of the Nigerian socio-political environment. It further identified the underlying challenges of organising transformational community engagement from a macro-level perspective and suggested some solutions for overcoming the macro-level challenges. Chapter 7 answered the second sub-research question through the in-depth analysis of interviews and online naturalistic data (social media and newspaper posts) on what motivates "actual communities" (Dunham et al. 2006, 40) behaviours towards an infrastructure PPP in their proximity. The empirical data for this chapter were from two urban road PPP projects in Lagos State, Nigeria.

Chapter 8 is the building and evaluation stage of the research. It seeks to address the second research objective by bringing together the identified challenges and suggested requirements for the solution in chapters 6 and 7 and combining them with relevant literature to conceptualise and develop the first version of the transformational community engagement framework for creating social value with and for communities. Furthermore, this chapter evaluates and extends the framework into its final version using a single case study and a focus group session. Finally, the conclusion and communication phases of the research approach were presented in Chapter

9 with the implications of the TCE framework for theory and practise also summarised. The chapter also identifies the limitations of the research, followed by future research suggestions.

2 LITERATURE REVIEW

The objective of this chapter is to situate a practical problem in relevant literature and provide sufficient understanding and background for research and PPP practitioners. Accordingly, Section 2.1 introduces the social value of urban infrastructure PPPs as the research context. In Section 2.2, the relevance of the transformational approach to community engagement was explained. Finally, in Section 2.3, the governance of socio-political complexity in a transformational community engagement process within the context of urban infrastructure PPP was explained.

2.1 Social value of urban infrastructure PPPs as research context

This subsection introduces social value and urban infrastructure PPP projects as the research context by first addressing the definition of the concept ‘social value’ and the growing interest in the social value of urban infrastructure with a scope that offers a sufficient understanding of the research context.

2.1.1 What is social value?

Social value finds its foundation in the positive transformations it brings to people's lives, communities, and the society at large. It encompasses the positive social, economic and environmental benefits of a project, policy or organisation that are valued by stakeholders but don't have market (i.e., financial) values. It fosters improved livelihoods and community well-being. From facilitating employment opportunities for marginalized populations to prioritizing local resources and supplier networks, and supporting community-driven initiatives, the scope of social value spans a wide range of impactful measures.

In the realm of infrastructure development, social value assumes greater significance as public agencies seek to optimize the societal benefits of their expenditures. Moving beyond conventional contract-based evaluation, these agencies now adopt a "what else" perspective, aiming to identify additional collective advantages for the community. Social Enterprise UK (SEUK) articulates social value as a thoughtful approach to resource allocation, transcending individual contract costs and focusing on the overall benefit to the community (SEUK 2012). The central question guiding this viewpoint is whether every pound spent on service delivery

can be leveraged to generate wider community benefits, sparking a shift in how public agencies approach infrastructure procurement and commissioning.

Therefore, government (public agencies) play a pivotal role in maximizing social value if infrastructure projects are to bring about real change in communities' where they are built. Numerous studies have shown the tangible benefits of incorporating social value into infrastructure projects. For instance, projects that prioritize local employment generate economic opportunities and reduce unemployment rates. Inclusive infrastructure design promotes accessibility for all, fostering a sense of community belonging and social cohesion. Moreover, social value initiatives have been found to have a positive effect on public perception, enhancing an organization's reputation and fostering community support.

2.1.2 Governments' social value agenda in the provision of urban infrastructure

Triggered by the United Nations Sustainable Development Goals (UN-SDGs), social awareness, environmental and social controversies, and the demand for transparency and accountability, global interest in social value has increased rapidly. As a result, through policies and directives, governments are increasingly encouraging public-private partnerships to deliver social value by focusing greater attention on the positive value they can create in the areas of economic inequality, climate change, equal opportunity, and the health and wellbeing of all people. For instance, several countries like the United Kingdom, Australia, Canada, South Africa, and the European Union (through the EU Public Procurement Directive 2014) have enacted legislation and directives to encourage the adoption of social value in the procurement and provision of public services (Mulholland et al. 2020, 75–79).

The growing interest is driven by the understanding that an urban infrastructure such as a sewage and waste treatment facility, an urban road, and a public building can improve the economic, social, and environmental wellbeing of people and communities in the area where it is built (Freelove and Gramatki 2022, 186; Mulholland et al. 2020, 76; Mulholland et al. 2019; Zhou and Mi 2017; Awuzie and McDermott 2016, 107).

For instance, the economic benefits an urban infrastructure can create can range from the jobs created during construction and maintenance to connecting people and communities to markets. In terms of environmental benefits, infrastructure can help reduce the impact of climate change and man-made disasters and conserve natural resources. Finally, in terms of social benefits, urban infrastructure can help address social inequalities by providing equitable access to

education, healthcare, and supportive and inclusive neighbourhoods (Ma et al. 2020, 1366). Indeed, the social value agenda has been described as the national vehicle for achieving the Sustainable Development Goals (SDGs) (Raiden and King 2021).

Theoretically, the increasing interest in the concept of 'social value,' according to Mulholland (2020, 41), has grown out of the necessity to fill gaps in existing sustainability, social impact, and corporate social responsibility research and the need for a more holistic view of project success. For instance, research on sustainability in project management, including PPP projects, tends to focus on "environmental policies and resource savings," with less attention paid to the other two pillars of sustainability: economic and social. On the other hand, Mulholland (2020, 41) also observed that corporate social responsibility, which was an attempt to bring social sustainability back to organisation, has been criticized as being too narrowly focused on 'giving back' to communities and not transformational. Finally, Mulholland concluded that, the concept of "social impact" which is often compared to social value, tend to typically focus on minimizing negative impact of the project on people and communities rather than creating social value or benefits.

Nevertheless, the concepts of social impact, sustainability, and corporate social responsibility have all contributed to and will continue to influence the foundation and thinking behind social value, as the concept of social value brings "holistic value perceptions into project management if done well" (Mulholland 2020, 42). Yet the concept still lacks clarity and absoluteness due to its intricate and subjective nature (Mulholland et al. 2019, 2; Awuzie and McDermott 2016, 107). For instance, Kenter et al. (2015) observed that the concept "social value" has been used to refer to "the values of a particular community or the cultural values and norms of society at large." It has also been used to refer to "the public interest, values for public goods, the values that people hold in social situations, contribution to welfare or well-being, the willingness-to-pay (WTP) of a group, or values derived through a social process."

In this regard, the definition and how the concept is used differs across industry and sector, but what is clear is that it is subjective, and it is the "society, not the individual which sets a value on things" (Schumpeter 1909). Social value is therefore holistic in scope but focused on people, highly dependent on context and inherently local to a particular area. Therefore, its creation needs to be viewed from the perspectives of the end users which in this case is the impacted community (Zhou and Mi 2017; Mulholland et al. 2020).

Hence, from a government perspective, the social value agenda is a conscious effort on the part of a government to deliver the best outcomes (whether that be through social, economic or environmental means) "that is broader than the core benefits achieved through construction of the asset" (Freelove and Gramatki 2022, 186). Nonetheless, to create social value, government must collaborate with local communities and other stakeholders that transcends sectors to draw on their knowledge, resources and capabilities. In this regard, public private partnerships (PPPs) have emerged as a suitable platform for bringing multiple stakeholders together to address complex societal challenges and creation of social value in urban infrastructure (Divito et al. 2021, 1093; Medimagh and Triki 2019, 643; Hodge et al. 2017, 274; Quelin et al. 2017, 764; Villani et al. 2017, 764).

Jain et al (2020, 883) in their empirical study on the relationship between social value and provision of public services observed that better outcome or "social value is likely to be created when different types of stakeholders collaborate with their extended networks or form new networks to co-create social value in society." They further observed that, "cross-sectoral and inter-sectoral collaboration allows social value creators to discuss immediate social problems, identify their solutions and help them prioritize social problems to ensure social value creation at all levels." Since, it provides opportunity for enabling and exploiting diverse resources, knowledge, and capabilities.

Indeed, the creation of social value for communities where an urban infrastructure is built without cross-sectoral partnerships or public private partnerships is difficult (Jain et al. 2020, 884). Especially when considering the speed and scale of urbanisation amid a growing constrained fiscal environment and perceived public inefficiency (Cui et al. 2018, 777; Wood and Wright 2015, 281).

2.1.3 Social Value as Raison d'Être for Urban Infrastructure PPPs

The literature (Wood and Wright 2015, 281; Cieślak and Beata 2016, 40) and practise (AfDB 2018; IMF 2014) have recommended public-private partnerships (PPPs) as an efficient and effective form of governance (Osborne 2000, 1) for providing urban infrastructure services that deliver better outcomes for everyone if well-structured and managed (Kivleniece and Quelin 2012, 273). Yet we still lack clarity on what urban infrastructure PPPs are.

Zhang et al. (2015, 498) have identified three categories of definitions of PPP in the literature. First, the contractual perspective, which sees PPPs as a legal contract that binds the government

and private sector partners together, Second, the partnership perspective, which "emphasises the social dimension of the relationship, characterised by mutual commitment and trust," And third, the function-specific perspective, which is "task-oriented and takes PPP as a transfer of the finance, design, build, and operation roles from the government to the private sector partner, The authors further observed that each of these perspectives can be seen as complementary rather than exclusive. Building on this understanding, Zhang et al. (2015) call for an integrated perspective and define PPP as a "strategy that is utilised to provide quality infrastructure facilities and services with high efficiency (as purpose and function), based on a long-term contractual arrangement between public and private parties (as basis of formal governance of the relationship), through the synergetic cooperation between the public and private partners (as means and key feature)," which is adopted for this dissertation.

However, in the context of urban infrastructure, PPPs are more like long-term contractual relationships between the government and a private investor for the delivery of public infrastructure and services. In this sense, they are a particular form of cooperation or organisation within which multiple parties, including but not limited to private, public, and non-profit organisations with different knowledge bases, resources, and capabilities, collaborate meaningfully to deliver social value (Dentoni et al. 2021, 1226). Indeed, arguably "social value creation defines the very rationale for the existence of (infrastructure) PPPs as both public and private actors attempt to deliver benefits that go beyond the private realm and contribute towards wider social or public benefits' (Quélin et al. 2017, 769).

Caldwell et al. (2017, 907) have argued that PPPs can solve complex societal challenges by generating "positive societal outcomes beyond those created by either actor working alone or within its sector." Accordingly, the idea behind public-private partnerships (PPPs) was and still is that, through appropriate allocation of resources, risks, and rewards (Siemiatycki and Farooqi 2012), the government can collaborate with the private sector to finance, build, and operate urban infrastructure that provides better outcomes (social benefits or social value) than by traditional means (Wood and Wright 2015, 281; Cui et al. 2018; Amadi et al. 2018).

Following this understanding, we contend that PPPs should be set up by the government to create social value for community members or stakeholders who are the end-users of the constructed asset and will pay for it directly through user fees or indirectly through taxes (Toriola-Coker et al. 2021). Nonetheless, social value is not created in isolation of the economic

value gained by the private sector partner because the private sector partner will not participate in the PPP if it is not economically viable (Caldwell et al. 2017).

Therefore, while communities should be genuinely and effectively involved in infrastructure decision-making, to gain the much-needed community support and local knowledge to create and maximise social value with the community (Cui and Sun 2019, 17; Doloi 2018, 2; Sierra et al. 2016, 2), other relevant stakeholders in a country's urban space must work together "across institutional boundaries" (Sørensen and Torfing 2018, 394) towards a shared goal, "even though they have distinct interests, expectations, planning horizons, and objectives" (Lehtinen 2021, 19). Thus, "PPPs have the potential to create social value or value for the people" (Berrone et al. 2019) if they are structured to incorporate social and market objectives in their mission (Quelin et al. 2017; Wang and Ma 2020).

Balancing these objectives is challenging, yet it is crucial for meaningful or transformational community engagement aimed at co-developing innovative solutions for social value creation with and for local communities (Castelblanco et al. 2022; Batidzirai et al. 2021; Ng et al. 2013, 370). In this regard, major steps have been taken in recent years to encourage a transformational approach to community engagement aimed at addressing wider socio-economic and environmental concerns in urban infrastructure projects (e.g., Business Roundtable 2019; NETLIPSE 2016; World Economic Forum 2020).

Yet, there is still scepticism about the value of community engagement in PPP decision-making and governance processes, as evidenced by a range of policy questions, accountability issues, and socio-economic condemnation (Ng et al. 2012, 110–114; Caldwell et al. 2017, 906). In summary, PPP projects are often considered failures in the eyes of local communities, which increasingly demand that they generate social value, "which refers to the benefit that a society gains as a whole from a PPP infrastructure project." (Cui et al. 2018, 782).

If urban infrastructure PPP investments are to deliver better outcomes or social value to the relevant areas where they are built, a whole-life cycle approach to urban infrastructure investment decision-making that considers not only economic and financial viability but also social value with and for communities is required. This, in turn, will require a more intentional approach to community engagement, framed around authentic dialogue and critical reflectivity and described as transformational community engagement by Bowen et al. (2010) in their systematic literature review. In the next section, the relevance of a transformational approach to

community engagement within the context of urban infrastructure PPP and social value creation will be discussed.

2.2 Transformational approach to community engagement

In the context of urban infrastructure PPP and social value creation, community engagement is generally done through partnerships with a broad range of urban actors (Di Maddaloni and Davies 2017, 1537; Eskerod and Huemann 2013, 36) and therefore "must be coupled with a reflective awareness of what this engagement is trying to achieve in order for it to be undertaken in the most suitable way possible" (Boyle et al. 2022, 3). The limitations of creating social value with and for communities become apparent in the context of urban infrastructure PPPs when considering existing approaches to community engagement. Bowen et al. (2010) have categorised the practise of community engagement into three main strategies or approaches: "transactional, transitional, and transformational engagement," which frames the range of possible community engagement approaches adopted in urban infrastructure PPP project delivery.

According to Bowen (2010, 305–306), the transactional approach to community engagement, which is the dominant approach, "is based on 'giving back' through community investment and information," in contrast to the transformational approach to community engagement, which "is the most proactive corporate engagement strategy," and it is "characterised by joint learning and sensemaking, the joint management of projects with communities, and community leadership in decision-making." The intermediary, which they described as "transitional community engagement", although "characterised by two-way communication, consultation, and collaboration, in the sense that it moves beyond the one-way communication of transactional approaches to engage in dialogue with communities," does not "reach the shared sensemaking and problem framing of transformational approaches" because "resources are not fully shared with the community."

The dominant transactional approaches to community engagement are largely philanthropic in nature and inadequate for addressing a community's needs and situations and generating social value (economic, social, and environmental benefits) for a community. Critically, a transactional approach to community engagement is rarely associated with co-creation conceptions of engagement planning and thus unable to create an environment for "authentic

dialogue and critical reflectivity" (Bowen et al. 2010, 306), which provides opportunities for identifying and reflecting upon a community's needs, resources, and situations and integrating them into a PPP infrastructure decision-making process.

In reviewing the literature, we observed that the practise of community engagement in PPPs tends to follow a transactional approach because public services and construction project management (which are the bedrock of infrastructure PPPs) tend to follow a top-down approach. Public services are heavily centralised, and the provision of public infrastructure and services is perceived as something that is done for citizens (as passive recipients of government services). On the other hand, traditional construction project management focuses on the output (cost, time, and quality) rather than the benefits derived from the use of the constructed asset (project output) (Keays and Huemann 2017, 1196; Melissa et al. 2021, 245–246). See also Gasparro (2017).

In addition, community engagement is also seen either as a means of building trust (e.g., Leyden et al. 2017; Di Maddaloni and Derakhshan 2019, 73; Shin et al. 2020) or as a means of dealing with the negative impact of a project, including conflict (e.g., Chow and Leiringer 2021; Cuganesan and Maurizio 2020; Sternberg 2020). As a result, in practise, a great deal of resources and attention are being paid to selling PPP projects to the public rather than creating social value (Boyer et al. 2016, 45). Following this perspective, the focus of community engagement is on the project delivery phase and not throughout the infrastructure life cycle, missing the opportunity to create social value throughout the infrastructure lifecycle (Bernstein and Isaac 2021, 4; Cidik 2020, 36; Cui and Sun 2019, 16).

Nevertheless, the "2005 Brisbane Declaration on Community Engagement," which described community engagement as "a two-way process by which the aspirations, concerns, needs, and values of citizens and communities are incorporated at all levels and in all sectors in policy development, planning, decision-making, service delivery, and assessment; and by which governments and other business and civil society organisations involve citizens, clients, communities, and other stakeholders in these processes" (The United Nations. 2005,1), provides a useful working definition upon which a case can be made for a transformational approach to community engagement.

Similarly, Bowen et al.'s (2010, 297) definition of community engagement as "the pattern of activities implemented by firms to work collaboratively with and through groups of people to

address issues affecting the social well-being of those people" also points to a transformational approach for (social) value creation with and for communities. These two widely accepted definitions clearly show that community engagement occurs through "multi-stakeholder strategies, through which organisations strategically involve local communities (who are end-users) to gain community support, better define community needs, and co-create social value.

It is therefore "characterised by joint learning and sensemaking and the joint management of projects with communities" (Bowen et al. 2010, 305). Applied within the context of urban infrastructure PPP and social value creation, it provides opportunities for identifying and reflecting upon communities' needs, resources, and situations and integrating them into a PPP infrastructure decision-making process. Scholars (Melissa et al. 2021, 245; Fuentes 2019, 100; Keeys and Huemann 2017, 1196) have described the shared ownership of the problem and co-creation of the solution (social value) as crucial for addressing community stakeholder value concerns and creating project benefits, even though it can be costly in terms of time, resources, etc.

In practise, a transformational approach to community engagement within the context of urban infrastructure PPPs brings a true perspective to social value creation by recalibrating the "relations" between the government, private sector, and communities from a "principal-agent relationship" to a "principal-principal relationship" (Medimagh 2019, 642–645; Alfred and Yates 2016, 159; Ng et al. 2012, 101). This is evidenced in Fitton and Moncaster's (2021) study of the Didsbury Flood Storage Basin Improvements Scheme in Greater Manchester.

Fitton and Moncaster's empirical study intrinsically established a link between community engagement and "social value creation and enhancement in infrastructure projects" (Fitton and Moncaster 2021, 196). The authors observed that by "not engaging with stakeholders early and in a meaningful way, the ability to identify, preserve, create, and maximise social value" was reduced in the initial design and effort to implement "the Didsbury Flood Storage Basin Improvements Scheme" (ibid.). As a result, the Environmental Agency (EA) cancelled the initial design and appointed a new contractor to carry out the new design.

Fitton and Moncaster further observed that, by taking lessons learned from the lack of community engagement in the initial contract, the EA adopts a more collaborative, participatory approach in the new contract. As a result, the EA was able to "develop trust, use lay knowledge to enhance the design process, and ensure that the needs and wants of the

stakeholders were met, thus creating a scheme that had and preserved social value" (Fitton and Moncaster 2021, 199). In concluding, the authors state that "this type of approach is more in line with the collaborative, participatory method of stakeholder engagement, which facilitates the understanding and identification of social value. The professionals used a mixture of both lay and expert knowledge to create not only a technically successful scheme but also a socially successful scheme that understood the social value of the flood basin to the stakeholders" (ibid.).

From the Didsbury Flood Storage Basin Improvements Scheme case study, it is clear that in reality, social value is not created in a vacuum but in interaction between society (the community), the state (the government), and the private sector. These interactions are influenced by government and underlying power relations (embedded in the socio-political context) between the state, community, and the private sector partner (Ruhli et al. 2015, 290).

Therefore, a transformational approach to community engagement is more difficult and contested than commonly assumed, especially in PPPs. This is because infrastructure PPP projects are highly embedded in a country's socio-political environment or context (Song et al. 2022, 336). Second, it has also become increasingly difficult for these (urban infrastructure PPP projects) to progress unless they attend to wider social and environmental concerns. Under this condition, we contend that the socio-political context of a country can foster respectful and trusting relationships between stakeholders involved in a PPP and their willingness and motivation to engage in creating social value with and for communities. For example, the ideas, rules, and structures that enable socio-economic transactions in a particular socio-political context can shape how the interests, expectations, planning horizons, and objectives of the state, the private sector, and the local communities are defined and aligned towards a predefined goal (Wicks et al. 2019, 97).

This could lead to synergies or tension between the government, private sector, and local communities in a PPP. Under these conditions, "stakeholders may be tempted to pursue their interests at the expense of maximising joint value creation" (Bridoux and Stoelhorst 2020, 214). Therefore, an approach to community engagement that can create social value with and for communities should be an intentional or deliberate strategy used by the government to purposefully influence the socio-political context or environment and linked to the macro-level, where the social value outcomes to be created for communities are articulated, and the

micro-level, where the social value outcomes are delivered (Kujala et al. 2022, 1155; Wicks et al. 2019, 97; Dyllick and Muff 2016, 168).

Crucial therefore to implementing a transformational community engagement strategy in PPPs is the "steering ability" of the state or government and the level of 'trust and reciprocity' that emerges from sustained and deepened relationships (Xue et al. 2020, 314; Bice et al. 2019, 292; Edelenbos et al. 2018, 52–53). Hence, engaging local communities in PPPs is not just about increasing community participation. It also fundamentally involves a shift in how government works to enable vibrant subjects to collaborate towards a predefined goal within a specific socio-political context.

This demands an understanding of the complexity that stems from the socio-political context and how it impacts multistakeholder collaboration and coordination. This is because, according to Cavaye (2004, 86), "government agencies and individual communities do not relate to each other exclusively." Community engagement occurs within "a complex network of interaction, including private enterprise, community groups, and individuals, as well as a range of public agencies" with different perceptions, interests, and cultures. Second, it is influenced by government policies, "even though there is a limit to the engagement and influence government can have" (ibid.).

2.3 Governing the socio-political complexity of community engagement

The development of urban infrastructure has traditionally involved a complex array of multi-societal and multi-level government actors and institutions. This multistakeholder setting, together with "the resulting complex" sociopolitical environment in which urban areas are "entangled vis-à-vis the central state, regional governments, international actors, and local societal actors" (Keller and Virág 2021, 864), creates socio-political complexity.

Socio-political complexity, which "stems explicitly from the distinct interests, expectations, planning horizons, objectives, and goals of project actors that may be aligned or in conflict, complicates project management and organising, and especially stakeholder engagement, because regardless of distinct interests and goals, the project actors must work together towards the shared and unique project objective for a restricted time with limited resources" (Lehtinen 2021, 18).

Therefore, in urban infrastructure PPP projects, where ‘social value outcomes’ must be considered (Pinz et al. 2018; Wang et al. 2020) and created with and for local communities by a wide range of government agencies, private sector partners, and other relevant societal organisations like NGOs, all of whom can have conflicting interests, expectations, and planning horizons, community engagement becomes complicated. Relevant actors or stakeholders within the PPP can have conflicting and competing goals and expectations throughout the infrastructure life cycle. For instance, the private sector partner, who is the key stakeholder in the PPP project, can react in very different ways to the impacted communities needs and approach to community engagement due to their competing.

For instance, the private sector's short-term goal (which could be an intentional act or unintentional) may not be compatible with the long-term social value goal. After all, the long-term nature of infrastructure assets can sometimes conflict with short-term political and policy cycles, along with the pace at which community expectations can change. It is also not always possible to predict these benefits or the pace at which community expectations will shift over time across the infrastructure life cycle.

Moreover, communities are a disparate group of stakeholders often not bound by contracts but with shifting commitments to PPP projects over time (Bryson et al. 2017), not only because of the long-term nature of PPP projects but also because of their embeddedness in the socio-political context. In addition, communities are traditionally outside the infrastructure PPP project value chain.

Finally, beyond the rhetoric framed around the concept of "less state involvement," urban infrastructure PPPs are clearly and almost without exception public sector investments to transform urban areas. The relevant public sector partners in the PPP are both the project owner and client, as well as the regulator. Urban infrastructure PPP projects are thus embedded in and delivered within the broader institutional context, where community engagement is provided for by institutions and the regulatory framework governing public service transparency and accountability.

Under this condition, socio-political complexity becomes a relevant challenge for external stakeholder engagement (Samset and Volden 2016, 305–306), as conflicting and even arbitrary interests from governmental actors and authorities who also often possess power to influence

projects can lead to difficulty in engaging communities in a transformational manner (Alford and Yates 2016, 160; Boyer et al. 2016, 58).

Therefore, in the domain of practise, social value creation becomes a tradeoff between other stakeholders' values and not necessarily a moral obligation on the part of the private sector partner or the special purpose vehicle (SPV) setup to manage the PPP. In this sense, it is profoundly political, influenced by the government's capacity to manipulate, regulate, and facilitate the engagement process (Avis 2016, 5). This suggests that the depth and effectiveness of community engagement are sensitive to the underlying web of power relations between government, private investors, users, and citizens embedded in a country's socio-political context (Chen and Hubbard 2012, 39). In other words, the sociopolitical context can constrain the relational capacity of some actors in the engagement process, which could make the engagement process a tokenistic exercise, especially in an environment with weak institutions.

The "underlying power" that enables certain actors or stakeholders in the engagement process can "enable certain social actors to asymmetrically influence the decisions of other actors in ways that favour the empowered actors' will, interests, and values" (Castells 2016, 2). In this context, power is not so much a 'thing' an actor or stakeholder involved in the engagement process possesses; it is situational and relational (Bovaird 2004, 200) and embedded in the socio-political context, which conveys ideas, rules, and structures that "form the landscape of how businesses and projects operate in a particular society," and particularly how "people come together to cooperate and create value in a wide array of settings" (Wicks et al. 2019, 97).

Power in this context is exercised "by establishing institutions and communication systems that express" the dominant actor's or stakeholder's "interests and values and that shape the action" or conduct of subjects or other stakeholders (Castells 2016, 2). A major consequence of this acknowledgement is that facilitating and governing community engagement aimed at creating social value is contingent on how socio-political complexity is understood, framed, and managed and how power is exercised within it (Aaltonen et al. 2021, 710; Song et al. 2022, 332). Despite this understanding, most external stakeholder engagement research examines engagement practises atomistically and neglects the underlying power that is meaningfully and socially constructed (see Chow and Roine 2021).

Depoliticizing community engagement, we contend, limits its social value-creation opportunities. In a world beset by grand challenges (also known as wicked problems) that

converge and interact mostly in urban areas in Nigeria and other sub-Saharan African countries, this is a limitation we cannot afford in urban infrastructure development. That being said, the sociopolitical context is not just a given. The design of a governance framework for community engagement can also trigger and influence this context for change (Bryson et al. 2017, 641). Hence, to achieve the preferred outcomes, community engagement in the context of PPP projects needs to be properly governed. This poses a set of challenges for government, as the engagement process is governed through "the creation of a structure, or an order, that cannot be imposed externally but that is the result of interaction between multiple players who influence one another" (Simard et al. 2018, 462).

To govern, in this sense, is to control the possible field of action of others through particular strategies, techniques, and programmes of government through which the state "weave domination and subjectivation" into a governed space (transformational community engagement) "while paying attention to the knowledgeability and capability of all actors and institutions involved" (Blundo and Le Meur 2009, 11). This differs from political participation, civic engagement, and a transactional or philanthropic approach to community, but shares some similarities with the Foucauldian concept of governmentality (Dean 2010), which we will turn to in chapter 4, but first the contextual background of the research will be presented in chapter 3.

3 CONTEXTUAL BACKGROUND

This chapter presents an overview of urban infrastructure governance in Nigeria and provide the necessary background for understanding urban infrastructure governance in Nigeria. In Section 3.1, we present an overview of Nigeria's rapid urbanisation amidst a growing infrastructure deficit, hence the need for crowing in private sector finance and expertise through public-private partnerships to bridge Nigeria's current urban infrastructure deficit. Section 3.2 presents an overview of the Nigerian PPP framework, and finally, Section 3.3 presents the challenges of providing urban infrastructure services through public-private partnerships and the need for community engagement.

3.1 Nigeria rapid urbanisation and the need for adequate infrastructure investment

Africa's population is expected to "double between now and 2050, and two-thirds of this population increase will be absorbed by urban areas" (OECD/SWAC 2020, 4). For instance, the UN-Habitat (2014b, 17) projected Africa's population "to nearly double from around one billion in 2010 to almost two billion by 2040 and may well surpass three billion by 2070". Nonetheless, as also noted in this report, they are characterised by informal urban settlements. That is, rapid urbanisation is mostly taking place either outside or in the absence of any official urban planning frameworks (UN-Habitat 2014b, 3). These informal urban settlements come with some significant social-economic and environmental challenges ranging from compromising air quality to water source pollution, natural disaster risk, and inequality (UN-Habitat 2014b, iii; UN-Habitat 2014a, 6).

In other words, infrastructure investment in urban areas has not kept pace with Africa's rapid urbanisation. As a result, with every passing year, the urban infrastructure systems are increasingly stressed as a result of the growing population and the increasing impacts of both the socio-economic and environmental challenges that do interact and converge in these urban areas. Hence the need to embed social value in urban infrastructure investment in Africa, since the impact of these challenges will exacerbate over the coming decades.

The Africa continent's urban challenges and opportunities are mirrored in Nigeria's urban development, with most cities seriously challenged by the growth in the urban population, which is rising rapidly. More than half of Nigeria's population is estimated to live in urban regions with that of Lagos, "one of Africa's largest cities", seen to have grown by "over 13.6 percent between 2017 and 2020" (FRN 2020, 56). Therefore, as evidenced by the NIIMP report, Nigeria

has a growing infrastructure deficit, and even the existing infrastructure are generally poor. So, harnessing the opportunities of Nigeria's rapid urbanisation will require significant investment (as evident in the Nigerian President's 2018 New Year's speech below), and this only the government can provide.

- *“We also have a huge infrastructure deficit for which we require foreign capital and expertise to supplement whatever resources we can marshal at home. In essence, we seek public private partnerships in our quest for enhanced capital and expertise.”*

This New Year's speech is also echoed in the "Revised National Integrated Infrastructure Master Plan" of NIIMP for 2020-2043, produced by the Federal Ministry of Finance, Budget, and National Planning. The NIIMP projected that Nigeria will need about USD 2.3 trillion for infrastructure investment, over the next 23 years (FRN 2020, xv), to address her infrastructure deficit. It was also stated in the plan that "about USD 150 billion is needed annually, by both the private and public sectors, to finance infrastructure investment for over the medium-term period – 2021–2025" (ibid). Consequently, public-private partnerships (PPPs) have been identified in the National Integrated Infrastructure Master Plan (2020-2043) as one of the four options appropriate to finance the much-needed infrastructure investment.

The private sector, through public-private partnerships (PPPs), is "expected to provide about USD 84 billion" of the USD 150 billion required to invest in Nigeria's infrastructure development for the next 23 years and more (FRN 2020, xvi). Nevertheless, the private sector participation was acknowledged by the NIIMP to require a "supportive environment with stable and transparent government policies, rules, and regulations, fiscal and monetary incentives to investors, long-term financing mechanisms, and strengthened PPP management capabilities" (FRN 2020, 2).

The use of public-private partnerships (PPPs) as a governance mechanism for the delivery of urban infrastructure in Nigeria is, therefore, at crossroads. On one hand, the Nigeria government need to crowd-in private capital and expertise through public-private partnerships to bridge their infrastructure gap and improve the quality of life of people and communities. On the other hand, community opposition towards infrastructure PPP projects is growing. Moreover, with "government policies appearing to give insufficient recognition to the development potential of urbanisation" (UN-Habitat 2014a, 66), together with poor project selection and planning and

the lack of coordination across the various government agencies, these challenges will further exacerbate.

The National Urban Development Plan (NUDP) summarised the challenges of urban development in Nigeria, succinctly, as follows – successive governments in Nigeria show "little concern for solving urban problems, rather, they have directed more efforts towards promoting agriculture and rural development. Although a robust National Urban Development Policy has been adopted with a comprehensive Urban and Regional Planning Act enacted, both in 1992, there has been generally little achievement to show in terms of their implementation" (FRN 2012, 4). As a result, a general apathy towards urban planning persists (FRN 2012, 6) with public-private partnerships (often presented as the solution to overcoming the continent's infrastructure challenges) failing, largely, to deliver on such promise (see Rana and Izuwah 2018).

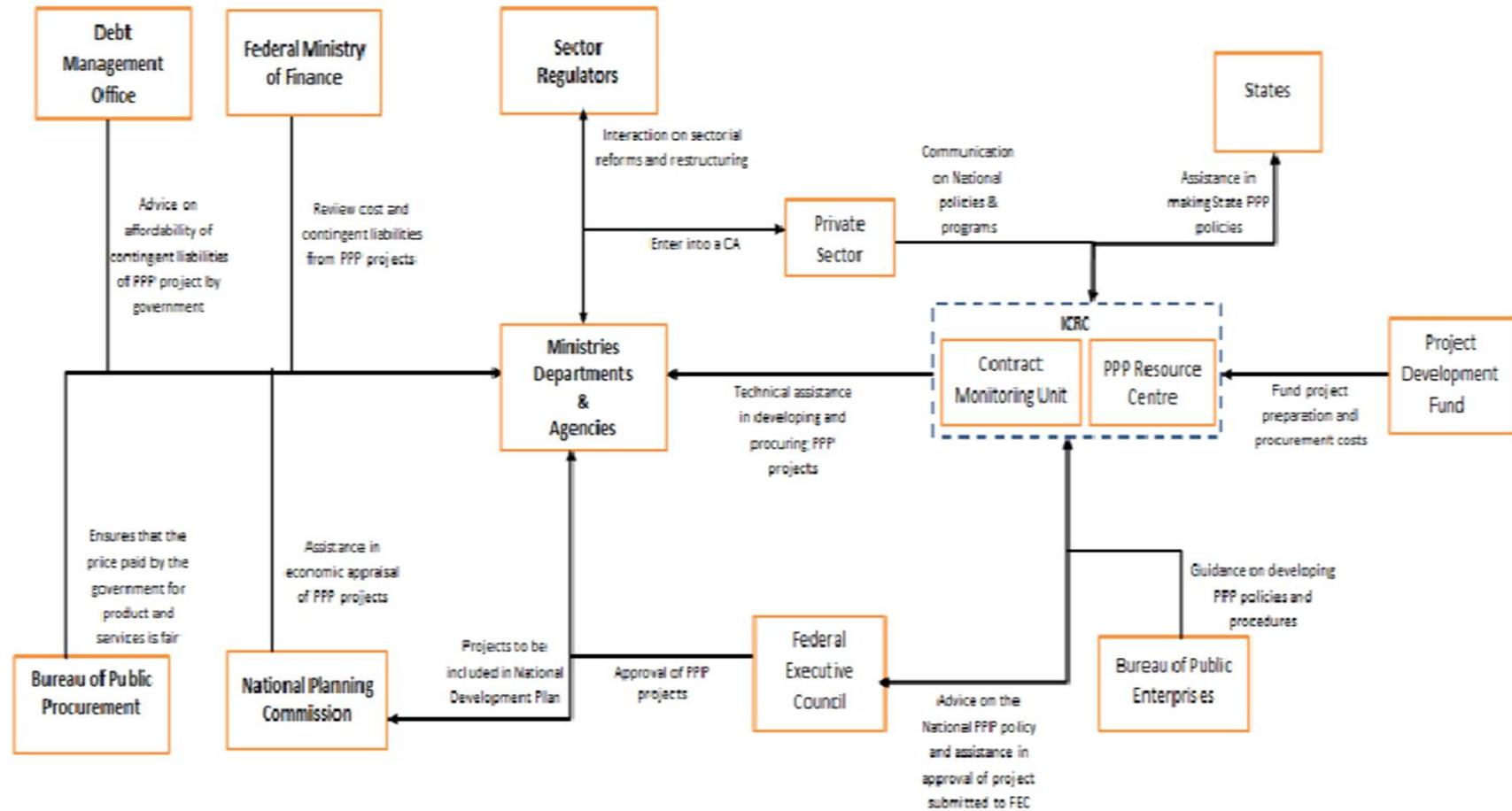
For instance, a publication of PPIAF (2016) – "Impact Assessment: Nigeria's Public-Private Partnerships, Successes, and Failures", shows some Nigerian examples that have generated a range of policy questions and backflips, accountability issues, reputational pitfalls, financial costs of project delays and cancellations, and socio-economic condemnation as a result of the rising community opposition to most urban infrastructure PPP projects. Therefore, bridging this gap requires more than attracting private sector investment through public-private partnerships; it also requires increased attention to the broader institutional and socio-political dynamics that support urban infrastructure delivery in Nigeria. Particularly how to engage local communities to gain support and create social value.

In this sense, a social value approach to infrastructure PPP can provide key opportunities for PPP projects towards improving the quality of life of the people, businesses, and communities, especially in urban areas facing the biggest challenges. This is in addition to, its contribution to socio-economic development, poverty reduction, and inclusive development.

3.2 Nigeria PPP Framework

The Nigerian PPP institutional framework is shown in Figure 1 below. The framework delineates the specific roles and responsibilities of the various entities involved in the governance of PPP in Nigeria. But in practise, there is still conflict due to how the actors interpret their roles within the socio-political context.

Figure 1: Nigeria's PPP Institutional Framework



Source: manual for ICRC PPP in Nigeria 2012, 22.

The Infrastructure Concession Regulatory Commission (ICRC) is at the centre of the Nigeria PPP governance framework, with responsibilities cutting across all federal government infrastructure assets. It also doubles as the regulator of the national PPP sector and drives collaboration with state governments for a sustainable national PPP framework. Nevertheless, the approval process of any PPP project also involves other government agencies like the National Planning Commission, the Federal Ministry of Justice, the Debt Management Office, the Office of the Accountant-General of the Federation, and the Bureau of Public Procurement. Since there are other sector-specific regulatory requirements that an infrastructure PPP must satisfy before securing approval. For example, a power infrastructure PPP must secure a regulatory permit or license from the Nigerian Electricity Regulatory Commission (for power projects). In addition, owing to the Nigeria's federal arrangement, a state (sub-national level of government) cannot embark on certain infrastructure projects, that relate to matters contained on the exclusive legislative list, without the federal government approval.

These multiple agencies, involved in the PPP process, create complexities that can, in most cases, lead to project delays. For instance, the exclusive legislative list in Nigeria contains a whopping 68 items, including the primary sectors that are critical to any economy, while the concurrent legislative list, over which sub-nationals may freely legislate, has only 30. Among the 68 items on the exclusive legislative list are some of the most critical infrastructure areas relevant to a nation's development, such as aviation, energy (the national grid), seaports, waterways, telecommunications, highways, etc. Sub-national governments cannot invest in these infrastructure areas without obtaining approval or a permit from the relevant federal government agency.

As a result, even though the state governments are responsible for infrastructural development within the territory over which they exercise control (hence allowed to have their own PPP regulatory framework), only a very few of them, such as Lagos, Rivers, and Kaduna, have formal legal frameworks for PPPs.

3.3 The challenges of urban infrastructure PPP development in Nigeria

Subnational (state) governments are responsible for most urban infrastructure in Nigeria and are therefore on the front lines of social value and the sustainable development agenda. PPPs can reduce the strain on sub-national governments by maximising private sector efficiencies

and innovation to create additional social value with and for the communities wherein urban infrastructure is built, not only at the building stage but throughout the infrastructure lifecycle. The whole life cycle approach is crucial for infrastructure PPPs since the impact of the project is long-term, ranging from 10 to over 30 years in some cases.

Therefore, the localised nature of most urban infrastructures means that the territorial dimension cannot be obviated whether a country is centralised or decentralised, whether it relies on delegated authorities or autonomous subnational governments. In this regard, the subnational dimension of infrastructure has emerged as one of the key dimensions for improved public investment in urban infrastructure development. However, the sub-national dimension of urban infrastructure development, which is crucial for delivering social value and achieving the national sustainability goal, is constrained by the Nigerian constitution, which makes the state government dependent on the federal government for revenue and some necessary permits for infrastructure development.

Secondly, horizontal and vertical inter-agency rivalry is also very rampant amongst the multitude of government agencies involved with the approval of an infrastructure PPP project. For instance, the Infrastructure Concession Regulatory Commission (ICRC) has been enmeshed in inter-agency rivalry with the Bureau for Public Enterprises (BPE) over which agency is the regulator of infrastructure PPPs in Nigeria (Odeniyi 2022; Boss 2020). The inter-agency rivalry between these two agencies is so deep and open that the BPE vehemently opposed the bill seeking to repeal the Infrastructure Concession Regulatory Commission Act 2005 but enacted the Public Private Partnership Regulatory Commission Act (Odeniyi 2022).

Similarly, the Nigerian Public Private Partnership Network (NPPPN), which was established in 2011 to create a platform for all state heads of PPP units nationwide and other relevant agencies to collaborate and ensure seamless implementation of PPP projects across the country, is not working even after the network was re-launched in collaboration with the Nigerian Governors' Forum in 2018. Clearly, the problem at hand does not seem to be with policy formulation itself. Rather, the strategies that have been implemented so far to address the issue have largely been uncoordinated. In addition, the three tiers of government have been operating independently, which has further compounded the problem.

Consequently, the inadequacies of Nigeria's urban planning and governance systems have culminated in several problems with PPPs, with the system's exclusion of local communities

and civil societies in PPP planning and investment decision-making contributing to the growing public opposition and, partly, to the lack of a transformational approach to community engagement. As a result, PPPs have often been seen, by government officials and PPP promoters, as a fraught process, with the local communities often seeing such as "alien", hence at times unreceptive.

The risk of community opposition to urban infrastructure PPP projects is germane and highly significant in Nigeria, considering the outcome of the Lekki-Epe Expressway toll road, which faces a lot of public opposition and even witnessed violent riots that led to the suspension of the tolling. This resonates with a Boston Consulting Group (BCG) and Africa Finance Corporation (AFC) report on "Infrastructure financing in sub-Saharan Africa: Best Practices from Ten Years in the Field," which studied ten infrastructure PPPs across sub-Saharan Africa, including the Lekki-Epe PPP project. The report shows that "a sure way to torpedo a project is to fail either to take communities into account or to engage them adequately", with a community engagement that "goes beyond the immediate host community if the infrastructure is to benefit a larger population" (BCG/AFC 2017, 29) recommended as a priority in infrastructure PPP.

4 GOVERNMENTALITY AS THEORETICAL FRAMEWORK

As explained in chapters 1 and 2, a transformational approach to community engagement is neither governed by a high level of monitoring nor by a price or contract mechanism alone. Rather, it is characterised by a situation in which complementary trust and reciprocity lead to interdependent relationships, collaboration, and investment sharing towards problem solving. Governance, therefore, in this context, is "the creation of a structure, or an order, that cannot be imposed externally (e.g., through a high level of monitoring such as price or contract mechanism alone), but that is the result of interaction between multiple players who influence one another" (Simard et al. 2018, 462). In this case, the government, as the dominant stakeholder, needs to take 'purposeful actions' to change the outcome of multi-stakeholder interactions in a desirable way by altering, influencing, or reconfiguring the socio-political context (Biygautane et al. 2020, 1077–1080).

Moreover, as stated in the introduction chapter, with governmentality, we can bring back the state or government into external stakeholder engagement research within the context of urban infrastructure PPP, keeping in mind that the roles of the public, private, and people become those of a facilitator, provider, and end-user, respectively (Xue et al. 2020b). Accordingly, this dissertation contends that governmentality provides an appropriate theoretical lens for understanding, exploring, and addressing the overarching research question since it allows for the consideration of both governmental and societal practises (Ettinger 2011, 538), as well as a suitable theory to make sense of community engagement.

However, "pinning down just what Foucault means by governmentality is by no means straightforward." This is because the "governmentality literature is vast and operates in multiple paradigms," (Walters 2012, 1) and it is "often deployed in ways that belie its original formation" (Rutherford 2007, 292). As a consequence, the first part of this section spends some time explaining the fundamentals of governmentality as they emerged originally in Foucault's work and then as they have been subsequently applied in later literature. The second part explains how the concept has been applied in project management literature. while the third and final parts of this chapter present governmentality as used in this research and the conceptual framework adopted for the empirical phase of this research, respectively.

4.1 The fundamentals of governmentality

The term governmentality, according to Ninan et al. (2019, 60), "is a fusion of 'government' and 'mentality' and means, actively, governing through mentalities." As du Gay (2000, 168) suggests, governmentality "creates a distance between the decisions of formal political institutions and other social actors, conceives of these actors as subjects of responsibility, autonomy, and choice, and seeks to act upon them through shaping and utilising their freedom."

Foucault used the concept of 'governmentality' in his lectures at the Collège de France and defined government as "conduct, or, more accurately, as the conduct of conduct"; therefore, the term ranges from "governing the self to governing others" (Siyambalapitiya et al. 2018). Seeing governance from this perspective, governmentality is "not just the actions of the state and its institutions but more broadly any systematic effort to influence or guide the conduct of human beings through acting upon their hopes, desires, circumstances, or environment" (Inda 2008, 1). In other words, it is an "ensemble" that involves a set of "institutions, procedures, analyses, and reflections, the calculations and tactics that allow the exercise of this very specific, albeit complex, form of power, which has as its target population" (Foucault 2007, 108).

Building on this understanding, Rose et al. (2006, 87) argued that the "target population" or "subjects" are "no longer understood merely as juridical subjects who must obey the laws issued by a sovereign authority nor as isolated individuals whose conduct was to be shaped and disciplined, but as existing within a dense field of relations between people and people, people and things, and people and events. The government in this case "had to act upon these relations that were subject to natural processes and external pressures, and these had to be understood and administered using a whole range of strategies and tactics to secure the well-being of all."

To govern, in this case (whether to govern a household, a population, or an interactive arena), the governor must know "that which was to be governed" and to govern in the light of that knowledge." (ibid). Therefore, broadly speaking, governmentality extends the idea of 'governing at a distance' by examining how the 'technologies' of government or governmental strategies are employed to shape the boundaries of behaviours, focusing on the conduct of the actions of subjects towards a predefined goal. Thus, according to Rolfe (2018, 581), governmentality is an attempt to "shape the worldview of individuals such that they control their own behaviour and those of others around them without the necessity for direct state intervention." From this perspective, Rolfe concludes that the "art of governing or power

operates not through direct control or coercion but through the pervasive effects of techniques, approaches, and forms of knowledge that shape understanding and enrol people as willing actors in processes of control" (ibid.).

The technologies or strategies of government used to govern in this case embody some forms of truth or underlying rationality, which define the field to be governed, the agencies involved in governing, the means used, and the ends to be achieved (Rose et al. 2006, 100–101). Governmentality therefore "focuses on techniques embedded in specific rationalities that are oriented towards creating certain sorts of subject mentalities" (Ninan et al. 2019, 60), which government can use to "shape the field of possible actions of the other or others towards some specific aim" (Ofstad and Marin 2019, 426), such as pursuing a social value agenda in urban infrastructure PPP.

The technologies or strategies of government are "intentional means of government, and yet, they are not voluntarily chosen and selected but reflect the historical and contextual embeddedness of governing subjects within their particular epistemological boundaries." (Marttila 2013, 301). Nevertheless, Foucault in his lecture also emphasised that "faced with a relationship of power, a whole field of responses, reactions, results, and possible interventions may open up" (Foucault 1982, 789). Building on this, Bevir (2011, 461) argued that "governmentality includes as a matter of necessity how people think about the technologies, rules, and practises by which they govern and are governed. No doubt, people, including political scientists, often take for granted many of the ideas that underpin practises of governing, assuming they are natural, rational, or fixed by some rule. But the concept of 'governmentality' suggests that we cannot reduce beliefs, mentalities, or discourses to mere epiphenomena of objective social relations or interests."

Ofstad and Marin (2019, 426–427) further state that, although "the rationality and technologies of government are directed towards achieving some aim, their effects can never be assumed a priori. Indeed, within every power relationship, there is resistance that confronts, transforms, strengthens, and reverses power relations. As these relations are everywhere and always resisted and modified in multiple directions, the governed field of possibilities will always differ from the expectation of any actor involved in the power relation."

Viewed from this perspective, active subjects can shape and influence the process of conduct, which could lead to "counter-conduct." Nevertheless, "counter-conduct" did not necessarily

mean a rejection of government or technologies of government in general; "rather, the emergence of counter-conduct signals 'a perpetual question', found in the very 'preoccupation' about the way to govern and the search for ways to govern." (Odysseos et al. 2016, 153). Similarly, Flohr (2016, 51–52) argued that if governmentality defines the space into which invited actors are governed, then counter-conduct is about the subject's effort to redefine the fields of possible action. Thus, resistance itself could be studied from a governmentality perspective.

From this perspective, the art of governing is not always linear. It faces resistance from the subjects, which gives rise to revisions and alterations of the initial ideas and knowledge that launched it. Governmentality therefore operates through strategies, techniques, and procedures to first enrol active but willing subjects (relevant and interested stakeholders) and then govern them in a 'governed space' where the 'many problems' of government' are tackled, for instance, in social value creation (Rose and Miller 1992, 193).

In other words, governmentality enables the personal ambitions of the governed to become enmeshed with those of the governor, and as a result, a better outcome is created for all (Ninan et al. 2019, 60). This perspective is crucial for involving and governing stakeholders like communities "who are not themselves directly involved as project partners in the governance of the project" (Clegg 2019, 266) in an interactive arena aimed at creating social value. In this sense, "the conception of power within governmentality theory is distinct from that in governance theory, although not necessarily contradictory; the focus is on the processes whereby power operates rather than power as a commodity to be built or exchanged" (Rolfe 2018, 581).

Governmentality is therefore generally associated with the willing participation of the governed or subjects and has become an influential theory on the "practical arts of governing" active subjects (through specific techniques and strategies) who possess agency and may generate a rich variety of reactions, including the subversion of attempts at domination by altering their meaning or by devising counter-strategies from below." (Dieleman et al. 2022, 6). In summary, the literature on governmentality asks: "By what means, mechanisms, procedures, instruments, tactics, techniques, technologies, and vocabulary is authority constituted and rule accomplished? or does it give effect to governmental ambitions?" (Rose and Miller 1992, 175). A more precise understanding of such strategies and techniques, this dissertation argues, will enrich infrastructure project scholarship on community engagement, especially as a 'governing

strategy' for engaging communities and other stakeholders in the process of social value creation.

4.2 Governmentality in infrastructure PPP projects

In his post "Governmentality: Notes on the Thought of Michel Foucault," Sokhi-Bulley (2014) states that "the most attractive feature of governmentality is its creativity". The author went further to argue that governmentality "provides a flexible and open-ended lens through which the minor tactics of governing are magnified." Such that a "whole field that can be described as 'governmentality studies' can now be identified, where the 'problem of government' is tackled." For example, in the areas of climate change, sustainability, megaprojects, PPPs, and stakeholder engagement. Walters (2012, 44) observed that governmentality has become "so common and widespread in its usage that, were one to adopt the North American invention the 'Hall of Fame," extending it from sport and entertainment to the world of social science concepts, then a strong case could be made for the inclusion of governmentality."

In the broader field of project management (Turner 2020; Ninan et al. 2019; Simard et al. 2018; Muller et al. 2017; Müller et al. 2014) and infrastructure PPPs (Liu et al. 2022; Wang et al. 2020a; Wang et al. 2020b) governmentality has been introduced as an alternative to the reliance on governance, "by providing prescribed codes in pursuit of an external incentive structure to motivate individuals to exhibit suitable conduct through incentives" (Clegg 2019, 268; Wang et al. 2020a), "especially in situations where there are multiple actors and interests, through the design of a more collective and coherent practical consciousness within which to make sense" (Simard et al. 2018, 463).

In this sense, governmentality is generally associated with the willing participation of the governed or subjects and can provide a "clear framework and an assessment tool" that can help to explore and understand the social dimensions of infrastructure projects, which in turn can benefit policy makers in different countries in their PPP governance and particularly understanding "their roles and responsibilities in PPP projects" (Wang et al. 2020a). This is because, arguably, urban infrastructure development occurs within a complex array of multi-societal and multi-level government stakeholders' interactions, which creates 'sociopolitical complexity."

The emergent 'sociopolitical complexity," as explained in Section 2.3 of Chapter 2, poses a challenge for the governance of urban infrastructure PPPs. In this context, value creation,

especially for communities that are not bound by the PPP contracts, is a function of the ability of the state (government) to enrol active, self-responsible, self-organising, and willing subjects from a larger number of stakeholders and steer them towards a predefined goal.

This is achieved through ‘governmental strategies or technologies (policies, processes, incentives, and programmes) used as forms of administrative powers and knowledge to organise and reorganise institutional spaces and to shape the everyday lives of actors within a regime of practise (Ninan et al. 2019, 61; Clegg 2018, 268). Such strategies or technologies of government are "frequently seemingly innocuous devices that penetrate deep into the fabric of social life" (Ninan et al. 2019, 61), but can be used to govern either internal or external stakeholders or both. One such instrument of governmentality, adopted from the sphere of business, is transformational community engagement, "the most proactive engagement strategy characterised by joint learning and sensemaking, the joint management of projects with communities, and community leadership in decision-making" (Bowen et al. 2010, 305).

4.3 Governmentality through transformational approach to community engagement

To the extent that a transformational approach to community engagement can be described as a particular amalgam of strategies, tactics, techniques, and programmes that allow government to steer or govern active subjects (stakeholders) towards achieving the government's ambition of creating social value through urban infrastructure PPP (Foucault 1991, 20), TCE could be a ‘new’ art of governing or it may be a new reflection of one that has previously been described. Given how governmentality "entails the notion of government as the ‘conduct of conduct’ and includes a rational set of ways of shaping conduct and securing rule through a variety of agencies and authorities" (Adama 2018, 261), understanding TCE as governmentality or the art of government could provide useful insights as to how to facilitate community engagement aimed at creating social value (Onah 2020; Medimagh and Triki 2019, 642–654; Ng et al. 2013, 370).

From a government perspective and within the context of infrastructure PPPs, social value creation with and for local communities becomes the primary goal of community engagement as the government seeks to enrol active subjects into a collaborative network. However, the diverse interests, expectations, and goals of the actors or stakeholders involved or that will be involved in the engagement process (Villiani et al. 2017, 878) could lead to tension and opportunistic behaviours. Therefore, to optimise the (social) value creation capabilities and

opportunities of such an engagement process, government needs to step into it and not step back in order to control behaviours and surreptitiously responsabilise subjects (Rofle 2018:575).

This form of stepping into the unknown is not necessarily achieved through contract monitoring or price control but through more complex but subtle governmental strategies through which communities and other relevant stakeholders "can be mobilised, enrolled, and deployed in novel programmes" (Rose 1999, 176). These "novel programmes," according to Barretta and Busco (2011 212), are "the discursive frameworks through which political rationalities are represented, policies are defined, and the objects and objectives of government are specified."

However, Barretta and Busco further stated that "governmentality is not only a matter of representation (through programmes), but it is also a matter of intervention. "Programmes of government do not work by themselves." This resonates with an earlier suggestion by Miller and Rose (1990, 8) that "it is through technologies that political rationalities and the programmes of government they articulate become capable of deployment" (1990, 8). Thus, we contend that governmentality through transformational community engagement "has a typically programmatic form, but its real implementation is inextricably bound to the intervention of the technologies that seek to give it effect." (Barretta and Busco 2011, 212).

Therefore, and within this perspective, we can bring a transformational approach to community engagement within the array of instruments referable to the Foucauldian idea of governmental strategies and programmes used to mobilise relevant and involved actors into a relatively self-governing network (PPP) in a manner that enables them to share responsibility for the problem, collaborate with impacted communities, and together develop a process for co-creating social value throughout the infrastructure life-cycle (Dyllick and Muff 2016; Müller et al. 2016, 960; Wang et al. 2020b). In other words, a transformational approach to community engagement prioritises the autonomy, initiative, and responsibility of all involved stakeholders or actors with a view to improving individual and collective performances.

Importantly, viewed from a governmentality lens, the state does not monopolise the community engagement process; rather, it uses appropriate governmental strategies, technologies, and programmes to problematize, "shape, normalise, and instrumentalize the conduct and thoughts of others," and "give effect to governmental ambitions" (Rose and Miller 1992, 175). Which is to say, that transformational approach to community engagement as we understand it is not community engagement; it is a form of conduct or conducting the actions of others.

Approaching community engagement as a governmentality therefore provides productive entry points for critically analysing "the calculated strategies and programmes" for improving the relations between government, private firms, and local communities aimed at gaining social acceptance and enhancing PPP projects' social value creation and the inevitable resistances encountered. "The relationships between these actors and their actions give life to government at a distance—a network in which alliances are formed not only because of dependency on funds, legitimacy, or other resources but also and especially because actors share the same values and are convinced that their goals are intrinsically linked and compatible" (Argento et al. 2020, 208).

The government's role in this context becomes that of an enabler and facilitator. In this regard, we can certainly speak of governmentality through transformational community engagement and seek out the technologies or strategies of government that can be deployed to facilitate a transformational approach to community engagement in relation to specific socio-political contexts and the resistances and oppositions anticipated or encountered within them. Governmental strategies are therefore "the actual mechanisms through which authorities of various sorts have sought to shape, normalise, and instrumentalize the conduct, thought, decisions, and aspirations of others (the governed) in order to achieve the objectives, they (authorities or governors) consider desirable" (Miller and Rose 1990, 8).

The list of governmental strategies, according to Miller and Rose, "is heterogeneous and, in principle, unlimited" (Miller and Rose 1990, 8), and includes all the apparatuses that can be used "to shape dispositions, preferences, and modes of acting with regards to certain goals" (Barretta and Busco 2011, 212), which in this case is to create social value. But in the broader context of governing dynamic collaborative networks that address complex societal issues like social value creation, several strategies and best practices have been advanced for orchestrating collective action and achieving superior social outcomes.

However, to govern or facilitate a transformational approach to community engagement as envisaged in this research, two strategies are suggested as appropriate. These are meta-organisation and responsabilisation. Meta-organising strategies draw our attention to meta-governance a practise "by (mainly) public authorities that entail the coordination of one or more governance modes by using different instruments, methods, and strategies to overcome governance failures" (Gjaltema et al. 2020, 12). In the case of this research, the focus is on how the state can facilitate, enable and steer multiple stakeholders in an interactive arena (a dynamic

collaborative network) toward a predefined goal (social value creation). An “interactive arena implies the creation of a governance space where market or network actors are given room to manoeuvre within regulative, normative, and discursive frames that are supportive of problem-solving from below” (Österberg and Qvist 2022, 4).

Responsibilisation strategies, on the other hand, according to Peeters (2019, 510) " is commonly associated with a neoliberal transfer of responsibilities actors. state to social subjects." However, it also covers the construction of responsibility where it does not exist yet, where citizens need socialisation to manufacture responsibility so they become economically and socially active, healthy, and productive campaigns. In this research, the focus is on how governments can use empowerment and education interests, ‘to shape conduct by working through (community members) desires, aspirations, and beliefs" (Dean 1996, 61) accept and make them accept PPPs as a state intervention dedicated to improving their quality of life.

While the two governmental strategies under consideration are taken from other fields, their underlying principles provide a useful starting point for this study. By examining these principles, this research seeks to uncover insights into how the state can effectively steer multiple stakeholders to generate social value with and for communities. It is important to note that the primary objective of this dissertation is not to develop a grand theory but rather to gain crucial insights into the conceptual and operational underpinnings of the commonly accepted "reality" and practises that hinder transformative community engagement. These insights will enable the identification of strategies for organising and implementing effective social interventions.

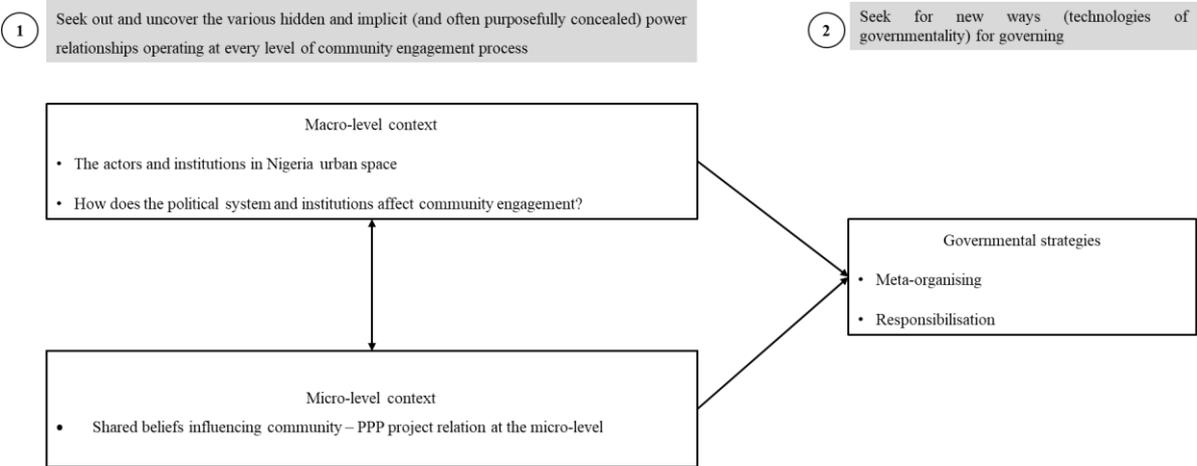
Therefore, governmentality, as used in this research, is a "problematizing activity." First, the research seeks to explore, understand, and reconcile the failures and difficulties of organising transformational community engagement in the context of urban infrastructure PPP in Nigeria. Second, it identifies and conceptualises appropriate governmental strategies or technologies of government through which the objectives of the governed are aligned with those of the governor through a transformational approach to community engagement. In doing so, the research conceptualised transformational community engagement as a practice of governing, to be studied at the level of the strategies, techniques, and resistance shaping it and giving it form.

4.4 Conceptual framework

A governmentality analysis, according to Rose et al. (2009, 3), "asks particular questions of the phenomena that it seeks to understand, questions amenable to precise answers through empirical inquiry." In providing a productive entry point for such critical analysis, Martel et al. (2022, 784) identified two steps to transform "the will to improve" into precise governmental strategies. First, they recommend "the practise of problematization, which identifies and frames the challenges that need to be resolved." And second, "the practise of rendering problems technical through a range of practices associated with characterising the domain to be governed."

Following this understanding, a conceptual framework (see Figure 2) was developed to guide the empirical phase of this research and address the overarching research question. Grant and Osanloo (2014, 17) defined a conceptual framework as "a logical structure of connected concepts that help provide a picture or visual display of how ideas in a study relate to one another within the theoretical framework."

Figure 2: Conceptual framework for the empirical stage of the research



Source: Own source 2023.

The conceptual framework aligns with the design-science research method adopted for this research. In addition, it is based on the understanding that a transformational approach to community engagement in the context of urban infrastructure PPP is first a joint value-creating engagement process that involves a complex array of multi-societal and multi-level government stakeholders’ interactions (Chen and Hubbard 2012, 40). Second, it is more often not governed by laws and contract monitoring or price control but by subtle tactics, strategies, and techniques

through which communities and other relevant stakeholders "can be mobilised, enrolled, and deployed in novel programmes" (Rose 1999, 176). Building on this perspective, the conceptual framework has two elements. Section 1: Investigate the "taken for granted" rationalities of governing (and or resistance) that try to shape the choices, desires, and violations of relevant actors to participate in community engagement in the context of urban infrastructure PPP in Nigeria. These "taken-for-granted rationalities" are not invented by subjects (individuals) but derive from the socio-political context (Clegg 2019, 266). The socio-political context contains the organised rules and resources that "are not brought into being by social actors but continually recreated by them via the very means whereby they express themselves as actors" (Agyenim-Boateng et al. 2017).

Therefore, the research first investigates the "taken for granted" rationalities from the perspectives of the macro-level and the micro-level. The macro-level focuses on the social and political environment that shapes or influences how actors interact. These include formalised institutional relationships and structures, such as political systems and institutions. The micro-level addresses the interaction between local communities and a PPP project in contexts of everyday direct interaction and the implementation of a PPP project. The micro-view strongly revolves around the active participation of communities in the engagement process, which in turn depends on how they interpret the situation based on the socio-political context.

Applying a governmentality perspective to the macro and micro levels of community engagement in the context of urban infrastructure PPP provides a platform for understanding how the action and strategies of the governed and the governor meet, how subjects are "targeted by disciplines," and the ways that these techniques are accommodated, ridiculed, or resisted" (Carter et al. 2010, 121).

Finally, Section 2 of the conceptual framework seeks to identify, theorise, and conceptualise meta-organising (meta-governance) and responsabilisation as technologies of government or governmental strategies that can be used to facilitate a transformational approach to community engagement at the macro- and micro-levels of community engagement, respectively. This section of the conceptual framework combined insights from Section 1 (Chapters 6 and 7) with a literature review, an informal session with interviewed practitioners, a single case study, and a focus group session to address the second research objective and the third sub-research question. In line with the design science research methodology adopted for this dissertation, this section of the conceptual framework is where the TCE framework is conceptualised, developed,

and evaluated and can be compared to the "design and development of a building, during which an architect will draw together sketches, floor plans, elevation drawings, and service information to create a final design product" (Key 2016 23).

Section 2 of the conceptual framework can also be described as a conceptual study since the researcher "draws together the potential solutions to the sub-problems" by synthesising disparate knowledge and key insights from relevant literature to argue for a re-conceptualization of the identified problem, leading to the design and development of the desired artefact (framework) (Key 2016, 23; Shanks et al. 1993, 7). The strength of this approach is that "it provides a critical analysis of the situation, which can lead to new insights, the development of theories, and deeper understanding" (Shanks et al. 1993, 7).

5 RESEARCH METHODOLOGY

The emergence of the social value agenda has real potential for designing, building, and operating infrastructure in a way that could help address and overcome some of the most complex socioeconomic and environmental challenges that converge and interact in urban areas, especially in sub-Saharan Africa. But this will require a pragmatic approach to stakeholder engagement research (Eskerod and Huemann 2013, 39; Silvius and Schipper 2019, 3; Sachs and Kujala 2021) that "emphasises the practical consequences of the actions that aim to improve the stakeholders' way of life" (Kujala et al. 2022, 18). Rather than explaining and describing a shared understanding of stakeholder engagement (Silvius and Schipper 2019, 10),

Moreover, facilitating a transformational approach to community engagement aimed at creating social value for communities in a multistakeholder setting like PPPs is considered a "complex or wicked problem" because of the conflicting and changing goals and objectives of the involved stakeholders. This is a generic practical "governing problem" across infrastructure PPPs, but the design of its solution is created within specific contexts and relies on social actors to be effective.

Viewed from this perspective and applying a governmentality lens, TCE requires intelligibility in rationalising the practise and strategies of governance to serve specific ends. In this sense, Nocek argues that Foucault's governmentality has a "designerly" side because it also involves thinking about the practice of governing (Nocek 2019, 114). In other words, how apparatus in the modern form of governmentality is strategically put together to operate Thinking of governmentality in this context and following the pragmatic view of stakeholder engagement (Kujala et al. 2022, 1159), and the aim of the dissertation, leads the researcher to a way of thinking that addressing the overarching research question is close to design science research (DSR) due to its reflective and interactive process.

5.1 Design Science Research

According to Simon, an earlier proponent of design science research (DSR), "everyone designs and devises courses of action aimed at changing existing situations into preferred ones. The intellectual activity that produces material artefacts is no different fundamentally from the one

that prescribes remedies for a sick patient or the one that devises a new sales plan for a company or a social welfare policy for a new state" (Simon 1995, 55).

Originating from artificial science and engineering, design science research has been applied in many other domains, including infrastructure and construction (e.g., Hanid 2014; Biotto 2018), project management, and sustainability (Silvius and Schipper 2019). This is due to its potential to create "innovative and unique artefacts and frameworks in a well-defined manner" (Pournader et al. 2015, 421) that solve real-world problems.

Vom Brocke et al. (2020, 1–3) defined design science research as a "problem-solving paradigm that seeks to enhance human knowledge via the creation of innovative artefacts that solve problems and improve the environment in which they are instantiated." Explaining further, they argued that "DSR includes both the newly designed artefacts and design knowledge (DK) that provides a fuller understanding via design theories of why the artefacts enhance (or disrupt) the relevant application contexts." This resonates with an earlier claim by Hevner et al. (2004) that "the design-science paradigm seeks to extend the boundaries of human and organisational capabilities by creating new and innovative artefacts, including constructs, models, methods, and instantiations."

In this sense, design-science research seeks to "invent or build new, innovative artefacts for solving problems or achieving improvements. Such new and innovative artefacts create new reality rather than explaining existing reality or helping to make sense of it" (Vidgen et al. 2011, 172). From this perspective, DSR is both useful and fundamental in solving a real-life problem (Hevner and Chatterjee 2010, 5; Venable and Baskerville 2012, 142), including the "much-needed sustainability transformation of society" (vom Brocke et al. 2020, 1-2), which a transformational approach to community engagement aims to achieve.

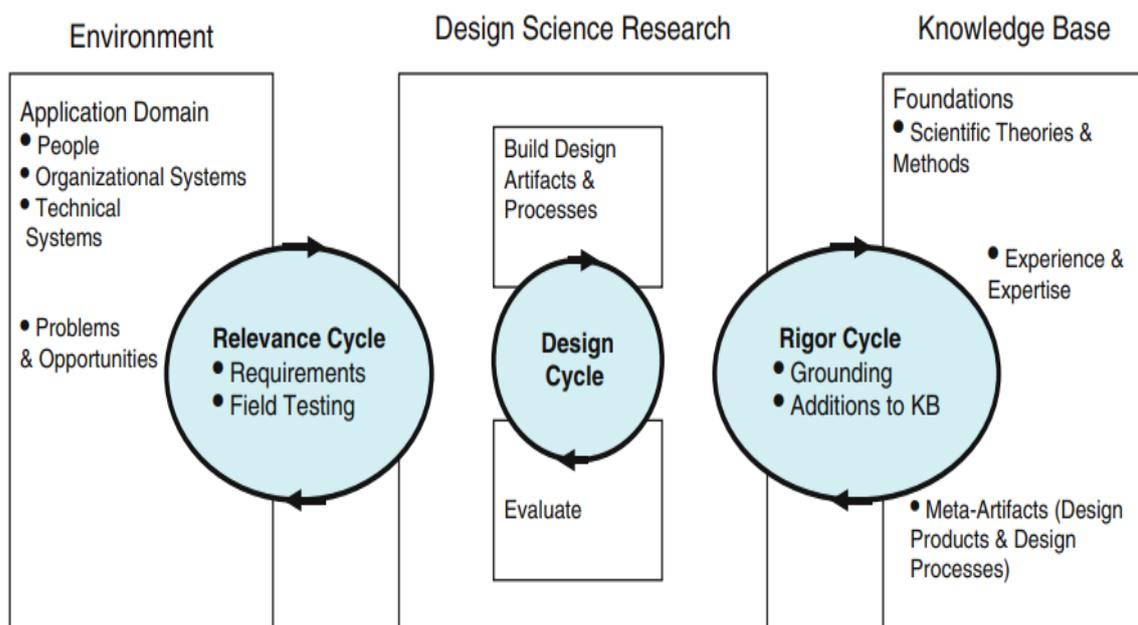
The "new and innovative artefact" created can be a framework, theory, software, or model (Hevner and Chatterjee 2010, 5), and it is usually constructed or arranged (i.e., designed) by a human agency to solve a real-life problem (vom Brocke et al. 2020). Thus, design science research "is not simply about the object or aesthetics but about a broader creative approach to defining the problem itself and then developing a process to solve it. At a practical level, design offers a range of proven tools and techniques for transformation that connect organisations with their users, encourage collective participation, and reveal insights in a variety of contexts" (Cottam and Leadbeater 2004, 29).

Accordingly, Venable and Baskerville (2012, 142) argued that, since the focus of design science research is on providing solutions to real-life problems, it does not focus on "exploring, describing, explaining, and predicting phenomena as in the case of natural science" but is essential "research that invents a new purposeful artefact to address a generalised type of problem and evaluates its utility for solving problems of that type."

Nevertheless, while there is no "detailed process for performing design science research" (Hevner and Chatterjee 2010, 16), Herner et al. (2004, 75) see design science research as basically a build-and-evaluate cycle where "knowledge and understanding of the problem domain and its solution are achieved through the building and application of the designed artefact." Hevner (2007, 88) identifies three main research cycles, illustrated in Figure 3 and explained below:

- “The Relevance Cycle bridges the contextual environment of the research project with the design science activities.”
- “The Rigor Cycle connects the design science activities with the knowledge base of scientific foundations, experience, and expertise that informs the research project”
- “The central Design Cycle iterates between the core activities of building and evaluating the design artifacts and processes of the research.”

Figure 3: Three Design Science Research (DSR) Cycle



Source: Hevner 2007, 88.

Hevner (2007, 90) further notes that "the internal design cycle is the heart of any design science research project. This cycle of research activities iterates more rapidly between the construction of an artefact, its evaluation, and subsequent feedback to refine the design further." In the design cycle, "the requirements are input from the relevance cycle, and the design and evaluation theories and methods are drawn from the rigour cycle." (p, 91). Further, he adds that "it is important to understand the dependencies of the design cycle on the other two cycles while appreciating its relative independence during the actual execution of the research" (p. 91).

Nevertheless, crucial in design science is that the knowledge generated must include not only information about the solution but also evidence that shows how well the novel solution can be effectively used in the real world to satisfy the needs of the stakeholders dealing with the problem (Silvius and Schipper 2019, 10; vom Brocke et al. 2020). Therefore, finding user insights first and then designing a solution based on the findings, not the other way around, is the best approach to design research.

5.2 The design science research method adopted for this research

According to Simon (1969), the framework for design science research should include a set of activities that he describes as "means-ends analysis. "Means-ends analysis," according to Key (2014, 20) "is based on representations of present states, desired states, the differences between the two states, and the actions that could change the present situation," and the goal is to develop an artefact (which in this case is the TCE framework) to solve the identified problem. Nevertheless, in identifying a set of activities that may be used to carry out a means-ends analysis of a real-life problem, "it is important to keep in mind that every design science project requires a certain level of creativity" (Hevner and Chatterjee 2010, 31).

Therefore, the researcher must use his creative skills and judgement to determine the set of activities to be used in the mean-end analysis. Following this understanding, the DSR framework adopted for this research, as shown in Figure 4, is influenced by the need to make the framework compatible with both the theoretical lens (governmentality) and research method (design science research) adopted for this dissertation (Hevner and Chatterjee 2010, 31). The DSR process evolved through three interactive stages, explained below. In each of the stages, appropriate research techniques were used to collect and analyse the data.

Figure 4: Design science research approach adopted for the research.

Stage	Identify the problem	Understand the problem	Design and evaluate the solution
Objective	<ul style="list-style-type: none"> Identify practical problem- based on research experience and informal sessions with PPP practitioners Situate identified problem in relevant literature 	<ul style="list-style-type: none"> Explore and identify challenges at the macro-level Explore and identify challenges at the micro-level 	<ul style="list-style-type: none"> Visualized challenges identified in chapter 6 and 7 into a framework Ground suggested solution in kernel theories Validate framework with a single case study Evaluate with a focus group and informed augments
Research technique	<ul style="list-style-type: none"> Literature review Informal sessions with PPP practitioners Document analysis 	<ul style="list-style-type: none"> Literature review Document analysis Semi-structured interviews Case study (constructed from online naturalistic data and interviews) 	<ul style="list-style-type: none"> Single case study Focus group Informal sessions with PPP practitioners Literature review (kernel theories)
Chapter	Chapter 1, 2, 3 and 4	Chapter 6 and 7	Chapter 8
<p>Framework for facilitating transformational approach to community engagement aimed at creating social value in urban infrastructure PPP Chapter 9 (conclusion and recommendations)</p>			

Source: Own source 2023.

5.2.1 Finding a problem (Chapters 2, 3, and 4)

In the first stage of this research, "societal and scientific problems are linked to form a common research objective" (Jahn et al. 2012, 5). This involves developing the researcher's understanding of current PPP community engagement practise in Nigeria through collaboration with practitioners, constructing and conducting literature reviews of relevant studies (social value, community engagement, and PPPs), identifying and confirming the salience of the overarching research question and problem, defining the research boundaries, and establishing governmentality as the theoretical framework.

The fundamental idea of this dissertation is to solve a real-life problem or an industry-related problem (Hevner 2007), which in this case is to address the overarching research question: How can the state (the Nigerian government) organise transformational community engagement strategies aimed at creating social value with and for communities through urban infrastructure PPP? Therefore, a healthy relationship with the environment and the context of the problem is required for initiating the research process and collecting relevant information when required.

To this end, the researcher is an infrastructure and capital project professional and has an excellent relationship with PPP practitioners in the PPP industry in Nigeria. Most importantly, during the PhD study, the researcher worked as a PPP consultant and a task order manager on the PPP/infrastructure finance component of the United Kingdom's Nigeria Infrastructure Advisory Facility (UKNIAF). The UKNIAF's infrastructure component (UKNIAF-IF) supports government agencies both at the national and sub-national level of government responsible for

urban infrastructure development in Nigeria to develop a pipeline of bankable, sustainable, inclusive, and resilient infrastructure projects. The researcher was also the transaction lead for the development of a PPP model for the regeneration of public buildings in Nigeria within the period of the PhD.

This makes it easier for the researcher to understand the research problem in depth by engaging in and organising both formal and informal discussions with PPP practitioners in Nigeria. However, in design science, a researcher needs to go from "academia to practise, find a problem, and bring it back to create a solution" (Qasim 2018, 70); therefore, a purposeful sampling method (which was also guided by discussion with experts) was used to situate the research problem in the literature.

5.2.2 Understanding the problem (chapters 6 and 7)

This stage of the research, which covers chapters 6 and 7, seeks to further understand the problem by exploring empirical data associated with the matter under consideration. Insights from the first stage of the research suggest a transformational approach to community engagement in the context of urban infrastructure. PPP faces two main challenges. At the macro-level, it faces a multi-stakeholder coordination challenge, and at the micro-level, it faces a social legitimacy or acceptance challenge. To gain a deeper understanding of these challenges in a specific context (Nigeria), the research explores a series of semi-structured interviews with PPP practitioners, documents, and online naturalistic data (social media).

5.2.3 Designing and evaluating the framework (Chapter 8)

The stage of the research method is conceptualising, validating, and evaluating the TCE framework. Because of the iterative nature of the design, the design and evaluation stages of the DSR process were tightly coupled, with the potential for rapid cycles of build and evaluation instead of their division into discrete elements (Hevner 2007). Venable et al. (2014, 78) argued that "as part of the design science process, evaluation may be tightly coupled with design itself. This tight linkage arises from the impact of evaluations on designer thinking, with the potentially rapid cycles of build and evaluate that sometimes constitute design itself." Accordingly, "the desired output of this process step is an objective-centred solution to meet the overall aim of the research" (Key 2016, 23), and the researcher's task is to creatively draw together potential solutions through a process of synthesising literature (kernel theories) and

case studies to bear on the challenges elicited from the second stage (Stange et al. 2022; Dresch et al. 2015, 78).

Following this understanding, the design and evaluation stages followed a four-step process. First, the two challenges identified in chapters 5 and 6 were summarised and visualised into a table with suggested solutions to form the first version of the framework. Second, through a governmentality lens, a literature review was conducted "to explore the solution space for valuable knowledge that inspires the design of an entirely new solution" (Stange et al. 2022, 4). This is to ensure the artefact (framework) developed is "rooted in kernel theories," which are "well-established theories in the natural and social sciences, which may exert some influence in the design process and should be considered by the researcher." (Dresch et al. 2015, 78).

To facilitate the necessary conceptual transition, the research at this stage draws on existing descriptive knowledge on meta-organising (meta-governance) and responsabilisation to conceptualise solutions for the macro- and micro-level challenges, respectively. Meta-organising and responsabilisation are existing descriptive knowledge (strategies of government) from governmentality that can be used to develop a framework (artefact) to facilitate a transformational approach to community engagement aimed at creating social value. Based on the insight from the literature review, two design propositions were made and connected to address the research question and develop the first version of the TCE framework.

Third, taking into account the broad policy-driven nature of this research, the first version of the TCE framework was validated by comparing it with the results of an empirical case study of the Scotland hub programme. The case study was based on document analysis and a focus group session with two directors of the programme (Dresch et al. 2015, 98; Johannesson and Perjons 2012). The Scotland hub programme offers practical insights (although in a different national context) into what has worked or is working. This helps the researcher validate and fine-tune the TCE framework as well as build a convincing argument for the framework's utility (Hevner et al. 2004, 86) in light of the empirical data from the Nigerian context.

The second version of the TCE framework was further evaluated through a focus group session with a team of seven PPP practitioners of various levels working at the Infrastructure Concession and Regulatory Commission (ICRC). However, it must be noted that an informal evaluation session was done concurrently within the design and build process through informal sessions with PPP practitioners that the researcher was working with at the UKNIAF. The

concurrent evaluation through experts within the urban infrastructure PPP context helps the researcher develop a framework that emerged "through reflection and learning activities." (Sonnenberg and Vom Brocke 2012, 72).

Another significant outcome of this research that improves its rigour is that a literature review was conducted at each stage of the research, connecting "the design science activities with the knowledge base of scientific foundations, experience, and expertise that inform the research project" (Hevner 2007, 88).

5.3 Methods and Techniques of data collection

In design science research, "good data" is crucial for addressing the research question and designing an artefact (framework) that is practically relevant to a real-life problem (Hevner et al. 2004). This is also compatible with the governmental perspectives adopted for this research. Mckee (2009, 479–480) suggests that "governmentality is most useful when applied to an empirical setting using a combination of data sources." Therefore, a multi-method approach was adopted to collect and analyse qualitative data at each stage of the research. Data were collected through interviews (with experienced practitioners), informal interactions with experts, a literature review, online naturalistic data (Nairaland, newspapers, etc.), and relevant policy and project documents.

In design science research, engagement with experts who are knowledgeable "of and experienced with relationships between means and ends" of the real-life problem to be solved is highly recommended (for example, see Hermus et al. 2019; Vidmar et al. 2019). This is because the context in which a design is to be implemented is of great importance. However, since the data used and their method of collection differ for each stage of the research, the type of data and the method of collection will be explained in much detail accordingly in chapters 6, 7, and 8.

5.4 Data Analysis

According to Vidmar et al. (2019), "there is no single accepted approach to qualitative data analysis in general. Researchers provide what they consider to be useful guidelines in the process of deriving meaning from a large body of empirical data." This is in line with

Silverman's (2011, 23) earlier argument that there is no "agreed doctrine" of how to conduct qualitative analysis. Instead, the focus should be on clarity rather than appealing to the research discipline. Similarly, Corcoran and Secret (2012, 166) stated that the main aim of a qualitative data analysis is to "make sense of and give meaning to the data collected," and in general, "the process of qualitative data analysis involves the identification and organisation of themes or patterns from the words, text, and narratives obtained in the data collection."

In other words, "qualitative data analysis requires the breaking up of collected data and its reassembly into relevant and meaningful pieces" (Vidmar et al. 2019). In practice, this can be described as a journey of learning and discovering, as the researcher needs to move back and forth between what the data is saying, the research question, and the theoretical point of interest. Following Yilmaz's (2013, 311) description of qualitative research as "an emergent, inductive, interpretive, and naturalistic approach to the study of people, cases, phenomena, social situations, and processes in their natural settings in order to reveal in descriptive terms the meanings that people attach to their experience of the world," we focused on words and meaning (the "why" and "how") rather than quantification (the "what", "where," and "when") in the collection and analysis of data.

In this regard, data analysis was conducted manually since automatic methods could create a barrier to understanding words and meaning (Mathur et al. 2021). Following this approach, predetermined themes generated from the literature review and theoretical framework were used to develop interviews and collect, categorise, and analyse data. A much more detailed explanation of the predetermined themes and categories as applied to address the empirical phase of the research is presented in the relevant chapters.

Nevertheless, data analysis generally followed three steps. First, the researcher selects, focuses, simplifies, summarises, and categorises the data sets using pre-determined themes. Second, multiple manual readings (Mathur et al. 2021) of the datasets in each category were done by the researcher. At this stage, the researcher moves back and forth between what the data is telling him, the research question, and the theoretical point of interest. As insights emerged, the researcher also went back to the datasets to review findings and cross-check validity. This evolving and iterative process helped refine the predefined themes. Finally, using a narrative strategy, the researcher presents the findings.

5.5 Ethical consideration

Considering the broader policy scope of the research, the sensitive nature of the research phenomenon, and potential ethical issues, care needs to be taken to ensure that interviewed PPP practitioners are not harmed or put at risk in any way and that their privacy and confidentiality are respected. In answering sub-research questions 1 and 2, the researcher employed interactive research methods, which involved interview sessions via Zoom and informal discussion sessions via WhatsApp. To mitigate potential ethical issues, the researcher took deliberate steps to inform the informants about the nature of the research and its intended use before a Zoom session was scheduled. In two cases, recording was not allowed, and notes were taken. In both cases, after discussions with the interviewees, the interview sessions were conducted three times within a week. Each session lasts for about 30 minutes to allow the researcher to make notes without forgetting.

However, in presenting the analysed data, the researcher avoided citing the names of the practitioners interviewed. This is because a majority of the interviewees stated this as a condition for participating in the research. Moreover, it is expected that the output of the research will be presented to relevant government and non-government organisations after the dissertation defence and approval. Therefore, although the interviewees were given a code name, as much aggregate information as possible was presented in the dissertation. The code name given to each interviewee was used primarily to guide data gathering and organise data analysis. The coding also enabled the researcher to link each interviewee's comments or statements to a face, especially during the back-and-forth process of data gathering and analysis through WhatsApp.

Furthermore, by taking these steps, the researcher helped ensure that the informants understood the purpose of the study and were willing to participate. This helps to minimise the risk of harm or damage to the informants and protects their privacy and confidentiality. It also helps to ensure that the research is conducted ethically and responsibly.

Finally, the secondary data analysed for the research were public documents available on the websites of relevant government agencies. No classified documents were used for this research.

6 THE MACRO CONTEXT OF COMMUNITY ENGAGEMENT IN NIGERIA'S URBAN INFRASTRUCTURE GOVERNANCE

6.1 Introduction

The macro-context represents the national (country) socio-political context within which a PPP is embedded. This can enable or constrain how actors or stakeholders interact in value creation and the overall success of an urban infrastructure PPP (Brunet 2019, 284; Biesenthal et al. 2018, 46). The macro context, therefore, needs to be examined in seeking out what Foucault calls "great strategies of power", exercised at the macro level, to "produce new effects and advance into hitherto unaffected domains" (Foucault 1980, 199).

Thus, this chapter "problematizes" the macro context of current community engagement practice in Nigeria by exploring, understanding, and reconciling the failures and difficulties of facilitating a transformational approach to community engagement aimed at creating social value. It, therefore, addressed the first research objective by answering the first sub-research question: *How have the socio-political context and other related forces impacted the practice of community engagement in urban infrastructure PPP in Nigeria over time?*

To this end, this chapter complements the contextual background presented in Chapter 3 with an empirical examination of the governance of urban infrastructure PPP in Nigeria, its associated governing institutions, relevant actors, and their responsibilities for and issues with a transformational approach to community engagement. In the first section (section 6.1), a brief conceptual background based on relevant literature was presented. Section 6.2 presents how the data used to address this sub-research question were collected and analysed. Thereafter, Section 6.3 presents the discussion of the findings, while Section 6.4 summarises and synthesises the findings.

6.2 Overview of the macro-context of community engagement

Value creation in a multi-stakeholder setting (Dentoni et al. 2018, 333), like urban infrastructure PPPs, "tends to be complex and requires intricate governance mechanisms to coordinate activities across stakeholders" (Lashitew et al. 2020, 194), particularly when the value to be

created is subjective and appropriated to stakeholders who are traditionally outside the boundary of the (PPP) project value chain (Rühli et al. 2017, 289–290; George et al. 2016, 1880–1881).

This is because collaborative efforts and coordination amongst involved stakeholders and coordination with the local communities affected to create social value within the context of urban infrastructure PPP are often influenced by the socio-political context (Lehtinen et al. 2021, 18). In this regard "a context-specific and often complex assembly of institutions, including both formal rules and informal norms, generates market microstructures and an assembly of institutions that configure socio-political contexts and organise the terms of action" (Mair et al. 2012, 820). Explaining further, Mair et al stated that "institutional architectures vary across polities, comprising rules for what issues are public and collective and which actors are authorised to engage these issues(ibid).

As such, the complexity that stems from the socio-political context can have a significant impact on multistakeholder steering and coordination towards a predefined goal (Brunet 2019, 285; Ponciana and Jose 2019, 85; Biesenthal et al. 2018, 43), especially in the delivery and governance of public infrastructure, as the socio-political dynamic and how actors interpret it viz-a-viz their interests, expectations, goals, and objectives could be very problematic (Greogory 2020).

The central question then becomes, "whose terms govern community engagement?" (Shaw and Crowther 2017, 3): what is its intended purpose, how is it funded, for what reason, and by whom? Who is deemed to be part of the community and who is not? Furthermore, who benefits, and who stands to lose out? Unfortunately, these questions remain largely unanswered in most developing countries like Nigeria, where formal institutions that foster and support socioeconomic interactions are either absent or weak (Nwauche and Claeys 2019; Ahen and Amankwah-Amoah 2018). Under this condition, adopting a transformational approach to community engagement can be costly and risky because inefficient governance and market institutions hinder the mechanisms that allow resource exchanges, increasing the transaction costs of community engagement for businesses and the state, and creating room for opportunistic behaviour in PPPs (Lashitew et al. 2020, 221; Dolla and Laishram 2019, 1192).

For instance, Boardman and Vining's research linked the dismal social outcomes of PPPs to opportunistic behaviours on the part of the government, the private sector, and even communities. The authors posited that "the primary goals of most public sector (i.e.,

government) participants are political self-interest and vote maximisation, while the primary goal of most private sector participants is firm-profit maximisation. Users generally want to pay as little as possible for the use of any given infrastructure project" (Boardman and Vining 2012, 119). The challenging task, therefore, is, undeniably, how to coordinate and align multiple stakeholders with their distinct interests, expectations, planning horizons, objectives, and goals to collaborate meaningfully with local communities and create social value with and for them.

Nevertheless, a transformational approach to community engagement is useful for delivering social value in urban infrastructure PPP as it brings multiple stakeholders' resources, including local (community) knowledge, to design solutions that enhance social value throughout an infrastructure life cycle (Mulholland et al. 2020, 76; Payal and Hazenberg 2019; Caldwell et al. 2017, 906; Awuzie and McDermott 2016, 106). But the state or government needs to facilitate or create an enabling environment for engaging communities in a transformational manner. While this has been identified as being important as reflected in policies and regulations that target cities and urban development in most sub-Saharan African countries and, in particular, Nigeria (FRN 2012, 56), they are more of a rhetoric than an action (Cartwright et al. 2018).

There persists a well-entrenched misalignment between the goals and motivations of the government, private sector, and community. Such a division implies that there are still uncertainties and ambiguity in the socio-political context that need to be reduced in order to facilitate a transformational approach to community engagement and enhance social value creation in urban infrastructure PPPs.

How this may be achieved is the aim of this dissertation, and this chapter is the starting point. Specifically, it seeks to "problematize" the current community engagement practise by exploring, understanding, and reconciling the failures and difficulties of organising transformational community engagement strategies aimed at creating social value at the macro-level by addressing the first sub-research question: *How have the socio-political context and other related forces impacted the practise of community engagement in urban infrastructure PPP in Nigeria over time?*

To answer this sub-research question, open government policy documents and correspondence and data from semi-structured interviews with PPP practitioners in Nigeria were analysed through a governmentality lens. The focus was on who decides, how they decide, who benefits,

and who loses from a practical point of view of community engagement, and potentially influencing it to develop a better framework or solution.

6.3 Data Collection and Analysis

Central to the dissertation and this chapter is the focus on the "how" questions. This informed the researcher to conduct data collection and analysis in two stages. In the first stage, relevant government policy documents and correspondence between government agencies were collected and analysed. The data analysis of both the documents and semi-structured interviews followed the general approach outlined in Chapter 5. Following this perspective, the document and interview data were analysed as follows:

6.3.1 Stage 1: Document Analysis

All the documents reviewed were publicly available policies, correspondences, and presentations mainly authored by public governmental agencies, as shown in Annex A. The document review allowed for placing the current community engagement practise in context and understanding how the socio-political context constrains a transformational approach to community engagement in Nigeria. It also provided the context and background used to develop a set of interview questions for the semi-structured interview stage.

Following Bowen's (2009) and O'Leary's (2014) suggestions, the focus of data collection was more on quality than quantity. All the documents selected were authored by relevant government agencies and high-ranking government officials, and they were all analysed for their completeness with a focus on the "unwitting" evidence, or latent content, of the document. Latent content refers to the style, tone, agenda, facts, or opinions that exist in the document (O'Leary 2014).

Table 2:List of government documents analysed

S/N	Type of data	Source
1	The National Policy on Public-Private Partnerships (N4P, 2008)	https://www.icrc.gov.ng/resources/icrc-publications/
2	The Infrastructure Concession and Regulatory Commission (ICRC Act, 2005)	https://www.icrc.gov.ng/resources/icrc-publications/
3	National Urban Development Policy - Adopted by The Federal Executive Council (FCE), 2012, 20 June	Obtained from the Federal Ministry of Works and Housing website https://www.worksandhousing.gov.ng/
4	Reviewed National Integrated Infrastructure Master Plan (NIIMP 2020)	https://nationalplanning.gov.ng/wp-content/uploads/2022/10/REVIEWED-NIIMP.pdf
5	Bureau for public procurement Act	https://www.bpe.gov.ng/wp-content/uploads/2015/04/BPE-Act.pdf
6	Six, official correspondence between relevant federal government agencies on ICRC and BPE rivalry. <ul style="list-style-type: none"> • Re; Concession Process for the NPA Warri old Port Terminal "B" by the BPE, NPA, Federal Ministry of Transport, 19th May 2015 • Attorney General of the federation legal opinion on National Theatre, 5th September 2017 • Communiqué Issued at The End of a High-Level Stakeholders' Retreat on Public Private Partnerships Held on the 11-12 January 2019 • Legal opinion on the dispute between Kiri Hydropower Limited, Federal Ministry of Water Resources, 	https://www.icrc.gov.ng/resources/icrc-bpe/

	<p>Infrastructure Concession and Regulatory Commission and the Secretary to the Government of the Federation - 22nd July 2020</p> <ul style="list-style-type: none"> • Resolution of conflict between Infrastructure Concession and Regulatory Commission (ICRC) and the Bureau of Public Enterprises (BPE) over the administration of PPP Concessions, 24 July 2020 • Administration of Concession Programme of the Federal Government of Nigeria 2020 • Circular from the office of the secretary of government to the government of the federation (OSGF) on the involvement of ICRC by MDAs prior to commencing PPP projects 	
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Source: Own source 2023

In the document or archival inquiry, some keywords or phrases identified in the literature review were used in organising the data for analysis. After downloading each document, the keywords or phrases were used to search each document and extract the relevant page or section. Table 3 shows the summative keywords and phrases used after identifying the right archive source suitable for the exercise. The three-step data analysis strategy adopted for the dissertation (see Section 5.4 in Chapter 5) was used to analyse the organised data.

Table 3: Keywords used to search the documents.

Community engagement	Public participation	Local government
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Community participation	Social benefits	Inter-government coordination
Public engagement	Social value	Urban development

Source: Own source 2023.

In reading the documents, the focus was on how community engagement is perceived and materialised, specifically:

1. How is community engagement in the context of urban development and PPP conceptualised as an object of governance?
2. What dimensions are foregrounded or obscured?

Using the two questions highlighted above, the researcher carefully read the relevant pages in each document, treating each selected section or page like a respondent or informant that provides the researcher with relevant information (O’Leary 2014); "information expected to be found, information not expected to be found, and information that was unusual or conceptually unusual" (Creswell 2007, 153). Thereafter, we coded and organised them into themes, which in turn became the semi-structured interview guide at stage 2 of the data collection and analysis.

6.3.2 Stage 2: Semi-structured interviews of PPP practitioners

Fourteen PPP practitioners (experts) in the private and public sectors were interviewed during the second stage of the data collection and analysis. The in-depth interviews provide rich insight into the line of thought behind the data from official documents and allow us to see the tension and underlying power relations that coexist in Nigeria's urban infrastructure development, particularly how this underlying tension obliterates the role of local communities in both the urban development and PPP policy framework of Nigeria.

The interviews were recorded, transcribed, and analysed immediately after every interview session. This approach allowed the researcher to read and analyse the data manually since the datasets are small (Mathur et al. 2021). It also allowed the researcher to use the insight gained at each interview session to shape and enrich the quality of subsequent interview sessions and validate data from former interview sessions. Overall, this approach helped improve the researcher's understanding of the research context, the quality of the presentation of the research findings, and the validity of the entire research process. This continuous interplay between insights obtained through engaged practitioners and the researcher's analysis was done via informal WhatsApp chats.

It should be noted that the effect of the COVID-19 pandemic contributed significantly to the adoption of Zoom as opposed to face-to-face interviews, as research was conducted when

'social distancing' rules were still being observed. PPP-13 and PPP-14 interviews were conducted face-to-face, PPP-11 and PPP-12 did not allow their Zoom sessions to be recorded. These four interviewees gave these conditions for participation.

Before the interviews, the research proposal was sent to the interviewees to give them an understanding of the research objective. The semi-structured interviews were deliberately not sent to the interviewees because, even though they serve as a guide, the interview sessions were conducted as open interview sessions that evolved as the research progressed until saturation had been reached (see Guest et al. 2006).

Following Key's (2016, 78) adoption of Francis et al.'s (2010) specified principle of "an initial analysis sample, where up to 10 interviews are conducted, and a stopping criterion, whereupon analysis of the data, it can be shown that there are 3 consecutive interviews within which no new themes have emerged" for his doctoral research, data saturation in this research was achieved from a research sample size of fourteen.

Moreover, the PPP policy and practise community in Nigeria is small, and the movement of individuals between roles is common. Many interviewees offered views based on their experience working in public, private, and multilateral organisations like the African Development Bank. Similarly, some interviewees were directly engaged with policy creation as well as implementation. To offer the reader an insight into the rationale behind their selection, table 3 details the experience of each of the 14 carefully selected interviewees.

Table 4: Summary of interviewees' profile of the 1st sub-research question

Code	Interviewee organisation and designation
PPP-1	An experienced engineer and expert in resource-based industrial development, economic and infrastructure linkages, and public-private partnerships, with a master's degree in public policy development and management.
PPP-2	An independent PPP procurement/planning consultant to public and private sector institutions, development banks, and agencies globally with over eighteen years of experience across Africa and Europe. A steering committee member of the World Association of PPP Units and Professionals (WAPPP)
PPP-3	An infrastructure investment and PPP transaction advisory consultant with fifteen years of experience in providing advice across the infrastructure investment lifecycle, transport, water, energy, urban infrastructure, real estate, and ICT.
PPP-4	An economist and infrastructure investment specialist and public policy specialist with fifteen years of experience across the value chain of PPP transaction advisory services.
PPP-5	An economist and green and sustainable finance specialist with a Ph.D. in development finance. Experienced in setting up several climate funds, structuring projects to access climate finance from a range of providers including multilateral development banks.
PPP-6	A water engineer and PPP practitioner with a good understanding of policy, regulatory, institutional and operational issues in Water and Infrastructure in emerging markets and developing economies.
PPP-7	A sustainable energy specialist with twelve years of experience working with multilateral development organisations, national governments, and the private sector to develop and finance bankable Renewable Energy (RE) projects to achieve climate-positive and energy access impacts.
PPP-8	An executive director of an ISO 9001-2015 certified real estate and infrastructure development company with a portfolio of six social infrastructure PPP assets across education, health, and hospitality.
PPP-9	An accomplished executive with over twenty years of hands-on experience leading infrastructure projects across Africa and Asia.

PPP-10	An infrastructure and capital project commercial specialist with over 20 years experience in commercial and financial due diligence, PPP Policy, capacity building, and contract management across a range of sectors.
PPP-11	A director at Nigeria PPP regulatory commission with over 20 years of experience
PPP-12	A lawyer and PPP consultant with both the federal and Lagos state government with over 20 years of experience.
PPP-13	A PPP practitioner and a senior executive with a sub-national PPP agency.
PPP-14	A PPP practitioner and a senior executive with a sub-national PPP agency

Source: Own source 2023.

In analysing the interview data, we followed the data analysis strategy adopted for the dissertation (see Section 5.4 in Chapter 5). The two predetermined themes from the document analysis: (i) misaligned political systems and institutions, and (ii) a constraint on local government, guided the researcher in focusing, simplifying, summarising, and categorising the data. However, as the researcher progressed with the interviews and data analysis, a new theme was identified, namely, "the private sector's perception and attitude towards community engagement." This theme was noticed during the analysis of the third interview and was further validated via WhatsApp chat with the two PPP practitioners already interviewed. Based on validation, it was adopted as a theme, and the interview guide (see Annex B) was updated accordingly.

6.4 Findings and Discussion

6.4.1 Document review: Misaligned and fragmented urban governance framework

The document analysis indicates that there is no entrenched role for local communities, whether institutionally defined or based on the discretionary power of the relevant government agencies. The implication is that Nigeria's current urban development policy framework (although currently undergoing review to revise the policy and provide a governance framework for ensuring more inclusive and sustainable urban development) is not inclusive.

A review of the documents also shows a deeply rooted and growing inter-agency rivalry between government agencies at different levels of government. This inter-agency rivalry is underpinned by how the various actors interpret their roles and responsibilities based on the socio-political context—the history of the exchanges between the actors that have formed specific interaction patterns over time. Therefore, ensuring that all tiers and agencies of government effectively carry out their functions and responsibility with regard to the national urban development framework remains the main issue.

For instance, the Infrastructure Concession and Regulatory Commission (ICRC) and the Bureau for Public Enterprises (BPE), the two agencies responsible for regulating PPPs and managing the privatisation of government assets and investments, have been fighting over which agency is the regulator of federal government PPPs. As evidence from an extract from a correspondence between the office of the attorney general of the federation and the office of the Vice President of Nigeria obtained from the ICRC website (accessed October 23rd, 2022).

- *"It is regrettable that this issue between the infrastructure concession and regulatory commission (ICRC) and the Bureau of Public Enterprises (BPE) has remained unresolved despite previous opinions from my office (Attorney General of the Federation and Minister for Justice) explaining the position of the law as well as the extant government policy on the matter."*

Even the introduction section of the revised National Urban Development Policy (NUDP) clearly agrees that more coordination between the three tiers of government and their agencies is needed when it states that "despite the fact that Nigeria adopted a robust National Urban Development Policy and enacted a comprehensive Urban and Regional Planning Act, both in 1992, there had been generally little achievement to show in terms of their implementation. Today, the general apathy towards urban planning still persists in the country" (FRN 2012, 3).

Therefore, in practice, "inclusive urban governance," which the NUDP defined as "the sum total of the many ways in which individuals and institutions, public, private, and civil society organisations participate in the planning and management of the common affairs of a city" (FRN 2012, 43), becomes a challenge. To improve inclusive and equitable urban governance and the provision of urban infrastructure that addresses Nigeria's inclusive development, the NUDP (FRN 2012, 45–46) recommends:

1. "Establishing an institutional framework for coordinating the promotion of good governance in cities and towns that have more than one local government"
2. "Strengthening the capacity of urban local governments to promote and adopt essential elements and principles of good governance, including effectiveness, visioning of development, equity, security, resource mobilisation, transparency, and accountability, civic engagement, and the adoption of a citizen's charter, among others, so as to ensure efficient service delivery, popular participation, transparency, and accountability"
3. "Strengthening the capacity of urban local governments for visioning development"
4. "Encouraging and entrenching popular participation and public consultation through consultative assembly among all stakeholders in the decision-making process for urban development initiatives; and"
5. "Building and strengthening the capacities of urban policymakers, managers, and all planning agencies in local leadership and urban governance"

To achieve these objectives, the NUDP (FRN 2012, 46) further recommends the following strategies, among others, as critical for inclusive urban development: The "involvement of all stakeholders, particularly citizen participation in the decision-making process," and recognising and encouraging community-based organisations (CBOs), non-governmental organisations (NGOs), and faith-based organisations (FBOs) "to work with the people in articulating their development needs and visions and in engaging with the urban authorities." In addition to fostering "Public-Private Partnerships (PPP) and Public-Public Partnerships (Pb-Pb-P) for the delivery of urban infrastructure services in critical areas, including waste collection and disposal and maintenance of parks and gardens,"

Although these policies and frameworks recognise that local communities are critical to the success of PPP projects, community engagement is relegated to the secondary function of project delivery. As a result, there is no coherent, uniform, or standardised procedure for engaging local communities, especially at the front end of a PPP project. In recent years, the Nigerian government has considered various changes in policies and regulations that target cities and urban development through PPP, but uncertainties and ambiguity in how multiple stakeholders can be engaged in a way that benefits local communities within the socio-political context still remain.

Under this condition, a transformational approach to community engagement aimed at creating social value is problematic in Nigeria. The implication, we contend, is that government officials and other relevant stakeholders will often find community engagement a fraught process, and as a result, they will either fast-track the process or avoid it as there is no framework or incentive to guide them. Even when they do, it will be more of a rhetorical exercise—a box-ticking (window-dressing) exercise and at best a means of giving back to society and dealing with unanticipated resistance from communities during project delivery (Bekele 2019; Toriola-Coker et al. 2020).

In other words, community engagement is still a very passive minor consideration in Nigerian urban governance and, by extension, urban infrastructure PPP, as local government areas, which are the level of government closer to communities, are constrained by material, constitutional, and institutional factors (Connell et al. 2019). This has created an asymmetrical power relationship that produces community disempowerment and divisiveness, giving PPP a bad name.

In summary, we contend that current community engagement practise in the context of urban infrastructure PPPs in Nigeria is constrained by political systems and institutions and local government area capacity. These two themes form the guidelines for the semi-structured interview stage of this research. Although they later increased to three as the interview progressed.

6.4.2 Interview analysis

The problems highlighted above were reinforced by the interviewees. Three themes emerged from the interviewees: misaligned political systems and institutions, a constrained local government in terms of capacity, and the private sector's perception of community engagement. These three themes, taken together, challenged organising a transformational approach at the macro-level in the context of urban infrastructure PPPs.

6.4.2.1 Misaligned political systems and institutions

Political systems and institutions refer to the formal and informal rules and systems that underpin socio-economic engagement and how various levels of government are governed (constitutions, etc.). In the context of urban infrastructure, they define and influence multi-level government interaction, how resources and responsibilities are shared across levels of government, collective decision-making, and conflict management. Findings from the interviewee sessions indicate that Nigeria's political system and institutional environment are highly contested, with policies that are inconsistent and incoherent. Multi-government agencies are often working at cross purposes, and, in most cases, political or vested interests drive social interactions.

The interest could even be that of an international agency (for example, in a donor-funded project), as indicated by the statement below,

- *"When multilateral organisations, like the World Bank and the United States Agency for International Development (USAID), are involved in a project, policies are influenced in favour of such projects, and in most cases, issues such as poverty, gender and social inclusion, and climate change are considered."*

or political interest, as indicated by the statement of another interviewed practitioner below;

- *"Most government actors want to gain political mileage for the next election from community engagement, so they tend to focus on giving back to the community rather than implementing an engagement that can create social value."*

The diverse and conflicting interests across actors are exacerbated by the imbalance of political power and institutions, which in turn creates tension between national and sub-national governments. For instance, the inability of the Lagos state government to secure approval for a sovereign guarantee for the Lekki-Epe Expressway PPP as a result of political differences between the federal government and the Lagos state government was highlighted by interviewed practitioners as a practical example of multi-level government conflicts and rivalries. The commercial and contract signings were delayed for almost two years because different political parties controlled the federal and Lagos state governments.

This also has a spillover effect on how local communities are engaged in urban infrastructure PPPs. The following comments of PPP practitioners interviewed offer a flavour of the wider views expressed by experts in the field concerning the effect that this (inter-agency rivalry) has on facilitating or organising transformational community engagement, even though the NUP stated clearly that "greater emphasis should be placed on community participation in decision-making and programme implementation" (FRN 2012, 14) to promote sustainable urban development in Nigeria.

- *"Inter-agency rivalry and political differences between the federal government and state government are still major issues." We are not mature yet; we don't have institutions in Nigeria. Even if we have a clearly defined role for local communities, we still need to smooth out this inter-agency coordination problem; if not, communities' engagement will continue to be on paper."*
- *"At this stage, it is a case of the grasses (communities) suffering when the elephants are fighting."*
- *"Government is neither here nor there. There is no clear framework or guidance on how the PPP should engage local communities, unlike in the oil and gas sector, which has a clearly defined local content policy. For example, what are the social value goals to be*

implemented? They need to be defined at the policy level before we can talk of implementation."

- *"Most private partners in PPP do not know whom to talk to concerning community engagement. Is it directly with the government? If it is, which of the government agencies? We don't have a functioning local government, if you recall."*
- *"With all the donors' support for policy reforms and institutional innovations targeting urban development, implementation is still more of a rhetorical issue." I don't think we have a working urban infrastructure policy that aligns the goals of government at the national and sub-national level with those of communities and private partners, unlike what we have in agriculture and the oil and gas sectors."*

In this summary, there is no formal framework guiding the community engagement process in PPPs. Community engagement as currently practised was presented by the interviewees as a tokenistic exercise, undertaken by most government actors to gain political mileage for the next election or by the SPV because they are required to, rather than as a result of a genuine desire to create social value with and for communities.

- *"You and I know in Nigeria that a lot of PPP projects are launched by politicians or political interest groups. And so, they're going to make all sorts of crazy promises to communities to make them look good so that during elections, they can say Wow, look! I built this school or road. And as soon as you get that sort of political expectation, delivery, or interference involved, you are going to put the PPP project at risk."*

6.4.2.2 Constrained local government capacity: limiting bottom-up planning

Another interesting finding that emerged from this current study is the capacity of local government areas (LGAs). Local government areas are the third tier of government in Nigeria and, ideally, are the closest level of government to communities. The local level of government is the level where all urban actors can be enabled to envisage, develop, and create social value by integrating and implementing cross-cutting and sectoral solutions. In this regard, the reviewed National Integrated Infrastructure Master Plan (NIIMP) recognised the "need to critically synergize the efforts made at developing public infrastructure utilities at the federal level and the various sub-national levels—the 36 states and the Federal Capital Territory (FCT), including the 774 local governments" (FRN 2020, 191).

But Nigeria's subnational governance system remains dominated by relatively strong and autonomous state governments and weak and often electorally unaccountable local governments. As a result, it is devoid of any meaningfully empowered city or intermediary authorities that can provide a platform for engaging communities or effecting bottom-up urban infrastructure planning. The interviewed PPP practitioners all shared the view that a transformational approach to community engagement aimed at creating social value in the context of urban infrastructure PPP is easier and more effective under a functioning local government. An interviewee summarised the situation as follows:

- *"In Nigeria, you find that it's difficult to engage the community; even when you want to capture their needs and integrate them into a PPP project, who do you talk to? We don't have a functioning local government in Nigeria. There is no link between the communities and the government. In fact, there is no existing governance structure that could help you engage local communities."*

They attributed this to the resource, constitutional, and institutional factors connected to their (local government areas) position in the national political system's hierarchy that constrain their capacity to enable and participate in community engagement. In addition, many Nigerian urban areas (cities) are subdivided into several local governments, militating against proper governance and the effective delivery of urban infrastructure. There is no institutional or legal provision for it. This is one of the major gaps in the country's multi-level urban governance framework.

6.4.2.3 The private sector's attitude towards community engagement

Although the National Policy on Public-Private Partnership (N4P 2008, 12–13) states that:

- *"Private sector participants in a PPP project will contribute to strategies for communicating and consulting with the general public, customers, affected communities, and corporate stakeholders, to help develop a mutual acceptance and understanding of the objectives of the public and private parties."*
- *"Private sector contractors in the provision of vital services to communities need to be mindful of the consequences of their actions for those communities and work, together with the public authorities, to avoid or mitigate socially unacceptable outcomes."*

An analysis of the interviews reveals that while the expert agreed with these points, the question of who is responsible for engaging the communities and to what extent the private sector partner can involve impacted communities in decision-making remains unclear. The general perception is that a PPP is a partnership between the government entity that initiates the project and the private sector partner, which is going to deliver, operate, and maintain the project, and not with communities. Accordingly, the government, as the initiator of the project, should be the one reaching out to the community to understand what the community's needs are, except in the case of unsolicited PPPs.

As stated by an interviewed practitioner, "it's a very unfair burden to put on the private sector." This is broadly explained by another interviewed practitioner:

- *"Once the public-private partnership agreement is signed, you can't then start engaging the public afterward and then listen to them and change the contract to meet them because that's not what the private party agreed to. So, these things have to be sorted out upfront. Community leaders, politicians, and the relevant government agencies launching a project should meet to discuss and agree on the desired social outcomes before launching a PPP project. Once that's taken place, this needs to then be included in the terms of reference that are included in the request for proposals, or RFP. So that the private sector, if they are going to bid on the project, understands what the community's expectations are. You can't do that afterward because then you're trying to change the contract that was signed."*

6.5 Summary of the problem and suggested solution

This chapter explores the challenges of organising transformational community engagement in the context of urban infrastructure PPP in Nigeria at the macro-level. The triangulated data from relevant government documents and semi-structured interviews of PPP practitioners suggests that, although current policies and frameworks recognise that local communities are critical to the success of PPP projects, the current approach to community engagement is tokenistic and follows a "decide, announce, defend" approach. As a result, communities are seen as "objects of development as opposed to agents of their own development" (Gold et al. 2018, 662).

The traditional "decide, announce, and defend" approach to community engagement contrasts with the transformational approach, which emphasises intentional interactions between

community members, public decision-makers (government agencies), and the private sector partners involved in a PPP project. In the transformational approach, the lived experience of community members takes a front seat, and local knowledge is considered in decision-making processes. These differences challenge the current "decide, announce, and defend" approach and demand a paradigm shift from the current fragmented and uncoordinated urban governance actors in Nigeria.

To overcome these challenges at the macro-level, the literature suggests a governance turn that shifts the governance "from top-down, hard law, and regulatory frameworks to relational, bottom-up, or horizontally distributed governance" (Berkowitz 2018, 420) of community engagement and social value creation in multiple stakeholder settings like PPPs (Castelblanco et al. 2022; Solheim-Kile and Wald 2019). A suitable governmental strategy suggested based on the researcher's informal interactions with practitioners and academia was "meta-organising" (Meta-governance)." By meta-governance, we mean "the governance of organisational capabilities at the level of organisations, through meta-organisations," which are "unconventional organisations, where members are themselves organisations. Meta-organisations can be solely made up of businesses or be mixed, as in multi-stakeholder groups that also gather civil society organisations" (Berkowitz 2018, 426).

Meta-organising can be particularly relevant in contexts where institutional voids are present. By creating structures and processes that allow for collective action and cooperation, meta-organising can help fill institutional voids and overcome the coordination challenges associated with them. For example, in developing countries with weak formal institutions, industry associations or business networks can serve as mechanisms for coordinating and sharing information among firms, facilitating collective action, and addressing multi-stakeholder coordination challenges. In this sense, meta-organising can contribute to a transformational approach to community engagement that is aimed at creating social value with and for communities.

7 THE MICRO CONTEXT OF COMMUNITY ENGAGEMENT IN NIGERIA'S URBAN INFRASTRUCTURE GOVERNANCE

7.1 Introduction

This chapter focuses on the micro-context of community engagement within the context of urban infrastructure PPP in Nigeria by problematizing the deep-rooted beliefs inherent within the socio-political context, which are often taken for granted by policymakers but influence community group perceptions and attitudes towards PPP at the micro-level (implementation of the PPP project). The interaction between the micro- and macro-levels of community engagement is crucial for organising a transformational approach to community engagement.

As explained in the literature review section (Chapter 2), a transformational approach to community engagement presupposes an informed, active, enabled, and willing community stakeholder group. Community groups' perceptions and attitudes towards a PPP project are influenced by the mental modes or shared beliefs that underpin societal expectations, which in turn shape or influence interaction or engagement at the micro-level (Bryson et al. 2017; Teo and Loosemore 2017, 1445; Muller et al. 2014, 1011).

Therefore, an understanding of the mental modes or shared beliefs that underpin societal expectations, which in turn shape or influence interaction or engagement at the micro-level (Muller et al. 2014, 1011), potentially provides insights into how to develop appropriate engagement strategies. This is because, in practice, community engagement is more often than not a non-contractual collaboration that takes place within the "larger societal order," with ties and embedded shared beliefs guiding how citizens (and communities) respond to government actions and policies.

To this end, the first section of this chapter presents a brief conceptual background based on relevant literature. Section 7.2 presents how the data used to address this sub-research question were collected and analysed. Thereafter, Section 7.3 presents the discussion of the findings, while Section 7.4 summarises and synthesises the findings.

7.2 Overview of the micro-context of community engagement

A transformational approach to community engagement aimed at creating social value for communities in practise revolves around the actual opportunity, capacity, and willingness of the "local community" to collaborate or engage with the PPP organisation or special purpose vehicle set up to manage the infrastructure PPP "in joint problem solving, management of projects, decision-making, learning, and sense-making" (Bowen et al. 2010, 307). But impacted communities will not participate in the engagement process if the (social) legitimacy of PPPs as the appropriate institution or governance mechanism for providing an infrastructure service is questioned (Castelblanco 2022).

Moreover, urban infrastructure PPP projects rarely go uncontested. This is because of the multi-faceted relationality and impact of urban infrastructure on the local communities' socio-economic structure (Mii and Radujkovi 2015, 72–74). In addition, the introduction of the private sector partner through a PPP alters the pre-existing contract "between the state and society on their mutual roles and responsibilities" (OECD 2009, 77). Citizens hardly take kindly to the divesting of "public assets" to the private sector. They will only accept such changes, participate in, and provide input in an engagement process if they perceive the PPP as a legitimate institution or mechanism for providing the infrastructure service that will improve their quality of life (Derakhshan et al. 2019, 73).

Suchmann (1995, 574) defines legitimacy as a "perception or assumption that the actions of an entity are desirable, proper, or appropriate within some socially constructed system of norms, values, beliefs, and definitions" (1995, 574). In this sense, legitimacy is a "relational property, determined by the beliefs and perceptions of audiences and not the normative goodness of an institution (infrastructure PPP), although the latter may influence whether audiences regard an institution's exercise of authority as more or less appropriate" (Tallberg and Zurn 2019, 586). Building on this understanding, Castelblanco et al. (2022) see social legitimacy, which they defined as "the social appropriation and the desirability of PPPs by impacted stakeholders," as a prerequisite for gaining community support and social value creation.

Furthermore, in investigating "the formation of legitimacy perceptions of stakeholders in infrastructure projects, Witz et al.'s (2021) research linked the social acceptance or legitimacy of an infrastructure project to "shared beliefs," which are the narratives about

public institutions' performance over time widely held in society. Witz and co-authors further observed that impacted stakeholders like communities can form stakeholder groups based on "shared beliefs, values, and goals in the context of a socioeconomic issue" (378), depending on how they interpret the situation based on shared beliefs. The stakeholder or social group formed may, in consequence, take active measures to support or oppose the project.

This is how, according to Witz et al. (2021, 378), community opposition or "social resistance," which they described as "groups of people aligned in response to a particular social or environmental issue, albeit with varying degrees of organisation," is set in motion." Therefore, shared beliefs are antecedents of community attitudes, perceptions, and behaviours. Nevertheless, they are sensitive to the socio-political context of a country (Witz et al. 2021, 377–378), and therefore, how they are applied in a given situation depends on the interpretation of the social situation agents find themselves. That interpretation usually involves the type of situation it is, the type of interactions that take place in it, and the structurally based power of individual actors or the community group (Etzioni 2000, 156; Beetham 2013; Khan et al. 2021; Young 2015). Structural power, which is derived from structures that constitute the framework in which actors are forced to act, establishes "the contextual conditions for negotiations between some pairs of actors in a network by providing incentives for them to negotiate repeatedly and to arrive at satisfactory agreements" (Lawler and Yoon 1995, 3).

Accordingly, the social acceptance of a PPP project, which is necessary for organising transformational community engagement at the micro-level, is "generated by the alignment—or lack thereof—between the beliefs widely held by specific individuals or groups and the normative content of the rules, both formal and informal, governing the power relationship in question" (Nixon and Mallett 2017, 14). Thus, an understanding of what motivates actual communities to oppose or support a PPP project is crucial for facilitating a transformational approach to community engagement. Neglecting community groups' perception and attitudes towards a PPP can trigger social resistance against PPPs and, consequently, the erosion of PPP acceptance as an appropriate or legitimate mechanism for providing, for example, urban infrastructure (Witz et al. 2021, 377; Toriola-Coker et al. 2020, 2). See also several emerging studies from sub-Saharan Africa (Babatunde et al. 2016; Bekele 2019; Amadi et al. 2020) that also attest to this.

Indeed, community opposition (or support) shapes the infrastructure PPP outcome (Toriola-Coker et al. 2020; Cui et al. 2018:787). This realisation has led to an increased interest in community stakeholders, their perceptions and attitudes, and how to manage them accordingly (Aaltonen et al. 2021, 710; Derakhshan et al. 2019). However, research on community behaviours and attitudes towards PPP projects is relatively scant in the literature (Witz et al. 2021, 378; Bice et al. 2019, 290), even though behaviours and attitudes such as stakeholders' perception of, for example, the fairness of a firm or project have been recognised as motivators for stakeholder engagement in broader stakeholder engagement research (Hayibor and Collins 2016, 351).

Thus, this research contends that a deeper knowledge of disparate stakeholder groups (communities) develops or change attitudes towards PPP projects is missing in research and practise (Witz et al. 2021, 378). Such knowledge is needed to develop new approaches to community engagement and governance in challenging multi-stakeholder environments like urban infrastructure PPPs in developing countries like Nigeria. Against this backdrop, this chapter of the dissertation addresses the second sub-research question: *What are the shared beliefs that influence a community group's perception and attitude towards an urban infrastructure PPP in Nigeria over time?*

In addressing this sub-research question, the research explores and identifies the often taken-for-granted "shared beliefs" that are influencing communities' attitudes towards infrastructure PPP in Nigeria. We contend that these shared beliefs need to be "dismantled by using specific strategies to trigger social legitimacy in PPP programmes" (Castelblanco et al. 2022).

In advancing and conceptualising how shared beliefs influence community behaviours, perceptions, and attitudes towards a PPP project, we followed Khan et al.'s (2021) assertion that when analysing the legitimacy of a policy or government programme, the focus should be on belief systems, not on opinions or theoretically derived constructions.

Nevertheless, there are many dimensions of societal expectations that are drivers of shared beliefs that influence or shape communities' perceptions and attitudes towards meaningful engagement with the state or public. However, in the context of the provision of infrastructure as both a social and economic service, government institutions' actions and

policies are expected to be provided competently (effectively and efficiently), ethically (procedural justice), and fairly for the economy and society as a whole (OECD 2017).

From this perspective, we problematize these shared beliefs via the study of an urban road PPP project in Lagos, Nigeria (Yin 2014), leading to findings that are better grounded and relevant for policy formulation. The case selected (Lekki-Epe Expressway) amplifies the challenge of community engagement throughout the life cycle of an infrastructure PPP, viz., the reason for it and what motivates the community to support or not support a PPP project in their locality.

7.3 Data collection and analysis

We employed different methods of data collection for each stage of the research. First, to acquire a sufficient background understanding of the case contexts and to support the interview data, we systematically gathered publicly available electronic documents related to the projects, including project reports and news articles from national newspapers. The researcher's experience as a resident of Lagos and a user of both roads also plays a significant role in developing the context of both cases. Although this stage was purely descriptive, it was a necessary step in generating insights and becoming familiar with both cases as standalone units.

Second, following emerging research using social media in project management (Ninan et al. 2019; Ninan 2020; Lobo and Abid 2020; Mathur et al. 2021), we combined data from Nairaland (the most popular social media platform in Nigeria) with data obtained by searching the websites of the largest regional newspaper online platforms (the Vanguard and the Punch) to construct meanings mainly from the perception of social reality expressed by citizens (human actors) about the project online (Ninan 2020; Granner et al. 2010, 657).

Data collection at this stage was done through a third party (a research organisation) and covered the period 2011–2020. Although there are many social media platforms, namely, Nairaland Forum, Twitter, Facebook, and Instagram, and online newspapers in Nigeria, the media platforms used in this study were purposefully chosen based on their high interactivity, real-time information delivery potential, large audiences, and wider coverage. For instance, Nairaland is the most popular local microblogging platform for discussing

issues in Nigeria (Taiwo et al. 2021, 113). It is also known for its reporting and analysis of comments from other social media platforms like Twitter and Facebook. Similarly, the Vanguard and Punch newspapers are based in Lagos.

The third and final stage of the data collection starts after the analysis of the data from the second stage. The themes identified in the second stage were used as a guide to interview four PPP practitioners that were involved in the Lekki-Epe Expressway PPP project. The primary objective of the data collected at this stage was to triangulate the data from stage 2 and broaden the scope of the research's engaged scholarship (Ninan 2020). Annex B provides an overview of the themes constructed from Stage 2 and how they are linked to specific interview questions that guide Stage 3 data collection. Table 5 below is the list of PPP professionals interviewed. The four professionals were also among the practitioners interviewed in Chapter 6.

Table 5: Summary of interviewees' profile of the 2nd sub-research question

Code	Interviewee organisation and designation
PPP-11	A director at the Nigeria PPP regulatory commission with over 20 years of experience
PPP-12	A lawyer and PPP consultant with both the federal and Lagos state governments with over 20 years of experience.
PPP-13	a PPP practitioner and a senior executive with a sub-national PPP agency.
PPP-14	A PPP practitioner and a senior executive with a sub-national PPP agency

Source: Own source 2023.

Data analysis

Our data analysis followed the data analysis procedure explained in Chapter 5. First, we organised, focused, simplified, and categorised the data sets (from both online and in-person interviews separately) using the pre-determined themes from our review of the literature (see figure 6 above). For example, we categorise the online naturalistic datasets based on the three pre-defined themes from the literature: value, competence/effectiveness, and procedural justice.

Second, we took multiple manual readings (Mathur et al. 2021) of the datasets in each category independently, moving back and forth between what the data is telling us, the research questions, and theoretical points of interest, and establishing and refining the dialectical relationship between what the data is telling us and the research question and theoretical point of interest. This evolving and iterative process provides better insight into the underlying concepts, which in turn helps refine the predefined themes. Annex C provides an overview of how the predefined themes were linked to additional codes used for analysing the datasets that led to refining the predefined themes.

7.4 Findings and Discussions

The results section is organised into three subsections. In the first section, we presented the descriptions of the selected case, followed by the shared beliefs and systems (based on the analysis of the online data), and finally the contextual factors (based on the analysis of the interviews). In presenting the findings, names or any information about the interviewees that can be directly traced back to them were omitted for ethical reasons. Also, when making references to quotations from online data, the names of people were removed from such quotations.

7.4.1 The context: the Lekki-Epe Expressway PPP

The Lekki-Epe Expressway PPP project was intended to upgrade and expand the 49.3km Lekki-Epe road to a six-lane road with its maintenance through a Design, Build, Operate, and Transfer (DBOT) model but contracted under the Lagos state government's Public Private Partnership initiative. The concessionaire, Lekki Concession Company (LCC), was

expected to hold the concession for 30 years and earn back its investment by erecting three toll gates on the road.

To demonstrate its commitment to the project, the Lagos State Government underwrote the Lekki-Epe Expressway PPP project with a 10% debt funding with a standard contractual provision in the PPP agreement that promised a compensation to the concessionaire if other transport projects (within 10 km of the Lekki-Epe Expressway) were completed.

Nevertheless, it took over two years to secure a sovereign guarantee from the federal government, posing a struggle for the project from the start, due to the fact that the federal and state governments are, at that time, controlled by two different political parties. As a result, the concession agreement signed in 2006 could only take effect in 2008. Secondly, the residents affected by the project were unhappy when tolling was introduced at the first toll in October 2011, which led to several protests. Some argued that tolling should not start until the 49.3-kilometre road was completed. To defuse the tension, the state government delayed tolling until December 2011 and covered the projected concessionaire income for the period in line with the concession agreement.

In 2012, when the concessionaire attempted to introduce a second toll, it also did not go well with the public and was met with widespread public opposition, as many residents and commuters felt that the toll rates were already too high and that an additional toll point within 10 kilometres would be unfair. Despite public opposition to the tolling system, the concessionaire insisted on introducing the second tolling point as a condition for raising additional funds to complete the project. This further fuelled public opposition, leading to violent protests. Given the public outcry and concerns about the toll rates, the Lagos State Government, through an amicable settlement option with the shareholders of LCC, acquired the shares and equity of the shareholders of LCC and decided to buy out the private parties in the concession to take control of the tolling system and manage it directly. This move was aimed at ensuring that toll rates were fair and reasonable, and that toll collection was managed in the best interest of the public.

However, in October 2020, the tollgate plaza becomes the centre of the #EndSARS¹ protesters, which turn violent, resulting in the killing of some rioters. Consequently, the tollgate was burned down, and the tolling was suspended after the riot.

7.4.2 Shared beliefs

An analysis of the social media data (Nairaland) unearths three interrelated, often taken for granted, shared beliefs about the government and public institutions' performance that have been extended to judge the legitimacy of PPP in Nigeria over time: Public services should be provided for free; PPPs are created mainly to serve perceived 'corrupt' politicians, and public institutions are not effective and efficient in-service delivery. These beliefs, combined with the community's structural power, explain why some community groups oppose (or support) infrastructure PPPs within their proximity and the growing legitimacy challenge PPPs are facing in Nigeria.

7.4.2.1 Shared beliefs 1: Infrastructures are public services and should be free

There is a general belief that the provision of public services like urban infrastructure is the responsibility of the government and should be free since citizens are already paying taxes. This expectation was expressed in several social media posts by community members, as highlighted below:

- *"No doubt, we want the road, but to ask us to pay a toll is impossible. Moreover, the government is supposed to provide roads since we are taxpayers, but we cannot afford to bear the cost of the tolls."*
- *"We are opposed to tolls. There is no doubt that the community needs good roads, but we should not be allowed to pay through our nose since our tax will speak for us."*
- *"Without a doubt, we are the only citizens in Nigeria that are forced to pay a toll on a road that is less than 25 kilometres."*

¹ #End SARS is a decentralised social movement and series of mass protests against police brutality in Nigeria. The slogan calls for the disbanding of the Special Anti-Robbery Squad (SARS).

These perceptions are consistent with literature indicating that the main barriers to user-based PPP are rarely economic or technical but rather public or social acceptance (Castelblanco et al. 2022; Cui et al. 2018, 783). Generally, urban roads (except roads linking airports) are toll-free in Nigeria. On the other hand, tolling across all interstate roads was cancelled in 1999 by the federal government. As a result, citizens believe that infrastructure is a public service that should be provided free of charge to all. Therefore, it was difficult for the users of the Lekki-Epe Expressway to transit to paying tolls daily. Most of them feel they have already paid too much to the government. The statement extracted from Nairaland below attests to this:

- *"Over 70% of the population has not seen food to eat, and if you want these people to bother themselves about paying tolls and taxes, they will not see the result. My friend, stop talking like a foreigner who is alien to the problems in society and put yourself in the shoes of the common man who lives on less than a dollar a day."*

Therefore, given the resistance that user charge proposals frequently generate, it is not surprising that even when the government took over the project to make tolling affordable for road users, many people were still unhappy, as indicated in the statement below.

- *"Do you know that if you live around Sangotedo and work on Victoria Island, and let's say the toll is 200 naira per pass, you will spend 1200 naira daily on toll? And you expect people to keep quiet? People forget that there are villagers in these places."*
- *"The other nations that they are talking about collect money, and people see what they have done with the money, unlike Nigeria's government, which laces their wallets with the money."*
- *"I read all the comments about the Lekki-Epe Expressway tolls and realised that it may really be a problem to provide efficient basic infrastructure to Nigerians, especially in collaboration with the private sector because Nigerians prefer not to pay for them."*

7.4.2.2 Shared Beliefs 2: Public institutions are not effective and efficient in their in-service delivery.

Citizens expect institutions to perform efficiently and effectively, following the roles assigned to them by law or with their social beliefs. Any disappointment around these expectations will end in a social acceptance or legitimacy challenge. Clearly, from the case study, citizens or community members do not believe that the government can deliver on the promised benefit for which they are being asked to pay, as expressed in the statements below:

- *"507 billion budget, yet a 50-kilometer road with toll gates at every 10 kilometres could still not be completed eight years later."*
- *"In a country like ours where the government has done absolutely nothing, not even the basics (light, water, roads) have been provided, how do you expect the masses who live on less than a dollar a day to willingly pay their taxes when all you read and see in the papers and news is mismanagement of funds?"*
- *"Let them show us what they have done with the money they have made so far at all levels of government; then they can believe them."*
- *"I may be wrong, oh... So, if I am, please correct me. Is it not one of the roads that people said the rain washed off recently? Not sure the location, oh, but like I said, if I am wrong, please correct me."*

7.4.2.3 Shared belief 3: PPP is a form of clientelism.

A very strong clientelism bias was evident in the expectations and judgements surrounding the two projects. Clientelism refers to the allocation of private goods, such as jobs or grants, by a patron to his clients. This is a contextual rationalisation commonly used to explain the belief that PPP projects are created mainly to serve perceived "corrupt" politicians and their friends. Hence, marginalising their alleged benefactor Politicians, people holding responsible government positions, political authorities, public enterprises, and bureaucrats are perceived to be corrupt, creating policies and giving out public assets to friends and cronies all in the name of attracting private sector participation.

- *"What gives them the right to do that? Come and collect the toll; make us see. Armed robbers. Thunder strikes all the political thieves in Nigeria!"*

- *"It is a very callous idea that someone will pick up a fully functional 4-lane road, add one lane on both sides, making it six lanes, and then erect three toll gates within 30 kilometres and collect toll for 30 years!" Please let us fear God."*
- *"The most painful part is that they are now fencing off the entire stretch of road for greedy purposes. A lot of people with property facing the road have seen their businesses nearly wiped out."*

Research has revealed that the typical African regime is "a system of patron-client ties that bind leaders and followers in relationships not only for mutual assistance and support but also for recognised and accepted inequality between big men and lesser men" (Jackson and Rosberg 1982, 39). These findings are further supported by people's responses after the government cancelled the Lekki-Epe Expressway contract and implemented the buy-back option. Citizens still believe that there is more to the PPP transaction that has not been revealed. For instance, the reaction that followed the buy-back indicates a deeply internalised perception and belief that PPP projects are created mainly to serve perceived "corrupt" politicians and their friends, inclusive:

- *"Not, the concessionaire is owned by politicians A and B via their surrogates; what happens is that the Eko Atlantic City, which they own a majority of, is a better investment for them, so they are looking for a way to get more funding from state funds to push the construction, so it becomes necessary for them to let go the toll in exchange for the billions and use the billions on the Eko Atlantic Project and Free Trade Zone project; it's all thievery."*
- *"I do not know what to say about this because I don't want to insinuate. I just feel that this deal was bound to happen right from the beginning. When you pay someone money that he ought to earn for 30 years today, it means the inflation that is expected to eat into that future income would have been eroded, and he is better off with the money today than earning it in 30 years."*
- *"Honestly, the deal isn't looking good. The winners are the owners of LCC. I do not want to analyse this because it will be deficient. After all, adequate financial information was not made available but from the little here, I can confidently say that LCC investors are smiling at the bank in a joyous mood. While Lagos state will have to raise extra funds to finish the road. Though the tolling will not stop. Hence,*

the public statement that the concession was not terminated or cancelled. Another wasted project again."

7.4.3 Findings from the semi-structured interviews

The semi-structured interviews were conducted basically to triangulate data from the social media analysis and to deep dive into what actually went wrong (if any) from a government perspective. In addition to the three identified shared beliefs about PPPs that are widely held in Nigeria, the interactive interview sessions with the four PPP practitioners (see Table 5) that were involved in the Lekki-Epe Expressway PPP project reveal a lack of "structural power. Structural power is "the contextual conditions for negotiations between some pairs of actors in a network by providing incentives for them to negotiate repeatedly and to arrive at satisfactory agreements" (Lawler and Yoon 1995, 3). It provides a community group with opportunities to explore possibilities before making commitments and believes they can influence outgroups.

The lack of structural power was also attributed to the weak local government system in Nigeria which constraint bottom-up decision making that could lead to meaningful community engagement. In Nigeria (as evidenced by our research), the capacity of the local level of government, where all urban actors can be enabled to engage with communities, is curtailed by resource, constitutional, and institutional factors connected to their position in the national political system's hierarchy. This has also led to scepticism on the part of the government to engage in meaningful community engagement due to a perceived fear of an over-active citizenry that could lead to social disorder and conflict.

Accordingly, the diverse nature of the communities' groups surrounding the Lekki -Epe Expressway, means government was unable to identify communities' representation to engage. The question of who to talk to was complex as a result the state devote less attention to the communities until the introduction of tolling and the resistance thereof:

- *We did but it was more of talking to the traditional leaders when tolling was to be introduced. We have too many communities and interest groups on that corridor, who do you talk to, and who is representing who.*
- *"Don't forget, we don't know whom to talk to or who is the representative of most community and users' groups using the road.*

Findings from social media posts also agreed with the interview's result, that the high level of community resistance towards the tolling of the Lekki–Epe Expressway was due to the lack of a robust community engagement at the initial stage of the project. For instance, while the advantages and benefits of the project were acknowledged, communities felt ignored:

- *"The project will help the community in its own little way, but only a section of the community was carried along while the rest were ignored by the stakeholders."*
- *"There is no basis for a toll gate. We will resist any hardship that we are being deliberately subjected to by the state government and LCC. The toll collection is unacceptable for now as it is unfair to all motorists plying the Lekki-Epe Expressway."*
- *"If people had been carried along, solutions would have been found and all the issues sorted, but you don't just think you can bulldoze people with the instrument of government."*
- *"The government and LCC should sit down and rethink the idea in a way that will benefit the entire community. We were left in the dark."*

7.5 Summary of the problem and suggested solution

Our findings indicate that there is a dialectic relationship between a community group's motivation to oppose an infrastructure PPP within their proximity and the shared beliefs widely held in society about PPPs. The shared beliefs about PPPs also create a sense of "we" versus "they" (Teo and Loosemore 2017, 1454), polarising the relationship between the state or government and its agencies (for instance, the PPP) and community groups. This sense of "we-ness", often motivate members of the community group to act together in the name of or for the sake of the collective interest; this includes taking collective action to oppose a project (Witz et al. 2021, 378; Teo and Loosemore 2017, 1554), especially when they lack structural power.

Thus, we contend that the acceptance of a PPP project and policy initiatives in a country depends on the extent to which the meaningful rationale behind adopting a PPP is communicated as either inclusive and supportive of their socio-economic needs or suppressive. The former facilitates trust, builds social legitimacy or acceptance, and enables a transformational approach to community engagement, while the latter engenders distrust

and suspicion. In this regard, according to Peeters (2017, 54), the government can no longer act through "grand plans, bureaucracies, or institution-building," but should do the following:

1. "Organise the conditions (regulations, standards, inspections) within which social actors can assume responsibility."
2. "Work together with social organisations and experts through contracts, covenants, and public-private assemblages."
3. "Stimulate citizens to use their capacity to judge themselves and act upon themselves to make themselves better than they are."

In other words, the Nigerian government needs to be intentional and deploy appropriate governmental strategies to trigger social acceptance of urban infrastructure PPP projects at the micro-level to be able to organise transformational community engagement and create social value with its PPP infrastructure projects.

8 DEVELOPING AND EVALUATING THE FRAMEWORK

8.1 Introduction

In the previous chapters (6 and 7), the research sought to understand the problem in detail in a specific context by drawing attention to and exploring current community engagement practises in the context of urban infrastructure PPP in Nigeria. The empirical data from both chapters draws our attention to the importance of problematizing the art of governing community engagement in a specific context; considering a problem, why, and what might be an appropriate solution (Rose and Miller 1992, 181), which in this case are governmental strategies the state or government can use to organise transformational community engagement aimed at creating social value in urban infrastructure. PPP in Nigeria addressed the problem.

This chapter seeks to identify and conceptualise the governmental strategies appropriate for the identified problem by synthesising the literature (kernel theories) and a case study to bear on the challenges identified in chapters 5 and 6 (Stange et al. 2022, 4; Dresch et al. 2015, 78). It further demonstrates the utility of the developed TCE framework in the Nigerian context through a focus group session. In the design science research method adopted for this dissertation, this stage of the research is described as the "design and evaluation stage," which addressed the second research objective by answering the third sub-research question: *What form of governmental strategies can the state use to organise a transformational approach to community engagement within the context of urban infrastructure PPP in Nigeria?*

Key (2016 23) compares this stage to "the design and development of a building, during which an architect will draw together sketches, floor plans, elevation drawings, and service information to create a final design product." The author further states that "it is the researcher's task during this stage of the study to draw together the potential solutions to the sub-problems and wider issues addressed by the previous outline and define activity through a process of synthesis to design and develop the desired artefact."

Accordingly, the desired output of this stage of the research method is the developed, validated, and evaluated "objective-centred conceptual solution or framework"—the TCE-framework—that addresses the second research objective and third sub-research question and thereby meets the overall aim of the dissertation (Guerineau et al. 2020, 15; Shanks et al. 1993, 7). To this end, the stage can be described as a conceptual study. Shanks et al. posit that "conceptual studies can be effective in building new frameworks and insights... and can be used in current situations or

to review existing bodies of knowledge. Its strengths are that it provides a critical analysis of the situation, which can lead to new insights, the development of theories, and deeper understanding."

Within this stage (design and evaluation) of the dissertation, the researcher followed four iterative steps. First, the two challenges identified in chapters 5 and 6 were summarised and visualised into a table with suggested solutions to sketch the problem. Second, through a governmentality lens, a literature review was conducted to explore the solution space for valuable knowledge or kernel theories that inspire the design of the TCE framework (Stange et al. 2022, 4). Kernel theories are "well-established theories in the natural and social sciences that may exert some influence in the design process and should be considered by the researcher" (Dresch et al. 2015, 78).

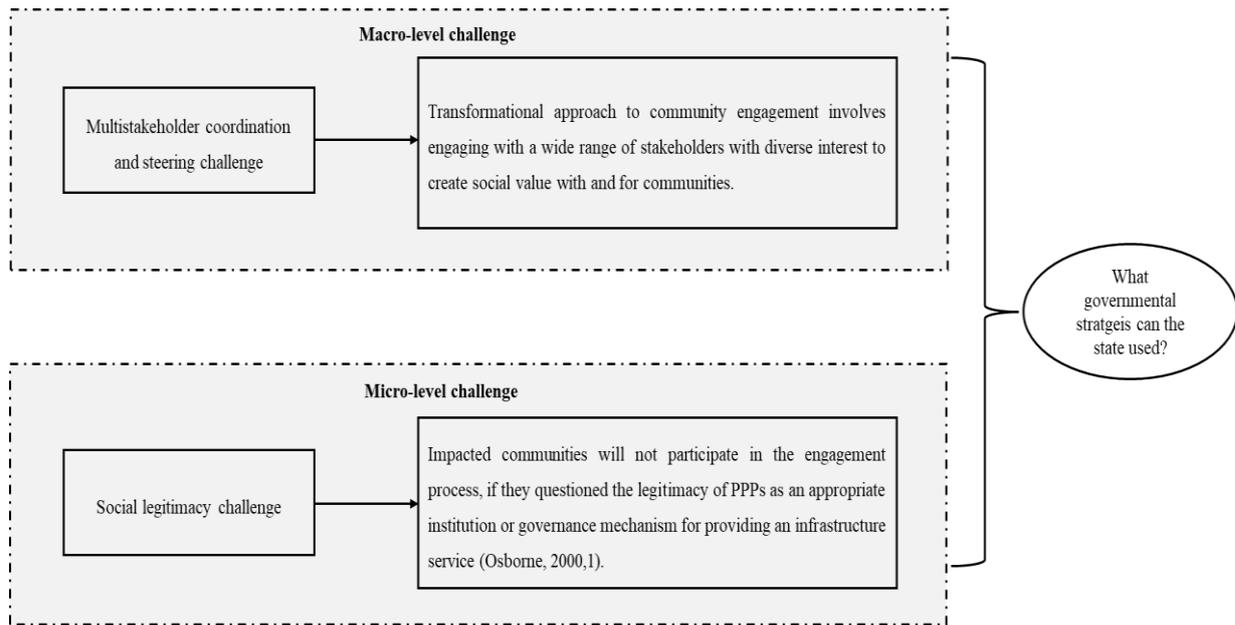
To facilitate the necessary conceptual transition, the research at this stage draws on existing descriptive knowledge on meta-organising (meta-governance) and responsabilisation to conceptualise solutions for the macro- and micro-level challenges identified in chapters 6 and 7, respectively.

Third, the first version of the TCE framework was validated and evaluated through a single case study approach. This forms the second version of the framework, which was further evaluated for its utility in the Nigerian context through a focus group session with PPP practitioners working with the ICRC, the agency that regulates PPP in Nigeria (Guerineau et al. 2020, 15).

8.2 Sketching the identified challenges

Figure 5, below, connects the two identified challenges in chapters 6 and 7 to create a visual representation of the macro and micro challenges of community engagement in Nigeria. As evidenced in both chapters, transformational community engagement is a triadic engagement between the public partner, the private partner, and the impacted community. And like every social interaction, it is influenced by the specific socio-political context. The socio-political context imposes complexity at the macro-level and micro-level dimensions of the engagement process. As a result, TCE at the macro-level faces a multi-stakeholder steering and coordination challenge. The absence of formal institutions that enable socio-economic interaction (as evidenced in the Nigeria case) also exacerbated this challenge.

Figure 5: Visualisation of the two identified challenges



Source: Own source 2023.

Furthermore, at the micro-level, the absence of meaningful engagement between impacted communities and the government, combined with shared beliefs that underpin community group perception and attitude towards PPP projects, questioned the social legitimacy of PPP. As evidenced from this research (Chapter 7) and previous research (e.g., Castelblanco et al. 2022), the absence of social legitimacy poses a challenge to gaining the much-needed community support and local knowledge for a transformational approach to community engagement and value creation for all parties.

Taken together, within the context of urban infrastructure PPPs in Nigeria, government officials and private partners or firms involved in PPPs often find community engagement a fraught process, and when they do, it is more of a box-ticking exercise and, at best, a means of giving back to the community at the construction phase and rarely associated with or aimed at creating social value with and for communities.

As previously stated in Section 1.3 of the introduction chapter, this dissertation aims to address the overarching research question by developing a framework for facilitating a transformational approach to community engagement aimed at creating social value within the context of urban infrastructure PPPs in Nigeria. Nevertheless, while the research context is Nigeria, the design

and evaluation process must "ideally combine relevance and rigour" (Dimov et al. 2022) to ensure that the developed artefact (framework) is relevant to the broader PPP external stakeholder engagement research and practise (e.g., Van Aken et al. 2016).

One way to do this is to ensure that the developed artefact is grounded in relevant theoretical knowledge (or kernel theories). As noted in Hevner's (2007) three-cycle model (shown in Figure 3 in Chapter 5), in the design cycle, "the requirements are input from the relevance cycle, and the design and evaluation theories and methods are drawn from the rigour cycle." (p. 91). Further, he adds that "it is important to understand the dependencies of the design cycle on the other two cycles while appreciating its relative independence during the actual execution of the research" (p. 91). Similarly, Dimov et al. (2022) argued that "even if an initial solution can be evaluated only in a highly specific setting (e.g., one company), it is crucial to ensure that this solution draws on design principles involving novel and generalizable theoretical mechanisms."

In the next section, the concepts of meta-organising and responsabilisation will be theorised and conceptualised as governmental strategies to facilitate the necessary conceptual transition in the form of design propositions to develop the TCE framework. As Foucault (2007, 99) says, "it is not a matter of imposing a law on men, but of the disposition of things, that is to say, arranging things so that this or that end may be achieved through a certain number of means."

Consequently, in developing the framework, the focus was on creating a framework that can work given the current socio-political context of Nigeria's urban governance and not necessarily to suggest or recommend a new institutional arrangement, which seems to be the norm in Nigeria, as evidenced from this statement by a practitioner:

- *"(In Nigeria), we are good at setting up policies and institutions; some of these are brilliant, some are political, but I think the issue is not policies or setting up institutions to solve problems, but how can we use what we have?" Our problem is policy implementation. The political will to implement all these brilliant ideas and allow these laudable institutions like the Niger Delta Development Commission and the North East Development Commission to create value*

However, it must be noted that, although the national government has approval and regulatory oversight for infrastructure development in some sectors like rail, power, and ports, urban development in Nigeria, except the federal capital territory, it is the responsibility of state governments. State governments are the second tier of government, which in practise has

constrained the capacity of local government in Nigeria. Moreover, there is currently a constitutional amendment process to transfer power, rail, and seaports from the exclusive list to the concurrent list. To this end, the framework as envisaged or designed is best suited for urban infrastructure development at the sub-national level. In the next section, we present the suggested solution to the two challenges identified.

8.3 Developing the TCE framework through design principles (version 1)

This phase of the design and evaluation stage can be described as a theorising phase, where kernel theories, which are "well-established theories in the natural and social sciences" (Dresch et al. 2015, 78), are combined with empirical data to develop and infer design principles through a literature review (see, for example, Dimov et al. 2022; Van Burg and Romme 2014; Denyer et al. 2008). The aim is to "explore the solution space for existing satisfactory solutions, solutions in need of optimisation, or valuable knowledge that inspires the design of an entirely new solution" (Stange et al. 2022, 4).

Design principles in DSR are "statements that prescribe what and how to build an artefact in order to achieve a predefined design goal" (Chandra 2015, 4040). Design science research that aims to develop design principles, according to Guerineau et al. (2022, 15), must "involve a coherent set of normative ideas and propositions, grounded in governmentality research, which serve to design and construct detailed solutions." The design principles, Guerineau et al. conclude, must be "built by combining empirical results, co-designed solutions, literature reviews, and creative sessions."

Thus, building on this understanding and following Kuechler and Vaishnavi's (2012) framework for theorising in design science research, we combined a problematizing literature review (Alvesson and Sandberg 2020) with empirical data from chapters 6 and 7 and informal sessions with PPP practitioners to derive design principles from two kernel theories (Chung et al. 2021, 3484): meta-organisation (Ahrne and Brunsson 2008; Sorensen 2008) and responsibilities (Peeters 2013; Miller and Rose 2008).

The design principles, in line with the second research objective, are intended to guide policy makers in helping governments in sub-Saharan Africa (particularly in Nigeria) develop governmental strategies to organise transformational community engagement aimed at creating social value. These governmental strategies are aimed at providing solutions for the identified

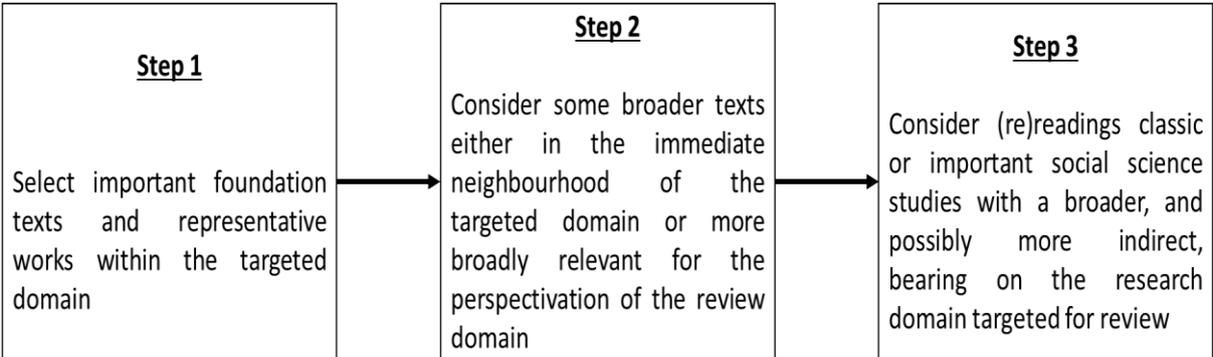
multi-stakeholder coordination challenge at the macro-level and the social legitimacy challenge at the micro-level of a community engagement process.

8.3.1 Method adopted for the review: problematizing the review

To theorise and conceptualise meta-organisation and responsabilisation as appropriate governmental strategies, we opted for a methodological review, which is a best fit for the DSR approach adopted for this research and the second research objective, which is a problematizing review (Alvesson and Sandberg 2020, 1291) to "critically interrogate and reimagine existing literature in order to generate new and ‘better’ ways of thinking about specific phenomena." "Rather than undertaking a surface reading of a large volume of available studies, a deep reading of the foundational texts and of a moderate number of representative texts of a field enables the author to better identify, articulate, and challenge problematic, taken-for-granted assumptions in a specific domain (...). The idea is, then, to read sufficiently to come up with potentially new insights for novel theorising" (Alvesson and Sandberg 2020, 1299–1300).

Figure 6 below briefly explains Alvesson and Sandberg’s three-step review protocol adopted for this review of high-quality representative papers (see Annex E and F) for each kernel theory rather than the entire field of knowledge, which was purposefully selected and adopted for conceptualising the framework. The selected papers in Annex E and F, were read, moving back and forth between what the papers says and what we know from the empirical data from chapters 6 and 7.

Figure 6: Problematizing review steps



Source: Adopted from Alvesson and Sandberg 2020, 1299–1300.

The first step of the research involved randomly selecting an initial set of papers in each of the target domains (meta-organising and responsabilisation) based on informal sessions with professionals and co-researchers. These papers were carefully read alongside other papers selected through snowballing using Google Scholar. The researchers presented a working paper at the EURAM 2022 Doctoral Colloquium, which provided an opportunity for scholars to provide feedback and critique. As a result, some papers were reconsidered for step 1, and the analysis was broadened to include papers in adjacent fields that are relevant for the targeted domain (step 2) and some key classic publications (step 3). For instance, the presentation and discussions that followed led the researchers to include papers from the ocean, clusters, and natural resource governance as adjacent fields relevant to meta-organising (meta-governance).

A total of 18 papers were selected for problematizing meta-organising (meta-governance) and 13 papers for responsabilisation. The problematizing approach allowed the researchers to have a wide range of choices when selecting papers to critically reflect on and include in the review. However, this freedom may also be seen as a potential weakness since it may make the review process less systematic and reproducible. Despite this, the researchers believe that this flexibility is a key strength of the problematization approach. By not relying on a standardized procedure to determine what is relevant for the research, the researchers can engage in an "opening up exercise" that challenges assumptions and theories, leading to innovative and ground-breaking research, as opposed to a "building exercise" that only reinforces existing paradigms (Alvesson and Sandberg 2020, 1299).

A broader reading of the selected papers was conducted to integrate conventional understandings of meta-organizing (meta-governance) and responsabilisation with how both kernel theories relate to literature on urban infrastructure PPP, community engagement, and social value creation. This reading was then brought to bear on the challenges elicited from the empirical data in Chapters 6 and 7, which represent the problem understanding stage of the DSR method adopted for this dissertation (Stange et al. 2022; Dresch et al. 2015, 78)."

8.3.2 Meta-organising as a strategy for overcoming coordination challenge at the macro-level

The empirical data analysis from Chapter 6 suggests that the interaction between the state (government), private sector partners, and communities are often fraught with rivalry and

conflict in the context of urban infrastructure PPPs, as a result of how these actors interpret Nigeria's socio-political context. The key actors—the national government and its agencies, the sub-national government and their agencies, international actors, and local societal actors—continuously challenge each other's legitimacy to "govern." Urban governance, therefore, in Nigeria is disjointed and characterised by fragmentation, and as a result, coordination between the multi-societal and multi-level government actors and institutions involved towards a predefined goal is a challenge.

This challenge is further exacerbated by the fact that the capacity of local governments, which are the third tier of government closest to communities, is limited or constrained by the political system and institutions. Under these conditions, as evidenced from the empirical data in Chapter 6, orchestrating collaboration amongst the public agencies and private sector partners and coordination with impacted communities (Ma et al. 2017, 1372) toward a predefined system-level goal (Gil et al. 2019, 14), which in this case is social value creation, will be difficult.

As a result, the current approach to community engagement is more often than not a "decide, announce, defend" strategy. Nevertheless, transformational community engagement aimed at creating social value, as explained in Section 2.2 of Chapter 2, can be described as an interactive arena or governance space "where market or network actors are given room to manoeuvre within regulative, normative, and discursive frames that are supportive of problem-solving from below" (Osterberg and Qvist 2022, 4).

But an interactive arena or governance space does not arise spontaneously; it is intentionally created or facilitated to achieve the desired policy outcome and must be governed without recourse to the authority inherent in a PPP contract (Gulati et al. 2012, 8). This is often difficult because of the wide range of actors with diverse interests and objectives that need to be engaged in social value creation in the context of urban infrastructure PPP (Bryson et al. 2017, 641; Torfing et al. 2012, 144). The challenge for the state actor, therefore, is to "weave domination and subjectivation" into the interactive arena or governance space (which in this case is community engagement) "while paying attention to the knowledgeability and capability of all actors and institutions involved" (Blundo and Le Meur 2009, 11) "without undermining the capacity for self-regulation too much" (Torfing 2016, 525). See also Simard et al. (2018, 463).

This is complex in a multi-stakeholder value creation setting like urban infrastructure PPP, embedded in a distinct environment like Nigeria, where the urban space is highly fragmented and institutions and political systems that "create order and reduce uncertainty" are misaligned, weak, or absent (Nwauche and Claeyé 2019, 4). Under this condition, the literature has recommended a novel and unconventional form of organising, described as meta-organising (Ahrne and Brunsson 2006, 429; Gulati et al. 2012, 8; Gil et al. 2019, 7).

The concept of meta-organising (or meta-governance), according to Wilson et al. (2017, 189), arises from "the need to address the inherent problems of socio-political complexity that accompany networked modes of coordination, including organisational plurality, fragmentation, a lack of accountability, and challenges to democratic legitimacy" (Wilson et al. 2017, 189), like in the case of Nigeria. Accordingly, according to Sternberg and Qvist (2022, 1), meta-organising is defined as the "practises of (mainly) public authorities in coordinating different modes of governance (i.e., hierarchy, network, and market governance) and, more specifically, in providing guidance and some level of control over various "interactive" arenas, such as collaborative arrangements, partnerships, and quasi-markets."

Osterberg and Qvist's definition aligns with Sorensen's assertion that "meta-organising" or meta-governance arises from "the recognition of the possibility of governance network failure" in addressing complex societal challenges (Sorensen and Torfing 2009, 15), like social value creation. But given the wide range of actors with diverse interests, objectives, and even planning horizons involved in social value creation, how can meta-organising be conducted and who should be a meta-governor? (Torfing et al. 2012, 130).

In the literature, meta-organising is achieved through meta-organisation, a concept introduced by Ahrne and Brunsson in their seminal paper published in the *Scandinavian Journal of Management* in 2005. Meta-organisation has emerged in different settings to describe "a central phenomenon in the contemporary world, namely the increasing importance of collective action at the level of organisations, ensuing from major issues related to sustainable development, human rights, and corporate responsibility." (Berkowitz and Dumez 2016, 1). Recent literature has also described meta-organisation as an "inter-organisational space for dialogue" (Berkowitz et al. 2020, 2) suited for addressing coordination challenges.

This is because empirical evidence has shown that, they can facilitate "fruitful interactions" and enables "dialogue across heterogenous and legally autonomous entities," by diffusing "new meanings and practises that span different logics" and enabling "coordinated, large-scale responses to significant issues" (Callagher et al. 2022, 1) such as municipalities infrastructure PPP governance (Koch and Buser 2006), facilitating peacebuilding in conflictual regions or managing specific negative externalities (Berkowitz et al. 2022, 1 – 2), sustainable ocean governance (Berkowitz et al. 2020), and meta-organising cluster "to contribute to regional growth and transformation' (Lupova-Henry et al. 2021, 51).

In this context, their ability to meta-organise solutions for these societal challenges is due to their local embeddedness in regions and territories (Berkowitz et al. 2020, 2; Wilson et al. 2017, 191; Grothe-Hammer 2019, 326) and their resourcefulness to "diffuse new meanings and practises that span a wide range of public, societal, and private interests" (Koch and Buser 2006, 548) to co-design solutions tailored to regions and territories, which in this case is an urban area.

Building on this understanding, we contend and propose the first design principle to solve the macro-level coordination challenge of facilitating TCE in Nigeria, as evidenced in Chapter 6.

- *Design principle 1: To overcome the multi-stakeholder coordination challenge at the macro-level of transformational community engagement aimed at creating social value, urban infrastructure PPPs should be framed as a distinct territory-based meta-organization (TMO). Framed as a TMO, they can unite diverse stakeholders, raise public awareness about social value, and facilitate an interactive arena for multi-stakeholder engagement suited for creating social value with and for communities within a defined territory or urban area.*

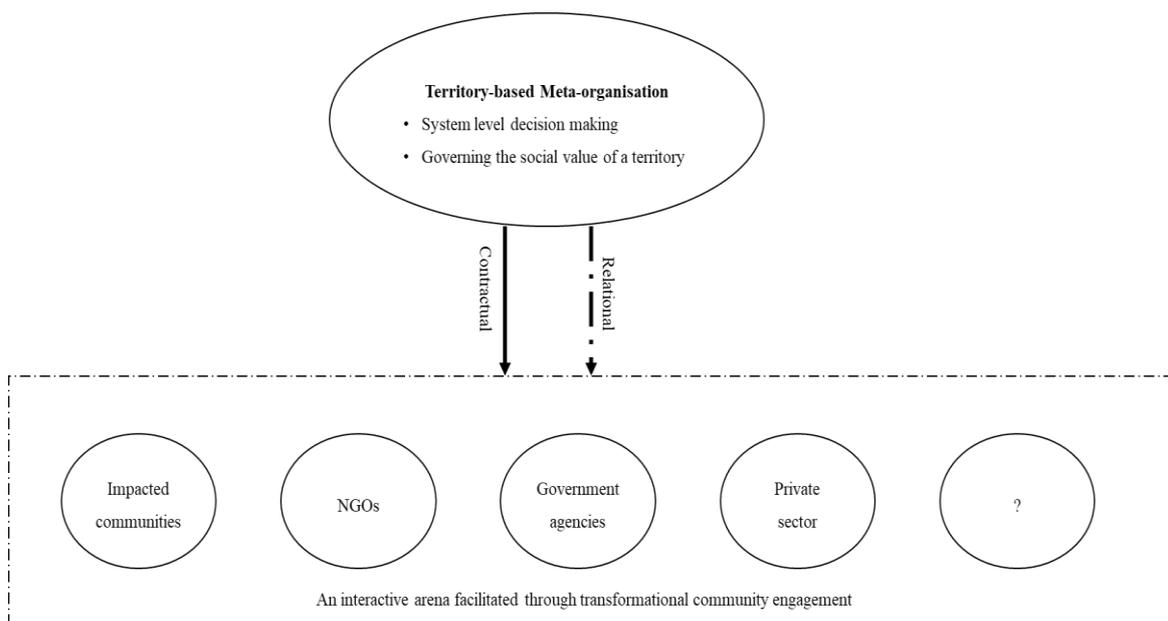
8.3.2.1 Illustrating Urban Infrastructure PPP as Territory-Based Meta-Organisation (TMO)

The emergence of the social value agenda has real potential for designing, building, and operating infrastructure in a way that could help address and overcome some of the most complex socioeconomic and environmental challenges that converge and interact in urban areas, especially in sub-Saharan Africa. But this will require a distinct type of territory-based meta-organisation that can meta-organise meaningful collaboration amongst relevant

stakeholders from the public, private, and not-for-profit sectors within a defined urban region or territory.

Framed as a TMO, a public-private partnership, as shown in Figure 7, becomes a relational entity and hybrid organisation, i.e., one that entertains various relationships with "core" actors, such as the government (the public agency involved in the PPP) and private firms that form the SPV, and "peripheral" actors, such as community-based organisations, non-governmental organisations, private firms, and other relevant state agencies. From this perspective, it can become a legitimate institution in the eyes of both the core and peripheral actors and can draw from their resources, capabilities, and knowledge (Wilson et al. 2017, 191) to meta-organise and advance a more coherent and coordinated community engagement governance that can operationalize and institutionalise the social value creation agenda, even in the absence of relationships defined on a contractual basis.

Figure 7: Territory-based Meta-Organisation (TMO)



Source: Own source 2023.

But the government (the Nigerian government) as the dominant stakeholder in urban infrastructure PPPs will have to deliberately change or re-imagine institutions, political goals, fiscal conditions, and the legal framework to frame PPPs as TMO. For example, the

government will need to define the territory a TMO can cover and who is in it and who is not, especially amongst the government actors. In addition to the type of urban infrastructure the TMO will be responsible for, the social value goals as well as the time horizon for accomplishing them.

In this way, the PPP, as a TMO, can provide the crucial 'boundary-spanning' role necessary for (re)framing local issues and building coalitions across the complex array of multi-societal and multi-level government actors and institutions that are involved in urban infrastructure PPP within a defined territory or urban area. The boundary-spanning role is crucial for a transformational community engagement approach (Bowen et al. 2010; Kennedy 2012; Payal 2019; Department of Social Services 2020).

This approach is essential for pursuing the social value agenda as a "national-level practical vehicle for realising the United Nations' Sustainable Development Goals (SDGs)" (Raiden and Kings 2021, 1). This is also where the social value-creating capability of transformational community engagement resides. An urban infrastructure PPP framed as a TMO can reduce the transaction costs of engagement by facilitating the development of structures and processes that allow for the coordination and collaboration of multiple organisations towards a common goal, thereby contributing to the creation of social value.

For instance, social initiatives such as nature-based design, the provision of jobs for locals, mainstreaming gender and climate change, and addressing health issues could be factored into the delivery model and contract through appropriate sharing of risk and responsibilities between all actors according to their expertise. For example, in providing a school or healthcare facility, a TMO can collaborate with a non-profit organisation or a religious organisation as a periphery actor that can provide some form of subsidy to enable students from low-income households to have access to such facilities and services. A TMO can also leverage civic crowdfunding (see Gasparro 2019) to gain community support and secure funding for infrastructure like renewable energy projects (Batidzirai et al. 2021) and waste management (Ahmed et al. 2006).

8.3.3 Responsibilisation as a governmental strategy for overcoming the social legitimacy challenge at the micro-level

What happens at the micro-level of community engagement, i.e., at the execution or operational level of a PPP where the project is implemented, can enhance a transformational approach to community engagement and how social value is created. This is because the capacity and willingness of community groups to participate in an engagement are crucial for understanding, identifying, and integrating impacted community needs into an urban infrastructure investment decision, design, construction, and operation.

Indeed, without an impacted community's violation and willingness to participate in the engagement process, community engagement can become a fraught process and, at best, a box-ticking exercise. Therefore, social legitimacy or acceptance is crucial to organising a transformational approach to community engagement within the context of urban infrastructure PPP.

Generally, "public opposition has been reported as the main reason for the failure of PPP projects in some instances" (Toriola-Coker et al. 2021; Cui et al. 2018, 787). Our findings from Chapter 7 resonate with this and existing research in the broader context of project stakeholder engagement (Di Maddaloni and Davis 2018), but take a step further to unpack the underlying factors (often taken for granted shared beliefs) that influence community groups perception and attitude towards a PPP project in a specific context (Nigeria).

As evidenced by our findings, these shared beliefs, which are socially constructed from "the previous history of collaboration or antagonism between responsible and impacted stakeholders" (Castelblanco 2022), provide a basis for community groups to take collective action against a PPP project in the form of demonstrations and violent protests, not necessarily because both roads are tolled but because of a lack of congruence between shared beliefs and public justifications for the PPP project.

In this sense, a transformational approach to community engagement "highlights the importance of establishing long-term trust-based partnerships" between government and communities and also suggests that "building social legitimacy requires dismantling impacted stakeholders' distrust about the private provision of public infrastructure and services" (Castelblanco et al. 2022). Government strategies targeted at dismantling these

shared beliefs and empowering communities can help build the social legitimacy necessary for implementing transformational community engagement aimed at creating social value.

To grasp this development and to theorise how government can improve the social legitimacy of PPPs, we turn to responsabilisation, the main technology or strategy of government for making citizens and communities see PPPs as a means of providing urban infrastructure that can improve their quality of life and the overall wellbeing of their communities. In Foucauldian critical approaches to governmentality, responsibility has received closer attention as a governance strategy "that is designed to address the issue of governance and control that originates from freedom of choice and individual liberties" (Siltaoja et al. 2015, 453).

Responsibilisation "refers to the process whereby subjects are rendered individually responsible for a task that previously would have been the duty of another, usually a state agency, or would not have been recognised as a responsibility at all" (O'Malley 2009, 277). The process is "rendered workable through the shift, or even transformation, of citizens into self-steering, economically independent, responsibility-taking agents" (Pyysiäinen et al. 2017, 216) by encouraging "people and communities to acknowledge their responsibility," in this case towards an infrastructure PPP project. Such responsibilities include participating in an engagement process, sharing local knowledge, paying necessary user fees, and protecting the constructed asset.

Responsibilisation is conceived of and considered by people (and communities) as "capable of governing themselves if they are prepared to take responsibility for their own choices and actions, but the number of choices is always limited, and the choices are more or less delimited by laws, norms, moral codes, behavioural routines, and the like." (Siltaoja et al. 2015, 452).

As a result, the concept of responsibility has appeared with increasing frequency in the governance of social issues, climate change, health, and public services (Brown and Baker 2012, 18). Moreover, as Miller and Rose (2008, 212) observed earlier, "advanced liberal strategies" like responsabilisation, which have been advocated for governing "in relation to problem domains from crime control to health, sought to develop techniques of government that created a distance between the decisions of formal political institutions and other social

actors, conceived of these actors in new ways as subjects of responsibility, autonomy, and choice, and hoped to act upon them through shaping and utilising their freedom."

Miller and Rose's statement above indicates that responsibility is not only about influencing or dismantling communities (citizens) beliefs and attitudes towards a government ambition, but it is also about empowering them to take on the new responsibility constructed for them. For instance, Khanal and Devkota (2020, 2), in their study of "farmers responsabilization" in the payment for environment services in Nepal, stated that engaging communities (citizens) "requires that the communities are empowered and capable of taking responsibilities; without such empowerment, citizens' participation may be symbolic and cannot influence decisions." But empowerment, according to Siltaoja et al. (2015), "establishes new expectations and forms of accountability" that are associated with government ambition "in conjunction with increased personal autonomy and choices."

Choices, however, "require that people are well informed" (Peeters 2013, 588). In this context, responsibility does not "imply that citizens are left completely free to decide their private course of action. Instead, it is a matter of responsibility on the government's terms. The ideal is to 'nudge' people into behaving according to the state's view of the public interest of their own accord, for instance by connecting policy ambitions to presumed individual interests and organising the opportunity structure in such a way that people are seemingly spontaneously directed towards desirable behaviour (Peeters 2013, 588). Nudging is "intervening in the physical and socio-cultural 'choice architecture' in which people make their daily decisions and making them (people) more conscious of the decisions they make" (Peeters 2017, 58–59).

Building on this understanding, we conceptualised responsibility as a suitable governmental strategy for overcoming the social legitimacy challenge, particularly in Nigeria. In this sense, the "power and capabilities to carry out responsibilities are re-allocated to engage communities and citizens" (Killian and Hyle 2020). Thus, the second design principle is proposed as:

- *Design principle 2. To overcome the social legitimacy or acceptance challenge at the micro-level of community engagement aimed at creating social value in urban infrastructure PPP projects, the state or government should make communities accept PPP as a necessary state intervention to create social value for them through*

a responsibility strategy based on educational campaigns and empowerment incentives.

8.3.3.1 Using educational campaigns and empowerment incentives to empower community groups to become definitive stakeholders

Attempts to enable, persuade, or entice community groups (citizens) to accept PPPs as a legitimate state intervention to provide urban infrastructure that improves their lives and their communities should not be seen as a diverse governance technique to prompt self-government and responsabilisation. This marks a break with the previously held assumption of the community as a "passive recipient" in the project stakeholder engagement process and an acknowledgement of the fact that most community behaviours, perceptions, and attitudes towards, for instance, a PPP project "are based on instinctive and emotional rather than deliberative and logical thinking" (Peeters 2017, 58).

In this context, efforts to engage communities on a project-by-project basis without deliberately influencing collective behaviour in a desired direction are not in themselves enough to improve community-PPP relations over time. For instance, through a targeted educational campaign (as a responsibility technique), the government can communicate meaningful rationale about PPP as a governance mechanism for providing urban infrastructure that is inclusive and able to address the socio-economic and environmental needs and situations of impacted communities. For example, a campaign can showcase "quick win PPP projects," highlighting the positive social benefit they have created for relevant areas. Such a campaign subsequently prompts a change in community perception and attitudes towards PPP, leading to the adoption and acceptance of PPP over time as an appropriate and legitimate mechanism for urban infrastructure service delivery. Which in turn can lead to meaningful collaboration with communities throughout the infrastructure lifecycle.

Launching targeted educational campaigns (at the national and state levels) that disseminate information about the need for using PPPs to deliver urban infrastructure, including showcasing success stories within and outside Nigeria, can encourage people to become more aware of the need for PPPs and to consider their own contributions towards a PPP, such as paying tolls and protecting the infrastructure. This will encourage people to be guided by their interests and values, and it has the important advantage of prompting positive

attitudes and behaviours towards PPP projects that are more likely to be based on full internalisation and autonomous self-regulation. Which in turn enables community violation and willingness to participate in meaningful collaboration with the PPP promoters to create social value.

In addition to launching a sustained educational campaign that nudges people and communities into accepting PPPs as a legitimate state intervention for providing urban infrastructure, communities (community groups) need to be empowered through appropriate incentives and programmes to be able to participate in an engagement process. A suitable technique for doing that could be facilitating self-organised communities, like community-based organisations, to pool resources through civic crowdfunding to support an infrastructure PPP project.

Empowering self-organised communities through civic crowdfunding in urban infrastructure PPP could be an easy technique in Africa. As a result of government failure in providing infrastructure services, several self-organised communities known as community development associations already exist in Nigeria and most African countries (Fateye et al. 2021; Smyth 2004, 420; Shand and Colenbrander 2018, 178; Rupasingha 1999, 66). Accordingly, these authors observed that these self-organised communities have significantly contributed to sustainable community development.

Globally (especially in the USA and Europe), technology- and social innovation-driven municipalities and cities are facilitating self-organising initiatives (such as public infrastructure) through concepts like civic crowd funding. The "proliferation of crowd technologies," the "shift towards local control of infrastructure assets," and the emerging concept of community investment, which has become a strategy for "increasing financial capital and social support for infrastructure projects," have led to civic crowd funding of public infrastructure (Chigova and Van der Waldt 2019, 186; Gasparro 2019). Therefore, civic crowd funding opens up an opportunity for the Nigerian government to leverage local communities' support, knowledge, and resources to embed social value into urban infrastructure delivery, especially at the local level (municipalities).

Therefore, we contend that civic crowdfunding could be intentionally used as a responsibility technique to build social legitimacy for PPPs, co-design solutions to finance, build, and operate inclusive urban infrastructure, and overcome the growing community opposition

towards urban infrastructure PPPs in Nigeria. The conceptual insights suggested in this section resonate with the growing interest in "public-private-people partnerships" (Ng et al. 2013; Batidzirai et al. 2020; He et al. 2021).

8.3.4 The first version of the TCE framework

In design science research, design principles can act as stand-alone artefacts, subject to the same development and evaluation cycles as tangible artefacts (Chung et al. 2021, 3487; Kuechler and Vaishnavi 2012). Following this understanding, the two design principles (DP 1 and DP 2) derived from the problematization review of the chosen kernel theories (meta-organising and responsabilisation) serve as the designed artefacts in this study. Table 3 presents the two governmental strategies, the two design principles derived from them, and suggested techniques or instruments. The design principles in this case offer a more concrete view of the governmental strategies required to organise a transformational approach to community engagement to create social value in urban infrastructure delivery through public-private partnerships.

Table 5: First version of the framework

Challenges	Design principles	kernel theory	How
<p>Macro-level challenge</p> <p>Multiple stakeholder coordination challenge</p>	<p>To overcome the multi-stakeholder coordination challenge at the macro-level of transformational community engagement aimed at creating social value, urban infrastructure PPPs should be framed as a distinct territory-based meta-organization (TMO). Framed as a TMO, they can unite diverse stakeholders, raise public awareness about social value, and facilitate an interactive arena for multi-stakeholder engagement suited for creating social value with and for communities within a defined territory or urban area.</p>	<p>Meta-organising</p>	<p>PPP should be framed as a Territory-based meta-organisation (TMO) that consists a core (the SPV) and “peripheral” relations with community-based organisations, non-governmental organisations, private firms, other relevant state agencies</p>

Micro-level challenge

Social legitimacy challenge

To overcome the social legitimacy or acceptance challenge at the micro-level of community engagement aimed at creating social value in urban infrastructure PPP projects, the state or government should make communities accept PPP as a necessary state intervention to create social value for them through a responsibility strategy based on educational campaigns and empowerment incentives.

Responsibilisation

- Intentional and sustained educational and awareness campaign to dismantle the underlying beliefs influencing people and community's perception and attitude towards a PPP project
- Leverage technology and innovation such as civic-crowdfunding to empower community groups to support PPP projects within their community

Source: Own source 2023.

8.4 Refining and validating the first version of the TCE framework (second version)

This section refines and validates the first version of the TCE framework through a single case study. In this sense, the first version was fully reviewed, refined, and assessed according to the research method proposed. The award-winning Scotland Hub Programme (SHP) was adopted as the single case for this phase of the design and evaluation stages of the research. An open interview session with two directors of the SHP, combined with secondary data, was used to develop the case.

This is to gain an understanding and insight into what worked, or is working, in a real-life case, even in a different institutional context. Finally, the gaps and opportunities in each of the two data sets were inductively combined to develop a meta-governance framework that can be tailored to a national context.

8.4.1 The case context: The Scotland Hub Programme

The multi-award-winning Scotland hub programme is a partnership between the private and public sectors to "improve outcomes for the construction industry as a key part of Scotland's economy and deliver improved infrastructure that contributes to the delivery of resilient, sustainable places and an inclusive net zero carbon economy" (www.scottishfuturetrust.org.uk).

To achieve these objectives, "the hub programme is split across five geographical areas (South East, North, East Central, West, and South West) known as territories, each serving circa 20% of the population. Each is managed by an independent hub company (a hubCo), a standalone entity with its dedicated staff team and oversight by a board of directors, taking input from an independent territory partner board comprising all of the public sector participants in each hub territory" (EKOS 2021, 8).

The respective territory partnering boards (TPB) are chaired by one of the public sector participants, and all participants are represented on this board. The TPB is responsible for the development of a Territory Delivery Plan (TDP) that guides the investment decisions of the hubCos and provides a framework for participants (public government at the local level, e.g., local government councils) to collaborate and partner for future project development.

Through the TPB, the STF, as a meta-governor, determines the composition of the governance network via specific membership rules, which will keep certain actors out and others in, as shown in Annex G.

The main aim of a hub company is to establish a long-term, trusted working relationship with each of the public sector agencies, communities, and interested non-government organisations within their territory. By bringing all relevant stakeholders together into an interactive arena, knowledge is shared, inclusive and meaningful stakeholder engagement is facilitated, and together, better infrastructure such as schools, hospitals, health centres, and other civic buildings that deliver additional social value are built for the people of Scotland.

Another interesting insight from the Scotland hub programme is the opportunity to bundle infrastructure projects within a territory to achieve economies of scale, resulting in more and better infrastructure being built without increasing the original amount of funding. Improved outcomes are also achieved by considering the needs of the community and wrapping bespoke building solutions around the service outcomes. In fact, the benefits to impacted communities start before the infrastructure project is commissioned and open for use.

This is because each hubCo works with local stakeholders to ensure that the local communities are engaged in the project development and planning phases. Events are held to identify supply-chain opportunities for small to medium enterprises, supported businesses, and third-sector organisations before construction of the facility begins. There are clear recruitment and training opportunities identified for every project, which focus on long-term employment opportunities for graduates, apprenticeships, work placements, and engagement with local schools and colleges.

Thus, allowing each hub and the hub programme in general to deliver social value for the communities through job creation, access to health and education facilities, support for local businesses, and skill acquisition. To date (as of 2021), according to an extract from the presentation by the two executives, the hub's current portfolio is valued at £3.898bn, and over 5106 jobs have been created. Additionally, 80% of hub contracts have been awarded to Scottish small-to-medium enterprises, all of which contribute to improving the quality of life of people, communities, and businesses within each defined territory.

Nevertheless, during the first phase of the programme launch, several additional lessons were identified and incorporated to support implementation and delivery and improve the programme. For example, the number and range of Tier 1 and facility management contractors were increased, the private sector partner input shifted from contractor/developer to developer/investor-led, the scope of infrastructure (community infrastructure) activity was expanded (e.g., to include housing), and, for hub West and hub Southwest, the ability to add new participants was incorporated. These changes also reflect the market's response to the perceived public sector appetite for community infrastructure project delivery through the hub programme.

As shown in Annex G, the hub programme is a complex multi-level governance arrangement with a considerable number of parts at the national programme level, at the territory level, and the individual project level. To govern the programme and achieve the objective of social value creation, the Scottish Futures Trust (STF) acts as the meta-governor, taking on an enabling and governance role in the meta-governance structure, increasing transparency and accountability, and providing vital information and expertise, including finance and project review.

8.4.2 The validated TCE framework V2

The Scotland Hub Programme offers practical insights (although in a different national context) into what worked or is working with regard to a transformational approach to community engagement aimed at creating social value with and for communities where infrastructure is built. Having considered the insights from the SHP case, the insights were combined with the Nigeria context and relevant literature to validate the framework and refine it to suit the Nigeria context. The key difference between the two contexts is the absence of formal institutions that regulate socio-economic interactions like community engagement within the context of infrastructure delivery. Scotland, like most developed countries, has established institutions, while Nigeria, like most developing countries, has weak formal institutions or what Khanna and Palepu (2010, 33) described as "institutional voids."

Operating under these conditions, according to Khanna and Palepu, requires learning how to operate without the benefit of specialised intermediaries that can analyse market

information, facilitate transactions, and provide signals of credibility, like in the developed world. The literature has recommended meta-organising (meta-governance) as a suitable strategy for orchestrating collaborative efforts to solve complex societal problems like social value creation in environments with weak institutions. The meta-organisation formed, which in this case is the TMO as illustrated in figure 7 and described in Section 8.3.2.1, becomes a specialised intermediary, bridging multiple institutional logics to enable transformational community engagement aimed at creating social value. Thus, we contend that DP 1 is valid for the Nigerian context.

Nevertheless, the government, as the dominant stakeholder, still needs to purposefully alter institutions towards a desirable outcome, which in this case is the framing of urban infrastructure PPP as a TMO. The government also needs to invest in educational campaigns and community empowerment programmes. Thus, we contend that DP2 is valid for the Nigerian context.

As a result, the validation of the TCE framework at this phase did not bring up any significant differences other than the conditions and notes that explain the relationship between the national and state levels of government based on Nigeria's urban governance structure. The role of the national government in this case is to promote the adoption of the framework at the state level through appropriate incentives like grants, loans, etc.

This is because, although the national government has approval and regulatory oversight for infrastructure development in some sectors like rail, power, and ports, urban development in Nigeria, except the federal capital territory, is the responsibility of state governments. State governments are the second tier of government, which in practise has constrained the capacity of local government in Nigeria. Moreover, there is currently a constitutional amendment process to transfer power, rail, and seaports from the exclusive list to the concurrent list, allowing the state government to become responsible for those infrastructures.

To this end, the framework as envisaged or designed is best suited for urban infrastructure development at the sub-national level. Consequently, the proposed framework does not portray a retreating state but an interventionist state, using appropriate governmental strategies to solve complex societal challenges. As Foucault (2007, 99) says, "it is not a matter of imposing a law on men, but of the disposition of things, that is to say, employing

tactics rather than laws, or, as far as possible, employing laws as tactics; arranging things so that this or that end may be achieved through a certain number of means."

8.5 Evaluating the second version of the TCE framework through a focus group (final version)

This section explains the findings of the validation and the resulting improvements to the framework in its real-world application. A focus group workshop was conducted with a team comprising seven senior executives from the ICRC. The ICRC is the federal government agency responsible for infrastructure PPPs in Nigeria. Although it is not directly responsible for PPP at the subnational level, it provides support through the Nigerian Public Private Partnership Network (NPPPN), a platform for all state heads of PPP units nationwide and relevant agencies to collaborate and ensure seamless implementation of PPP projects across the country.

In line with the adopted research method, an informal session with PPP practitioners was conducted throughout the research, especially at the design and evaluation stages. However, a focus group session was conducted first to fine-tune and validate the framework from a government perspective (ICRC). The ICRC setting provides an opportunity for that. Second, considering that the aim of this dissertation is to develop a framework that can be applied in real-life situations, the focus group session also provides an opportunity for engaging with the relevant agencies in Nigeria for the adoption of the framework after the submission and presentation of the dissertation.

The focus group session was conducted like an interactive session. Before the session, a brief concept note was sent to the participant. Second, during the focus group session, a PowerPoint presentation of the TCE framework was made, with specific questions being asked and discussed by the participants. The presentation expanded on the concepts of meta-organising (meta-governance) and responsabilisation to explain their meaning and how they were integrated to form the TCE framework. The workshop participants were asked the following questions, and the responses to each question are noted below:

Do you think, from a government perspective, the TCE framework provides enough practical guidelines for organising transformational community engagement aimed at creating social value in urban infrastructure PPPs in Nigeria? This question was posed to get an overall idea

of the presentation, the depth of information used, and the readability of the proposed framework. All the participants agreed that the framework as presented can lead to meaningful community engagement and social value creation in urban infrastructure PPP, but stressed the importance of the government being intentional about it, as summarised in the statement below:

- *"(In Nigeria), we are good at setting up policies and institutions; some of these are brilliant, some are political, but I think the issue is not policies or setting up institutions to solve problems, but how can we use what we have?" Our problem is policy implementation. The political will to implement all these brilliant ideas and allow these laudable institutions like the Niger Delta Development Commission and the North East Development Commission to create value."*

The first question led to the second question, which was: could the TCE framework be implemented in the Nigerian context? The purpose of this question was to identify the practicability of implementing the TCE framework given Nigeria's highly fragmented political system and institutions. The general opinion was that taking a state-based approach may yield more results since it will be easier to navigate the socio-political context once there is buy-in from the state government. Although the federal government will provide support through incentives like coordination with development finance institutions like the World Bank, the AfDB will be needed for funding.

It was strongly recommended that, given the Nigerian political system, the implementation of the framework be placed within the office of the state governor, thereby isolating it from bureaucratic bottlenecks. Moreover, there is currently a constitutional amendment process to transfer power, rail, and seaports from the exclusive list to the concurrent list. In addition, state governments are the second tier of government, which in practise has constrained the capacity of local government in Nigeria and is a very powerful actor in urban governance.

Therefore, three critical points for future improvements in the TCE framework were highlighted:

1. A clear identification and explanation of the role of government at the state and national levels in line with the current socio-political context of Nigeria

2. The type of infrastructure should be clearly defined and backed by the state House of Assembly.
3. Its implementation should be driven by the offices of the state governors.

Having considered those suggestions and conditions, recommendations for operationalizing the TCE framework are presented in Section 8.6 below. These recommendations, in addition to Table 4 in Section 8.3.4, form the final version of the TCE framework. Since there is no difference between the first, second, and third versions of the framework based on the validation through a single case study in Section 8.4 and the evaluation through a focus group session in this section,

8.6 Recommendation for operationalizing the TCE framework

8.6.1 Framing urban infrastructure PPPs as TMOs

The TCE framework addressed proposed meta-organising (meta-governance) as a suitable governmental strategy for overcoming multistakeholder coordination challenges at the macro-level of community engagement. It further proposed the framing of urban infrastructure PPPs as a distinct type of territory-based meta-organisation (TMO) PPP should be designed as a territory-based meta-organisation (TMO) that consists of core (the SPV) and "peripheral" relations with community-based organisations, non-governmental organisations, private firms, and other relevant state agencies (Ahrne and Brunsson 2008, 46). The best level of government to drive this transformation within the context of Nigeria's socio-political environment was the state government (which is the second level of government). However, the federal government is expected to incentivize state governments through institutional redesign and

While the idea of incentivizing sub-national governments to frame and design PPPs as TMOs may be a useful strategy for providing urban infrastructure services that create additional social value for communities where they are built, it is important to note that some several potential challenges and considerations would need to be addressed.

Firstly, defining the territory that a TMO can cover can be a complex process, particularly if multiple jurisdictions or local government areas are involved. State governments would need to coordinate and collaborate effectively to ensure that TMOs can operate across their

respective territories seamlessly and efficiently. Secondly, the type of infrastructure that can be provided will depend on a range of factors, including the needs of the local community, the available funding, and the regulatory environment. State governments will need to carefully consider these factors when defining the scope of TMOs and the infrastructure they are responsible for managing.

Finally, while federal government incentives can be useful in promoting the adoption of TMOs, it is also important to ensure that state governments have the capacity and resources to effectively design, implement, and manage these organisations. This may require additional funding, technical assistance, and capacity-building initiatives to ensure that state governments can successfully navigate the complex challenges associated with urban infrastructure PPPs as TMOs.

8.6.2 Responsibilising communities through educational and awareness campaigns

While the framework recommends the federal government play a coordinating role in designing and launching educational campaigns and awareness programmes, it is important to note that urban infrastructure development in Nigeria is primarily a state responsibility. Therefore, any efforts to promote a consistent message about PPPs would need to be done in collaboration with the state government and other stakeholders. Furthermore, while consistency in messaging can be beneficial, it is also important to recognise the diversity of needs and perspectives across different states and local communities. As such, any educational campaign should be flexible enough to accommodate these differences while still promoting a common understanding of the benefits and risks associated with PPPs.

Ultimately, the success of any educational campaign will depend on a variety of factors, including the quality of the messaging, the effectiveness of the dissemination strategy, and the willingness of stakeholders to engage in dialogue and collaboration. While the federal government can certainly play a role in coordinating such efforts, it is important to recognise the complex and decentralised nature of urban infrastructure development in Nigeria and any other country.

9 CONCLUSION AND RECOMMENDATION

This chapter concludes the dissertation by first summarising and presenting the key research findings within the two research objectives in Section 9.1. Sections 9.2 and 9.3 presented the research contribution to the body of knowledge and its implications for policy and practise, respectively, while Section 9.3 addresses the research limitations and potential for future research. The researcher's concluding thought were presented in Section 9.4.

9.1 Summary of research findings

In a world that is constantly in flux and disrupted by the convergence and interaction of complex socio-economic and environmental challenges in urban areas, from growing inequalities and poverty to man-made and natural disasters. It has become increasingly difficult to deliver urban infrastructure projects without addressing the economic, social, and environmental wellbeing of the relevant area where they are built. For governments (especially the ones in sub-Saharan African countries like Nigeria), faced with a growing fiscal constraint, PPPs have become not only an option to finance urban infrastructure development but also an opportunity to tap into "multiple agents and their diverse knowledge sets to collectively tackle complex policy problems in multiple places" (Eversole 2011, 53). However, this can be attained through the appropriate allocation of resources, risks, and rewards that best meet clearly defined public needs (Wood and Wright 2015, 281; Cui et al. 2017, 1–22; Quelin et al. 2017, 764).

To respond to the situations and needs of people and communities through the provision of urban infrastructure services, PPP has proven to be an efficient and effective 'governance strategy' (Wood and Wright 2015, 281; Cielak and Beata 2016, 40; Cui et al. 2017, 1-22), especially if well-structured and managed. Yet, in these sub-Saharan countries like Nigeria, current outcomes are arguably not as effective as they could be. It is still not clear how social value can be created with and for communities, even though literature has recommended community engagement as a suitable strategy for overcoming this challenge in PPPs (Quélin et al. 2017, 764; Cidik 2020, 38). In other words, organising community engagement aimed at creating social value with and for communities in the context of urban infrastructure PPP is still a fraught process.

Therefore, to address the overarching research question and problem, we took a practical and contextual orientation with the aim of developing a framework that will serve as a set of guidelines, that can be used to solve the practical issue of how the state can facilitate a transformational approach to a community engagement that is aimed at creating social value in urban infrastructure PPP. Guided by the governmentality lens and following a design science research approach, we adopted a mixed qualitative data collection and analysis approach to explore the practise of community engagement and social value creation in the context of urban infrastructure in Nigeria (Yin 2014).

First, following the design science research approach, we observed a societal problem in practise and linked it to a scientific problem (literature) to find a research objective and create a solution (Jahn et al. 2012, 5). This involves developing the researcher's understanding of the current PPP's community engagement practise in Nigeria through the collaboration with practitioners, constructing and conducting literature reviews of relevant studies (social value, community engagement, and PPPs), identifying and confirming the salience of the overarching research question and problem, situating the research problem in a set of purposefully sampled literature that was guided by discussion with experts, defining the research boundaries, establishing governmentality as the theoretical framework, and creating a methodological framework for knowledge "production and integration."

Following this understanding and employing an analytical lens of governmentality, the overarching research problem was addressed through two research objectives. The next section reflects on how the two objectives were achieved.

9.1.1 Research objective 1

The first research objective, which is to understand and analyse the challenges of organising transformational community engagement in the context of urban infrastructure PPP in Nigeria, was addressed by two sub-research questions. The two sub-research questions enable the research to investigate the often "taken for granted" rationalities of governing (and or resistance) "that try to shape the choices, desires, and violations of relevant actors to participate in a community engagement in the context of urban infrastructure PPP in Nigeria" (Dean 1996, 62) both at the macro- and micro-level.

To examine the macro-level context of community engagement, an analysis of open government documents (policy documents and correspondences) and semi-structured interviews of PPP practitioners in Nigeria was carried out and the findings reveal a multistakeholder coordination challenge at this level of community engagement. This challenge stemmed from Nigeria's misaligned political systems and institutions, a constrained local government in terms of capacity, and the private sector's perception or attitude towards community engagement. These three themes taken together make the coordination and steering of multiple stakeholders towards the creation of social value difficult in Nigeria.

To investigate the micro-level context of community engagement within the context of urban infrastructure PPPs in Nigeria, data from the social media (Nairaland) and semi-structured interviews were analysed to explore the shared beliefs that underpin communities' perception and attitude towards PPP projects. The challenges identified from the analysis include the shared belief that infrastructure is a public service and should be provided for free; PPPs are created mainly to serve perceived 'corrupt' politicians; and public institutions are not effective and efficient in-service delivery. These beliefs, combined with the community's structural power, explain why some community groups oppose (or support) infrastructure PPP projects and the current general apathy towards PPP among community groups in Nigeria.

9.1.2 Research objective 2

The second research objective was to identify an appropriate governmental strategy for facilitating transformational community engagement. This stage of the research can be described as a conceptual study. It builds on literature on meta-organising (meta-governance) and responsabilisation, which was combined with empirical data to generate design principles from these two kernel theories and to inspire the development and evaluation of the framework.

- *Design principle 1: To overcome the multi-stakeholder coordination challenge at the macro-level of transformational community engagement aimed at creating social value, urban infrastructure PPPs should be framed as a distinct territory-based meta-organization (TMO). Framed as a TMO, they can unite diverse stakeholders, raise public awareness about social value, and facilitate an interactive arena for*

multi-stakeholder engagement suited for creating social value with and for communities within a defined territory or urban area.

- *Design principle 2: To overcome the social legitimacy or acceptance challenge at the micro-level of community engagement aimed at creating social value in urban infrastructure PPP projects, the state or government should make communities accept PPP as a necessary state intervention to create social value for them through a responsibility strategy based on educational campaigns and empowerment incentives.*

The unification of the two-design proposition forms the first version of the TCE framework, which was further validated and evaluated through insights from a single case study (the Scotland Hub programme) and a focus group session with seven senior PPP professionals working with the ICRC. The ICRC is the federal government agency responsible for infrastructure PPP development and regulation in Nigeria, and this includes the coordination of sub-national PPP development efforts.

Following this design-research approach, the final framework, which is a set of guidelines and parameters for organising transformational community engagement that is aimed at creating social value for communities in the context of urban infrastructure PPP, was arrived at. Our framework, by adopting a governmentality perspective, argues for and supports the view that for government to control the actions of subjects, they need to "step into" society rather than "stepping back."

From this viewpoint, we see government as a "reflective, goal-oriented, and capable" agent (Lawrence et al. 2013, 1024), using a wide range of techniques and strategies to make subjects (communities, private sector partners, and government agencies) governable through community engagement. Consequently, the proposed framework does not portray a retreating state but an interventionist state, using appropriate governmental strategies to purposefully alter or manipulate a country's (Nigeria's) socio-political context towards the organisation or facilitation of a transformational approach to community engagement within the context of urban infrastructure PPPs.

9.2 Contribution to the Body of Knowledge

Although the focus of this study is to develop a framework that can be used to solve the practical issues of facilitating transformational community engagement in a specific context (Nigeria) and case (urban infrastructure PPP), it was situated and refined through a review of literature on the governance of infrastructure PPP, and placed within the context of stakeholder engagement and social value creation. Therefore, it makes a significant contribution to the body of knowledge across urban infrastructure project governance and stakeholder engagement, and more specifically, community engagement. Previous research within this context tends to be overly descriptive, rooted in the reductionism tradition of project management, and often ignores the influence of the socio-political context in the power relations between the state (government), society (communities), and market (private firms). As a result, the government tends to lurk behind in most external stakeholder engagement analyses (Cowell and Devine-Wright 2018; Wang et al. 2020; Bice et al. 2021; Revez et al. 2022).

The research contribution to knowledge is, therefore, succinctly outlined below.

9.2.1 Refocus attention on the influence of the socio-political context on urban infrastructure PPP governance.

A key contribution of this study to the body of knowledge is that, unlike other research, the TCE framework recognised the influence of the socio-political context on the power relations between the public, the private, and the impacted stakeholders (community groups) and the role of government as the dominant stakeholder in "the triadic relationship" (Castelblanco et al. 2022). Government actions in this case (the engagement process) are expected not only to be "purposeful, strategic, innovative, and entrepreneurial, but also endowed with discretion and capacity to seek out stakeholders as partners to bring meaningful and demanded change" (Schafer and Zhang 2018, 157). This is because, in practise, community engagement is largely organised, shaped, and subsidised by the state but carried out by the PPP organisation (the special purpose vehicle) on behalf of the state.

In this regard, the TCE-framework takes as its central consideration the purposeful actions (governmental strategies) the state or government, as a "reflective, goal-oriented, and capable" agent (Lawrence et al. 2013, 1024), can use to shape, normalise, and

instrumentalize the conduct and thoughts of others and "give effect to governmental ambitions" (Rose and Miller 1992, 175) of delivering social value in urban infrastructure PPP.

9.2.2 Brings the Africa context into project stakeholder engagement and value creation research.

Africa has "ways of seeing the world as compared to other settings, like North America, Europe, and, to some extent, East Asia" (Ika et al. 2021, 3). For instance, the absence or weakness of formal institutions, described as "institutional void" (Khanna and Palepu 2010) and "understood as the absence of market-supporting institutions, specialised intermediaries, and contract-enforcing mechanisms," is one of the greatest challenges that comes with (urban) infrastructure PPP project delivery in Africa (George et al. 2016, 377).

Specifically, it increases the transaction cost of a transformational approach to community engagement and social value creation. These institutional voids impose a multi-stakeholder coordination challenge at the macro-level of community engagement (where social value goals are defined) and a social legitimacy challenge at the micro-level of community engagement (where the PPP interacts with the impacted community to execute the project and deliver social value with and for the community) (Quélin et al. 2017, 769; Mulholland et al. 2020, 75–76; Raiden and King 2021, 1).

The African context tends to be missing in project stakeholder engagement research; perhaps that is why most community opposition towards infrastructure PPP projects is growing. We need specific insights for organising project stakeholder engagement aimed at creating social value in "contexts with weak institutions and changing and emerging regulatory frameworks" (Aaltonen et al. 2021, 710) such as the ones seen in Nigeria and other sub-Saharan African countries. Therefore, this research brings some distinct and unique Africa context into "the conversation in, on, and around (infrastructure) projects" (Ika et al. 2021, 2) and stakeholder engagement and subsequently richly contribute to the recent recalls on how context and practise, especially from Africa, can be incorporated into project governance (Song et al. 2022, 333) and stakeholder engagement (Kujala et al. 2022, 1170; Aaltonen et al. 2021, 710; Sachs and Kujala 2021, 13).

This dissertation achieved this by adopting a research method that integrates the governmentality lens with the design science research to make sense of community engagement as more or less "a calculated and rational activity, undertaken by government" through meta-organising (meta-governance). It also presented "responsibilisation" as governmental strategies "to shape conduct by working through the desires, aspirations, interests, and beliefs of various actors, for definite but shifting ends and with a diverse set of relatively unpredictable consequences, effects, and outcomes" (Dean 2010, 18). Thus, community engagement can be argued to be an ongoing social value creation process that is grounded in socio-political context "rather than adhering to a substantialist metatheoretical assumption" (Song et al. 2022, 342).

9.2.3 Introduce meta-organising and responsibilisation as governmental strategies for transformational community engagement.

Finally, but more specifically, this dissertation provides, through the TCE framework, a theoretical framework that can provide guidance for organising a transformational approach to community engagement that is aimed at creating social value with and for communities. By theorising and conceptualising an urban infrastructure PPP as a distinct type of territory-based meta-organisation (TMO), this research, first, draws attention to how the government (as the 'dominant stakeholder') can indirectly utilise the meta-govern community engagement as an interactive arena for social value creation. In this regard, the PPP, as a TMO, can act as a resourceful and specialised intermediary organisation that possesses the legitimacy and resources to enable and coordinate a wide range of stakeholders in actor-networks unified by an identifiable system-level goal (see Gulati et al. 2012) and within a defined territory, which can be an urban area or a combination of more than one urban areas.

This understanding contrasts the immanent dualistic notion of PPPs as partnerships between the public sector (government) and a private sector partner. Rather, it (re)focuses attention on the hybrid nature of PPPs, their complex adaptive nature, and their potential to oversee matters such as (re)framing local issues and building coalitions across the complex array of multi-societal and multi-level government actors and institutions that are involved in urban infrastructure PPPs within a defined territory or urban area.

Secondly, by theorising and conceptualising responsabilisation as a governmental strategy used to build the social legitimacy of PPPs, this research draws attention to the salience of shared beliefs and strategies to dismantle them and transform citizens and community groups into "autonomous, rational, and entrepreneurial subjects" who perceive PPPs as an appropriate and legitimate government intervention for providing urban infrastructure that will improve their quality of life (Peeters 2013, 592; Peeters 2019, 54). The framework illustrates how educational campaigns and empowerment techniques like civic crowdfunding can be used to dismantle impacted stakeholders' distrust about infrastructure PPPs and build social legitimacy (Yan and Zhang 2020), which is necessary for implementing transformational community engagement aimed at creating social value.

Consequently, through the TCE framework, this dissertation offers a set of guidelines that provide useful starting points for considering how government and its agencies can build the social legitimacy of PPPs, enable meaningful engagement with impacted communities, and overcome the growing community opposition towards PPPs. Nevertheless, and more broadly, the dissertation from this perspective reinforces the growing call for an approach to infrastructure project management (including PPP) research that is framed in the broadest institutional terms (Biesenthal et al. 2018; Soderlund and Sydow 2019) by igniting a renewed focus on the pervasiveness of shared beliefs in the recursive relationship between community engagement and legitimacy building.

9.3 Implications of research for policy and practise

The dissertation, specifically the TCE framework, developed from the empirical evidence gathered and the literature review, contributes to the policy and practise of community engagement within the context of urban infrastructure PPP. To develop the frameworks, this study sought to understand and describe how Nigeria's complex socio-political context impacts the macro and micro contexts of community engagement within urban infrastructure PPPs. The study further identified, theorised, and conceptualised a set of guidelines (design principles), through the TCE framework, that can provide guidance for organising a transformational approach to community engagement aimed at creating social value with and for communities.

The first guideline suggests framing urban infrastructure PPPs as a distinct territory-based meta-organisation (TMO) to overcome the multi-stakeholder coordination challenge at the macro-level of transformational community engagement aimed at creating social value. This will unite diverse stakeholders, raise public awareness about social value, and facilitate an interactive arena for multi-stakeholder engagement suited for creating social value with and for communities within a defined territory or urban area. The second guideline suggests that to overcome the social legitimacy or acceptance challenge at the micro-level of community engagement aimed at creating social value in urban infrastructure PPP projects, the government should make communities accept PPP as a necessary state intervention to create social value for them through a responsibility strategy based on educational campaigns and empowerment incentives.

Practitioners who participated in the study, particularly those interviewed, found the research and findings insightful, particularly the developed framework. The findings may be useful to other countries confronting similar stakeholder community issues as Nigeria, given the growing interest in the use of PPPs to provide urban infrastructure services. Nevertheless, the central argument of this dissertation is the need to bring back the state or government through appropriate governmental strategies into the conversation in and around PPP project governance. Community engagement in this sense is used to structure "the field of possible action that shapes the conduct of subjects towards aligning with the objectives of 'advanced liberal' governments" (Dean 1996, 61), which in this case is social value creation with and for communities.

Nevertheless, the government must be intentional in deliberately altering or reconfiguring institutions to transform the relations between the state (government), society (communities), and market (private firms) in the context of urban infrastructure development PPP for this framework to be successful. From this perspective, community engagement has the potential not to challenge government but to enhance urban infrastructure PPP projects governance and social value creation.

9.4 Limitations and recommendations for future research

Although the TCE framework and other recommendations derived from this research provide useful clues for the facilitation and organisation of transformational community

engagement strategies in the context of urban infrastructure PPPs, particularly in Nigeria, the study has several limitations that offer directions for further research. Firstly, the framework and generalisations are based on a specific country (Nigeria) and a single type of infrastructure (urban roads).

Therefore, future research can be done to test the findings in different contexts, such as other types of infrastructure and countries. For instance, it would be interesting to know if the type of infrastructure influence how a community group accepts PPP as a legitimate governance mechanism for its delivery. Furthermore, findings from other sub-Saharan African countries will provide richer and more profound insights into how transformational community engagement strategies can be facilitated and organised to create social value in SSA. Such future studies can provide interesting confirmations or contrasts that can refine the framework.

9.5 Concluding remarks

In a world beset by grand challenges such as climate change, social inequality, and sub-Saharan Africa's growing infrastructure gap (Gil et al. 2021), urban infrastructure PPPs have the potential to leverage the resources, knowledge, and expertise of public, private, and community stakeholders to create social value by allocating resources, risks, and rewards to meet clearly defined public needs (Cui et al. 2018, 783). However, achieving this will require a transformational approach to community engagement that prioritizes the needs of the community and acknowledges the steering role of the state or government, as highlighted by Castelblanco et al. (2022, 11) and Bowen et al. (2010, 305). This approach must also rebalance the narrative between infrastructure stakeholders' management and the community, with a renewed focus on sustainable infrastructure that benefits society, rather than solely on economic viability.

Using governmentality as a theoretical lens and design science research as a method, this dissertation has developed a framework for facilitating transformational community engagement within the context of urban infrastructure PPPs. The framework provides theoretical and practical guidance for achieving transformational community engagement, reconciling the social value agenda with the governance of urban infrastructure PPPs, which are often at odds due to the latter's tendency to overlook the steering role of the state or

government. Furthermore, this framework offers a valuable tool for practitioners and policymakers seeking to create sustainable infrastructure that meets the needs of both primary stakeholders and the broader community. It is hoped that this work will inspire further research and innovation in the field of urban infrastructure development and governance.

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ANNEXES

Annex A: Interview questions for sub-research question 1

Theme constructed from the secondary data and literature review	Indicative interviews questions linked to each theme (second phase of coding process)
Mis-aligned political system and institutions	<ol style="list-style-type: none">1. Can you highlight some of the challenges of community engagement within the current Nigerian political system and institutions?2. What other factors are influencing meaningful community engagement?3. Are there any additional comments or thoughts you would like to provide?
Constrained local government capacity: limiting bottom-up planning	<ol style="list-style-type: none">4. How is the local government which is the third tier of government constrained in terms of bottom-up urban infrastructure planning?5. How does this constrain local government capacity and affects community engagement?6. Are there any additional comments or thoughts you would like to provide?
Private sector attitude toward community engagement	<ol style="list-style-type: none">7. Do you believe the community interests, needs etc. should be incorporated into the investment, design and operations decision of an urban infrastructure PPP and how?8. Who do you think should be responsible for community engagement9. Are there any additional comments or thoughts you would like to provide?

The interview questions above simply served as a guide; interviews evolved through follow-up questions often probing for details and asking for clarifications.

Annex C: social media (Nairaland) data analysis

Predetermined theme (OECD 2017)	Sub-Themes	References	The theme used for data presentations
competently (effectively and efficiently),	The project is not worth the cost	24	Public institutions are not effective and efficient in service delivery.
competently (effectively and efficiently),	The fund generated from the toll will not be adequately accounted for	14	
competently (effectively and efficiently),	The quality of work is poor	7	
ethically (procedural justice),	The project is a Scheme for self-aggrandizement	27	PPP is a form of clientelism
ethically (procedural justice),	The toll fee is overcharged	31	
ethically (procedural justice),	The toll fee is illegal and against the user's welfare	28	
ethically (procedural justice),	The project was ill-conceived and poorly implemented	9	
ethically (procedural justice),	The electronic payment is a bad idea	10	
fairly for the economy and society as a whole	The project is another design to make the poor poorer	18	Infrastructures are public services and should be free
fairly for the economy and society as a whole	I do not support the project because it does not serve the common man	18	
fairly for the economy and society as a whole	The project is not a need	15	
fairly for the economy and society as a whole	The project is a money-making machine for political Godfathers	6	
fairly for the economy and	I would avoid paying the toll by using alternative means of transportation	6	

society as a whole			
fairly for the economy and society as a whole	The tollgate will stop people from visiting the area		1

The analysis of the social media (Nairaland) data also indicates a few positive comments stated below. However, these positive comments further clarify the themes adopted for presenting the data.

- “Nigerians can be very funny. How can we expect to have world-class facilities without paying for them”
- “When we travel abroad and see clean and beautiful road networks we condemn the Nigerian government, forgetting that the roads abroad are heavily paid for. For instance, in Malaysia, almost every Nigerian resident drives (The majority are students), and they pay the toll fees there, without raising questions.”
- “About the issue of cost, it will certainly reduce as the private firms gradually approach their break-even point. The cost will keep going down over time, just as it happened in the telecommunication sector.”
- “If there must be world-class roads, hospitals, security, educational provision etc., they need to be paid for in one way or the other.”

Annex C: Interview questions for sub-research question 2

Some indicative questions that guided the interview sessions are listed below:

1. Can you highlight some of the challenges encountered with community engagement during the project
2. Who was responsible for community engagement
3. Was community engagement difficult?

The questions are not exhaustive but simply served as a guide; interviews evolved through follow-up questions often probing for details and asking for clarifications.

**Annex D: List of papers analysed in the development of TCE framework version 1
(Meta-organising)**

S/N	Author(s) and Year	Title	Journal
1	Ahrne, Göran, and Nils Brunsson. 2005	Organizations and meta-organizations	Scandinavian Journal of Management
2	Berkowitz, Heloise, Larry B. Crowder, and Cassandra M. Brooks. 2020	Organizational perspectives on sustainable ocean governance: A multi-stakeholder, meta-organization model of collective action	Marine Policy
3	Berkowitz, Héloïse, Nils Brunsson, Michael Grothe-Hammer, Mikaela Sundberg, and Bertrand Valiorgue. 2022	Meta-organizations: A clarification and a way forward	M@n@gement
4	Berkowitz, Heloise. 2018	Meta-organizing firms' capabilities for sustainable innovation: A conceptual framework.	Journal of Cleaner Production
5	Callagher, Lisa, Stefan Korber, Frank Siedlok, and Ziad Elsahn. 2022	Metaorganizing Collaborative Innovation for Action on Grand Challenges	IEEE Transactions on Engineering Management
6	Gil, Nuno, Anne Stafford, and Innocent Musonda. 2019	Duality by Design: the global race to Build Africa's Infrastructure.	Cambridge University Press,
7	Glasbergen, Peter. 2011	Mechanisms of private meta-governance: an analysis of global private governance for sustainable development	International Journal of Strategic Business Alliances

8	Grothe-Hammer, Michael. 2019	Organization without actorhood: Exploring a neglected phenomenon	European Management Journal
9	Gulati, Ranjay, Phanish Puranam, and Michael Tushman. 2012	Meta-organization design: Rethinking design in interorganizational and community contexts	Strategic Management Journal
10	Kennedy, Jane. 2012	Collaboration in public policy and practice: Perspectives on boundary spanners	Local Government Studies
11	Koch, Christian, and Martine Buser. 2006	Emerging meta-governance as an institutional framework for public-private partnership networks in Denmark	International Journal of Project Management
12	Lupova-Henry, Evgeniya, Sam Blili, and Cinzia Dal Zotto. 2021	Designing organised clusters as social actors: A meta-organisational approach	Journal of Organization Design
13	Österberg, Emma Ek, and Martin Qvist. 2022	Meta-governance as partial organization	Administrative Theory & Praxis
14	Payal K. Jain, Richard Hazenberg, Frederick Seddon, and Simon Denny. 2019	Social Value as a Mechanism for Linking Public Administrators with Society: Identifying the Meaning, Forms and Process of Social Value Creation,	International Journal of Public Administration
15	Sørensen, Eva. 2006	Metagovernance: The changing role of politicians in processes of democratic governance	The American review of public administration
16	Torfinng, Jacob, Ewan Ferlie, Tina Jukić, and Edoardo Ongaro. 2021	A theoretical framework for studying the co-creation of innovative solutions and public value	Policy & Politics

17	Torfin, Jacob. 2019	Collaborative innovation in the public sector: The argument	Public Management Review
18	Wilson, Ceit E., T. H. Morrison, and J-A. Everingham. 2017	Linking the 'meta-governance' imperative to regional governance in resource communities	Journal of Rural Studies

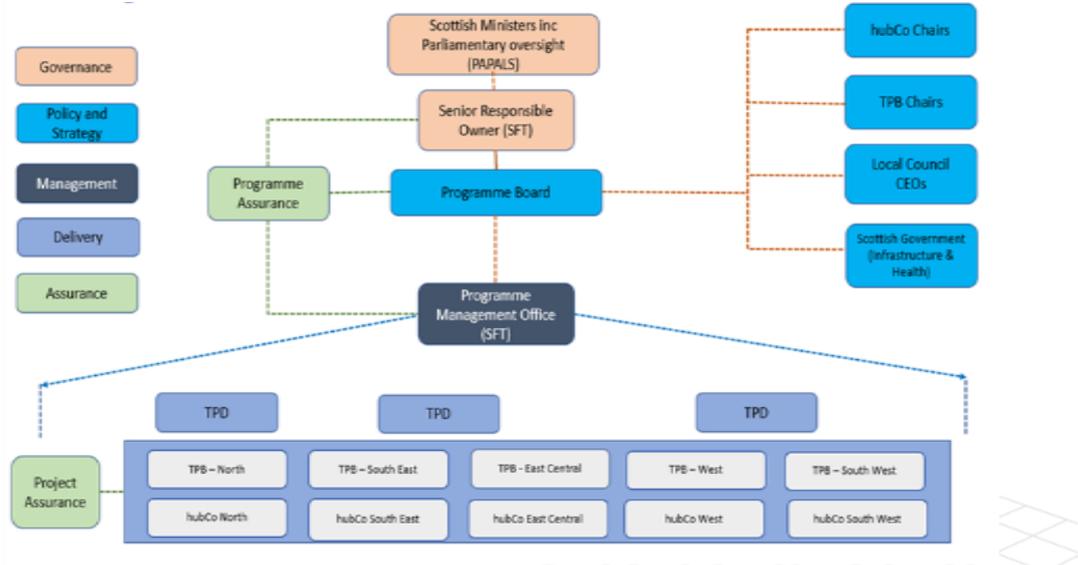
**Annex E: List of papers analysed in the development of TCE framework version 1
(Responsibilisation)**

S/N	Author(s) and Year	Title	Journal
1	Brown, Brian J., and Sally Baker. 2012.	Responsible citizens: Individuals, health, and policy under neoliberalism.	London Anthem Press
2	Eversole, Robyn. 2011	Community agency and community engagement: re-theorising participation in governance.	Journal of Public Policy
3	Gold, Stefan, Judy N. Muthuri, and Gerald Reiner. 2018.	Collective action for tackling “wicked” social problems: A system dynamics model for corporate community involvement.	Journal of Cleaner Production
4	Khanal, Yajnamurti, and Bishnu Prasad Devkota. 2020	Farmers' responsabilization in payment for environmental services: Lessons from community forestry in Nepal	Forest Policy and Economics
5	Killian, Bernadeta, and Maija Hyle 2020	Women's marginalization in participatory forest management: Impacts of responsabilisation in Tanzania.	Forest Policy and Economics 118 (2020): 102252
6	Krott, Max, Axel Bader, Carsten Schusser, Rosan Devkota, Ahmad Maryudi, Lukas	"Actor-centred power: The driving force in decentralised community-based forest governance	Forest Policy and Economics

	Giessen, and Helene Aurenhammer. 2014		
7	Miller, Peter, and Nikolas Rose. 2008	Governing the present: Administering economic, social and personal life	Cambridge Polity
8	O'Malley, P. 2009	Responsibilisation', in A. Wakefield and J. Fleming (eds)	The SAGE Dictionary of Policing
9	Peeters, Rik. 2013	Responsibilisation on government's terms: new welfare and the governance of responsibility and solidarity	Social Policy and Society
10	Peeters, Rik. 2019	Manufacturing responsibility: the governmentality of behavioural power in social policies.	Social Policy and Society
11	Pyysiäinen, Jarkko, Darren Halpin, and Andrew Guilfoyle. 2017	Neoliberal governance and 'responsibilization' of agents: reassessing the mechanisms of responsibility-shift in neoliberal discursive environments	Distinktion: Journal of Social Theory
12	Pyysiäinen, Jarkko, Darren Halpin, and Andrew Guilfoyle. 2017	Neoliberal governance and 'responsibilization' of agents: reassessing the mechanisms of responsibility-shift in neoliberal discursive environments.	Distinktion: Journal of Social Theory
13	Siltaoja, Marjo, Virpi Malin, and Miikka Pyykkönen. 2015	We are all responsible now': Governmentality and responsabilized subjects in corporate social responsibility	Management Learning

Annex F: The Scotland Hub Programme (SHP) governance framework

Result – The Scotland Hub Programme



The institutional arrangement allows the hub to deliver social value for the communities through job creation, access to health and education facilities, support for local businesses and skills acquisition

Annex G: Acceptance letter for the focus group session.

The screenshot shows a web browser window displaying a Yahoo! Mail inbox. The browser's address bar shows a search URL for an email from Amanze Okere. The Yahoo! Mail interface includes a navigation bar with categories like HOME, MAIL, NEWS, FINANCE, SPORTS, ENTERTAINMENT, LIFE, SEARCH, SHOPPING, and YAHOO PLUS. The main content area displays an email from 'afeeroho eze' to 'Amanze Okere' dated Saturday, July 16, 2022, at 8:38 AM. The email subject is 'Re: PPP Presentations and documents to serve as guide in PHD research'. The body of the email contains the following text:

Thank you so much. looking forward to meeting you on Tuesday the 19th. I will give you a call on Monday afternoon (when arrived Abuja)

Regards

Eze

On Friday, July 15, 2022 at 05:33:51 PM GMT+1, [redacted]@icrc.gov.ng wrote:

Good day my brother. Tuesday 19th July will be fine with me. Thanks

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The right sidebar features a 'yahoo!finance' widget with a 'My Watchlist' showing a value of £2,816.29 and a change of +136.43. Below it is an advertisement for 'STEALTH MONITORING' with the tagline 'A TRUE SENSE OF SECURITY'. The Windows taskbar at the bottom shows the system tray with a temperature of 30°C and the date 02/05/2023.

DECLARATION OF THE PROOFREADER



Engr. Sunday Egbiki, PhD, PMP, CCP, CEM, EDGE, DGNB, MNSE, MNIEE, COREN

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CONFORMATION OF PROOFREADING

The subject matter above refers.

I, Dr.-Ing. Sunday Egbiki, the undersigned, a Lecturer at Nigeria Maritime University, confirm that I have painstakingly proofread the thesis (PhD Thesis) of the student **Afiero Ulohomo** with the title **'Local Community Engagement in Urban Infrastructure Public-Private Partnership: In Pursuit of Social Value'**

Place: Lagos, Nigeria

Date: 26.05.2023

Signature

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07

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Study programme	Doctoral programme of Project Management
Title of the thesis in the original language	Local Community Engagement <u>In</u> Urban Infrastructure Public-Private Partnership: In Pursuit Of Social Value
Title of the thesis in the English language	Local Community Engagement <u>In</u> Urban Infrastructure Public-Private Partnership: In Pursuit Of Social Value
Mentor:	Prof. Yongkui Li
Co-mentor from a company:	N/A

With this signature, I declare that:

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- I have made sure that publications and opinions of other authors that are used in the present thesis, are cited or quoted in accordance with the faculty's instructions.
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The printed version of the thesis is identical to the electronic version, which I have submitted for publication in the digital library.

26th May 2023

Date and place:


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