



**A Strategy for Stakeholder Engagement in Public Private
Partnership Urban Infrastructure Provision in Nigeria**

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ABSTRACT

This thesis examines how external stakeholders are engaged in Public Private Partnership Urban Infrastructure Projects. The study aims to develop a framework to improve stakeholder engagement in the delivery of PPP urban infrastructure projects in Nigeria. The research is based on a survey of key personnel in government and private sector agencies that have been involved in the delivery of PPP projects in Nigeria. The area of focus is urban infrastructure projects delivered in Abuja, the Federal Capital Territory of Nigeria. The study takes a broad insight to their views on certain aspects of external stakeholder engagement, such as processes, critical success factors, challenges, and governance mechanisms.

Aligning with researchers' epistemological and ontological assumptions, an abductive approach is used which culminates in the development of a framework to enhance stakeholder engagement in PPP urban infrastructure in Nigeria. The study is exploratory in nature, utilizing both qualitative and quantitative data to elicit the views of study participants. The data analysis was conducted using inferential and descriptive statistical analysis in addition to content analysis methods.

The study presents explanation of critical success factors that are important to the accomplishment of a successful stakeholder engagement in PPP urban infrastructure provision in Nigeria. Challenges and barriers to stakeholder engagement were also identified coupled with steps that can be taken to prevent these challenges or barriers from negatively influencing the stakeholder engagement process. This study documents that stakeholder consultation, negotiation and partnerships, and management functions as the top three key principles adopted for stakeholder engagement. It further presents governance mechanisms that need to be co-opted in the stakeholder engagement process. Corruption control, trust, rule of law, government effectiveness were identified as the major governance mechanism for stakeholder engagement in PPP urban infrastructure provision in Nigeria. Findings reveal that some of these mechanisms are either contained in the contract agreement signed between project sponsors and development or contained in government policies for project execution. A framework for stakeholder engagement is also developed to serve as guide to private and public organizations involved in PPP urban infrastructure projects in Nigeria.

CHAPTER 1: INTRODUCTION

1.1 Introduction

The provision of infrastructure, such as transportation, water, sewage, and gas supplies, has traditionally been the responsibility of the government. Globally, increased urbanisation as a result of population growth coupled with a lack of adequate investment in infrastructure provision has resulted in unsustainable demands placed on existing infrastructure (African Development Bank, 2016; Gauba, 2017). It is reported that 55% of the world's population now lives in urban areas, which is projected to increase to 68% by 2050.

This is an increasingly important issue for Nigeria as it is fast becoming a global giant in terms of its urban population (Fox, Bloch, & Monroy, 2017). By the year 2050, it will become the third most urbanised country with 70% of its population living in urban areas, which will account for 10% of the urban global population (UNDESA, 2015). This shift will also increasingly segregate rural communities with average distances between rural and urban areas set to increase (African Development Bank, 2016). Consequently, there would be an increased demand for infrastructure to support the economic activities of growing populations (Peterson, 2009; Guy, Marvin, and Moss, 2016). It is therefore important that strategies aimed at sustainably increasing and maintaining global infrastructure capacity and investment are developed as a matter of urgency (UNDESA, 2019).

Immediate investment in infrastructure projects requires the commitment of vast financial resources to single projects. As the public sector often lacks resources or suffers from overstretched resources the ability to invest in infrastructure projects alone is not an option. When combined with a lack of relevant expertise, which is sometimes the case, the public sector is increasingly turning to the private sector for financial investment and support through a range of innovative delivery mechanisms. One such delivery mechanism is a Public-Private Partnership (PPP). A PPP is a joint venture between a public body and private sector organisation that seeks to utilise both the human and financial resources of both parties (Delmon, 2017). The primary objective of PPP is to blend public and private resources to achieve a goal or set of goals that is judged to be mutually beneficial for both parties (Jensen, 2016). This can help to free up public sector funds in the short term so they can be directed

elsewhere and several projects can be started simultaneously (Estache and Saussier, 2014). Similarly, Välilä (2020) argues that PPP projects provide improved efficiency in public service, innovation, value for money, and transparency which ordinarily would be difficult to achieve through traditional procurement methods. Due to these advantages, the concept of PPP has been increasingly adopted globally to deliver infrastructure projects. Notably in developed nations such as the United Kingdom, the USA, Australia, and China. For example, over 705 infrastructure projects are presently active in the UK (HM Treasury, 2018b). In the USA between 1985 and 2010 a total of 363 PPP projects were undertaken (PWC, 2016). Similarly, the Commonwealth of Australia (2017) asserts that over 127 PPP projects were recorded between 1980 and 2017 covering a range of transport, education, and utility sectors. In China, PPPs accounted for 36 % of the total infrastructure investment by 1997 (Chen & Doloi, 2008) with a vast 7,000 public-private partnership (PPP) projects underway worth approximately \$1.28 trillion (Xinhuanet, 2020). Developing countries such as India and South Africa are also showing a growing trend for PPP involvement. For example, in India, PPPs represent 50% of its infrastructure investment amounting to \$8 billion. Presently, over 758 active PPP projects exist in India (Telang & Kutumbale, 2014). Similarly, in South Africa, where over \$1.3 billion is budgeted for infrastructure delivery via PPP's from 2019 to 2022 (Oxford, 2019).

To date, the focus of Nigeria's infrastructure delivery has been through traditional procurement routes involving high amounts of direct funding. The results of many of these projects to date however have not been successful. It has been reported that there are currently over 19,000 uncompleted or abandoned public projects (Umoru & Erunke, 2016) that have cost over \$47 billion (Ewa, 2013). The reasons for the persistence of such abandoned projects include poor planning, incompetent project managers, incorrect cost estimates, poor design, political influence, poor funding and corruption (Ayodele and Alabi 2011; Ayuba, et al. 2012; Hoe, 2013; Olalusi and Anthony 2012; Ubani and Ononuju 2013; Sharafadeen, Owolabi & Olukayode, 2018). Ultimately, it could be argued that all project failure reasons outlined can be categorised into problems encountered with either human or financial resources. It has been argued that such problems will persist until alternative infrastructure procurement and delivery strategies are embraced (Akinleye, 2017; World Economic Forum, 2018).

Nigeria has, in the recent past, attempted to adopt the PPP approach in infrastructure delivery in an attempt to tackle some of the problems identified (Akintoye, et al., 2003; African Development Bank, 2016). However, it is reported that such PPP attempts have not resulted in much success, largely due to implementation challenges such as investments in infrastructure projects that are not commercially feasible from the private sector perspective; exposure to political and non-commercial risks which include stakeholder resistance as well as poor organizational and regulatory capacities to monitor and provide an enabling environment suitable for PPPs (Ahmed, 2011; Babatunde, 2015).

The failure to suitably deliver PP projects has led to attempts to explore and understand why this is the case. Numerous research have tried to ascertain the critical success factors (CSFs) of PPP projects from an international perspective (Toor and Ogunlana, 2008; Liu and Wilkinson, 2014; Osei-Kyei and Chan, 2017). Some of these CSFs have focused on stakeholder engagement (SE) (Eyiah-Botwe, Aigbavboa & Thwala, 2016) with Ogunsanmi (2014) arguing that as PPP is a complex arrangement with various stakeholders involved, there is a need to identify and address all stakeholder concerns.

It has been reported that structured stakeholder involvement can help improve infrastructure delivery. However, it is argued that most stakeholder frameworks in construction are not tailored to PPP projects (Bal, Fearon & Ochieng, 2013). The stakeholder frameworks that do attempt to include PPP delivery have well identified failures such as being too complicated, only engage with limited stakeholders and at certain project stages only consider certain inputs whilst not acknowledging others (Henjewe, Fewings and Rwelamila, 2013). Similarly, Casady, Eriksson, Levitt and Scott (2019) have added that standardised judicial and normative rules and procedures are required to govern the interaction between public and private actors. However, established protocols to appropriately engage stakeholder communities when considering PPP projects are also important but lacking in Nigeria (Akintoye and Kumaraswamy, 2017).

There is a gap in current research around how stakeholders can be effectively engaged in the PPP project delivered in Nigeria. This research intends to contribute to this gap with the development of a stakeholder engagement framework that can improve the success of PPP projects in Nigeria.

1.2 Aim and Objectives

This research aim is to develop a framework to improve stakeholder engagement in the delivery of PPP infrastructure projects in Nigeria. The objectives are:

1. To conduct an extensive literature review on PPP as a form of procurement for infrastructure projects.
2. To identify the critical success factors in the stakeholder engagement processes in PPP projects in Nigeria.
3. To establish a theoretical framework regarding stakeholder engagement and barriers to engagement in PPP projects.
4. To develop a stakeholder engagement framework suitable for the PPP urban infrastructure delivery model in Nigeria, identifying governance mechanisms that can enhance stakeholder engagement
5. To validate the developed framework.

1.3 Scope and Limitation of Study

This study focuses on urban infrastructure projects procured PPP in Nigeria. The research focuses on urban infrastructure that is both social and economic such as roads, rails, market development, Malls, and housing development among others (see section 2.3.1 of the study for types of infrastructure). Different stakeholders exist that are impacted by urban infrastructure projects; they include internal and external stakeholders. Following the gap in the literature as indicated in the introductory chapter, this study will be centered on developing a framework that can mitigate the challenges and drive implementation of external stakeholder engagement in PPP urban infrastructure projects in Nigeria. The study area is limited to Abuja, the Federal capital territory of Nigeria due to the following reasons:

Abuja is witnessing increased urbanisation due to its status as the capital city of Nigeria, Various PPP projects have been initiated to bridge its infrastructure gap in the city. Thus, there will be easy access to data, availability of substantive PPP experts and availability of suitable projects for the analysis.

1.4 Research Methodology Employed

The objectives of the research informed the choice of methods used in the study. A mixed-method approach was employed to help answer the diverse and extensive range of the research questions relevant to the objectives, and to guarantee comprehensiveness of the research process. Table 1 illustrates the research design adopted. The research was carried out in three phases. The methods used were literature review; questionnaire-based surveys; qualitative interviews; and evidence from documentary sources. Table 1 maps out the summary of the research process. The first phase involves a critical literature review while in the second phase, it involves the collection of primary and secondary data from the field. In the final phase of the research, the theoretical framework is validated using focus groups. Chapter 5 of the thesis discusses in detail the research methodology adopted.

TABLE 1: RESEARCH PROCESS

S/N	Objective	Data collection method	Research method and technique of data analysis	Purpose
1	To conduct an extensive literature review on PPP as a form of procurement for infrastructure projects.	Literature review	Critical analysis of literature	To critically understand urban infrastructure provision and the relevance of PPP delivery strategy as a procurement system to deliver infrastructure
2	To identify the critical success factors in stakeholder engagement processes in PPP projects in Nigeria.	Literature review and primary data collection	Critical analysis of literature, leading quantitative data analysis using SPSS and qualitative data analysis using NVIVO	Identify CSF that will enhance SE process in PPP urban infrastructure projects
3	To establish a theoretical framework regarding stakeholder engagement and barriers to engagement in PPP projects.	Literature review and primary data collection	Critical analysis of literature, leading quantitative data analysis using SPSS and qualitative data analysis using NVIVO	Establish barriers that affect the process of SE in PPP urban infrastructure projects in Nigeria
4	To develop a stakeholder engagement framework suitable for the PPP urban infrastructure delivery model in Nigeria identifying governance mechanisms for stakeholder improvement.	Literature review and primary data findings	Critical analysis of findings from objective 1 to 3	Develop a framework that will enhance the SE process in PPP urban infrastructure projects
5	To validate the developed framework	Semi-structured expert interview	Qualitative analysis	To determine the usefulness of the framework in practice

1.5 Research Structure

To achieve the research flow as indicated in Table 1, the thesis will be structured into nine chapters as briefly detailed below:

- Chapter One: The chapter introduces the subject of the thesis, problem statement justification of research, research question, aims, and objectives of the thesis.
- Chapter Two: The chapter provides an overview of the literature on urbanisation and its impact on infrastructure. It will also investigate the methods of providing urban infrastructure. It also discusses public-private partnership experiences in other countries and Nigeria as a strategy for infrastructure provision. The chapter further discusses the key challenges faced in PPP infrastructure project delivery in Nigeria.

- Chapter Three: This chapter defines the concept of stakeholder engagement and the stakeholder theory. It investigates the different perspectives of stakeholder theories literature. Similarly, the chapter elaborates on the importance of external stakeholder engagement in PPP projects, the principles of engagement, tools, and techniques, and levels of stakeholder. It also discusses the key principles of stakeholder engagement and barriers to stakeholder engagement.
- Chapter Four: This chapter reviews theories that underpin stakeholder engagement in public-private partnership urban infrastructure projects. It discusses the Agency theory, the Corporate Social Responsibility theory, and the Public Policy theory. It also discusses the implication of the theories concerning the governance of stakeholder engagement in PPP projects. The chapter reviews key governance mechanisms that can impact PPP. It concludes with the development of a conceptual framework for stakeholder engagement in PPP Urban infrastructure projects.
- Chapter Five: This chapter will describe in detail the research methodology that has been applied in undertaking this research. The chapter also explains the steps followed and the methods employed by the researcher for data collection.
- Chapter Six: This chapter will focus on a detailed analysis of the collected data from the face-to-face semi-structured interviews and discussion of the qualitative results of the survey to evaluate the practice of external stakeholder engagement in PPP urban infrastructure projects. The chapter will also analyse the underlying motivations of organisations to engage external stakeholders. Additionally, the chapter will identify key governance mechanisms required to foster external stakeholder engagement in PPP urban infrastructure projects.
- Chapter Seven: This chapter presents a cross-case analysis of qualitative and quantitative data. It also discusses the key governance mechanism that can overcome the barriers and facilitate the attainment of critical success factors of engagement. The same chapter presents the refined framework for stakeholder engagement in urban infrastructure projects in Nigeria.

- Chapter Eight: the chapter comprises of the summary of findings, conclusions of the study, recommendations from the study's findings, limitations of the study, and areas for further research.

1.6 Chapter Summary

This chapter provides a background of the aims, and objectives of the research. It also outlines the research process and suggests the research methodology that will be adopted for the study.

CHAPTER 2: LITERATURE REVIEW

2.1 Introduction

This chapter discusses the urbanisation and urban infrastructure delivery strategies. It also highlights the concept of public-private partnerships as a procurement strategy of infrastructure.

2.2 Urbanisation

Urbanisation is an important phenomenon of multidimensional transformation which turns rural societies into modernized societies. By transforming them from less densely populated areas to densely populated urban cities (Oni-Jimoh, Liyanage, Oyebanji, & Gerges, 2018). Urbanisation is synonymous with “urban growth, and urban expansion” (Fox and Bell, 2016; Fox and Goodfellow, 2017). In both academic and policy circles, urbanisation is often used interchangeably with urban growth despite having different meanings. Urbanisation’ is related to an increase in the share of a country or region’s population that lives in urban settlements, while ‘urban growth means a rise in the total size of a country or a region’s urban population (Fox, 2012; Potts, 2012). Urban means town or city and refers to both built-up agglomerations and the way of life (Antrop, 2000). Since the 1930s, urban areas have been created and further developed by the process of urbanisation (Park & Burgess, 2019).

Presently, 55% of the world’s population lives in urban areas, and by 2050, 68% of the world’s population is projected to be urban. Therefore, governments globally must develop strategies to improve the provision of basic services, affordable housing, and infrastructure to meet the expanding population's needs (UNDESA, 2019). The dynamics of urbanisation is a global phenomenon that will continue to reduce the average distance between cities and towns creating a diffusion of urbanisation towards rural areas (African Development Bank, 2016). This trend creates a continuum of towns that make it difficult to separate what is rural and urban (Potts, 2012) and affects all facets of community development, ushering changes in the physical, demographic, economic, and social characteristics (Cobbinah, Erdiaw-Kwasie, & Amoateng, 2015b). It can be said that urbanisation is a product of social, economic, and demographic evolution that concentrates the population in large towns and cities, changing land cover/use, social lifestyle and relations, and economic structure. Urban areas provide far

more economic growth than rural areas. As illustrated in Figure 1, presently, over 75% of the global GDP is generated in over 2,000 cities. Whereas 600 cities (The city 600) account for 62% of global GDP out of which 35% are accounted for by 100 cities (The city 100).

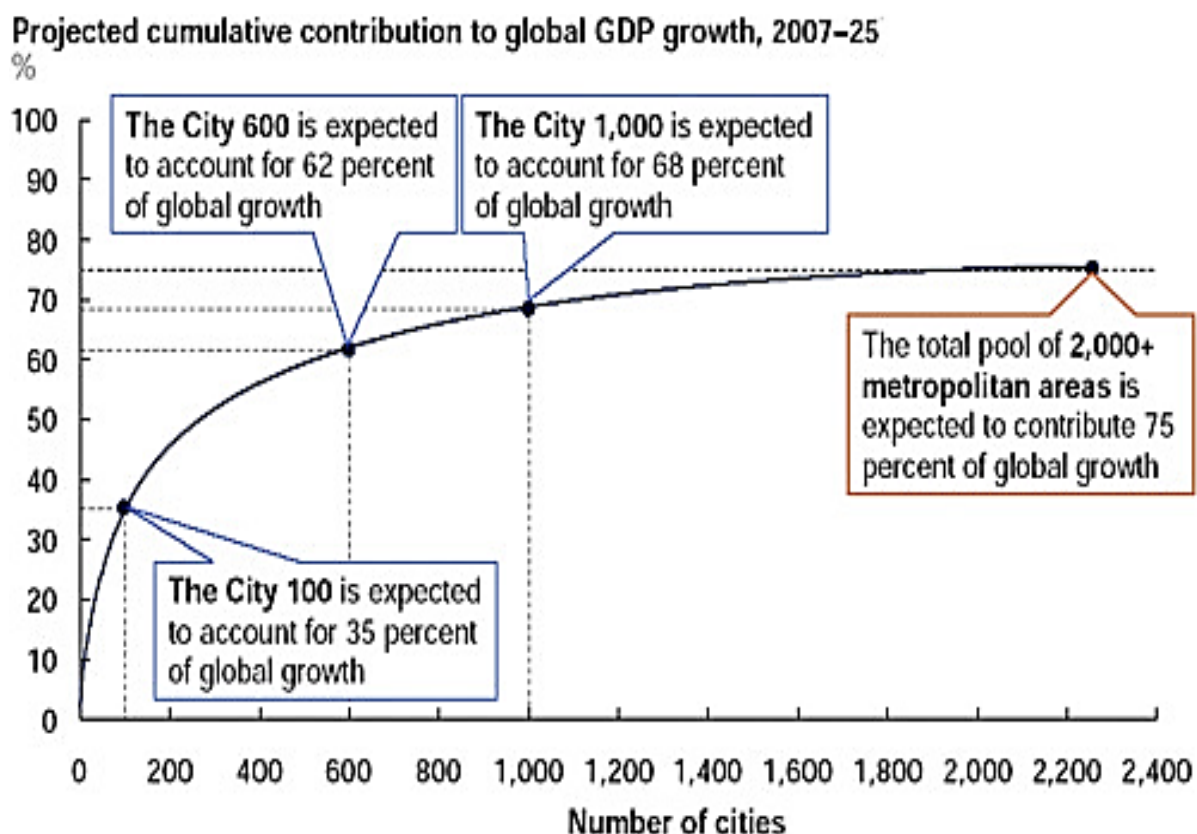


FIGURE 1: PROJECT CONTRIBUTION OF GLOBAL GDP GROWTH OF CITIES 2007-2025 (CADENA, DOBBS, & REMES, 2012)

However, urbanisation can either stimulate or impede the growth and development of urban areas in both developed and developing countries if not harnessed properly (Cobbinah, Erdiaw-Kwasie, & Amoateng, 2015a). In the developed world, urbanisation is historically linked to economic growth (Henderson, Roberts, & Storeygard, 2013). However, since the end of the Second World War, developing countries are increasingly becoming urbanised (Glaeser, 2014; Glaeser and Henderson, 2017). Such countries include Bangladesh, Pakistan, Kenya, Nigeria, and the Philippines which are presently fast becoming urbanised with some of their cities having up to 11 million inhabitants. The prevalence of poor mega-cities today

runs counter to historical experience. In the past, the world's largest cities were almost all in the most advanced economies (Jedwab & Vollrath, 2019).

The rapid growth of urbanisation without commensurate growth of the economy a society leads to many challenges in societies. These internal urban challenges erase part of the benefits that come with urbanisation which are the worst indices for poor people that reside in urban areas. For example, it causes an increase in slum build up and stifling of economic activities for business especially that of the urban poor (Iimi, 2005). The impact of the challenges of urbanisation can lead policymakers to be confused about the extent of the issues and what are the appropriate policy responses might be (Fox, 2014; Fox and Bell, 2016; Fox and Goodfellow, 2016). In the recent past, there has been a renewed emphasis on the role of infrastructure as a driver for poverty reduction and competitive advantage of urban areas (Prud'Homme, 2005). How cities prevent the negative impact of urbanisation depends on policies and enabling environments that are put in place (Cadena et al., 2012).

2.2.1 Relationship between Urbanisation, Infrastructure and Sustainable Development

The World Commission on Environment and Development (WCED) recognised sustainable development as “meeting the present need of humankind without compromising the ability of future generations to meet their own needs” (WCED, 1987, p. 43). Sustainability is often linked to economic, social, and environmental concerns (Wojewnik-Filipkowska and Egrzyn, 2019). The United Nations' Sustainable Development Goals (SDGs) based policy has reiterated that the provisioning of adequate infrastructure is key to actualising SDGs and empowering societies globally (Aizawa, 2020).

Urbanisation has diverse impact on each society's historic, economic, environmental, structural, and cultural background. The key determinant for the support for sustainable urbanisation is infrastructure, and the impact of the lack of infrastructure on inequality and economic capacity of citizens has attracted increasing national and academic attention in recent years (Yach, Mathews, & Buch, 1990; Brakman, Garretsen, & van Marrewijk, 2015; Concepción, Moretti, Altermatt, Nobis, & Obrist, 2015; Miller & Hutchins, 2017). As illustrated in Figure 2, the phenomenon is connected to increased movement and

concentration of people within the greater urban areas; altering physical surroundings, increases the need for employment and education socio-cultural changes healthcare needs, housing, and transportation. Infrastructure is fundamental in an urban setting because it aids network creation, flux conveyance, and induces a change in urban areas. Numerous authors confirmed that infrastructure transforms human settlements from *loci* of small city-states reminiscent of ancient Greece into new centres of cultural and commercial activities of the new era (Bilgili, Koçak, Bulut, & Kuloğlu, 2017; Lin & Du, 2015; Neuman & Hull, 2009). In urban areas, the first fundamental requirement is infrastructure because it provides crucial requirements for the proper function of an urban area such as water, electricity, and telecommunications.

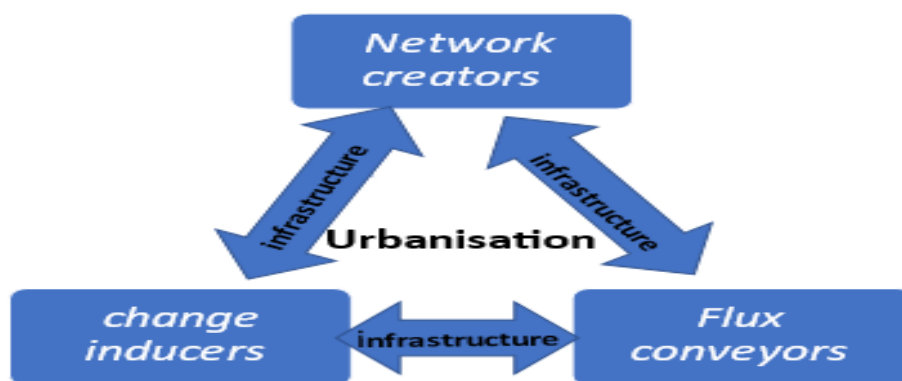


Figure 2: Relationship between urbanisation and infrastructure (adapted from Neuman and Hull, 2009).

Theoretically, the impact of infrastructure provision may be disproportionate on the poor when compared to the collective income of the residence of an urban area (Cobbinah et al., 2015a). This is because infrastructure is an enabler of all economic activities engaged by the urban poor. It enhances human capital by improving wellbeing and education outcomes. Additionally, it improves the integration of people into social and economic life (Lloyd-Jones & Rakodi, 2014; Palei, 2015; Maria, Acero, Aguilera, & Lozano, 2017; Hashmi, Ishak, & Hassan, 2018; Misra, 2019). The findings of Cobbinah et al. (2015a) and McArthur (2017) indicate that poor families in Latin American countries, frequently devote over 5% of their earnings on water and over 7% on electricity. Also, most urban poor run small-sized businesses that are dependent on infrastructure to survive because it constitutes a major

portion of their overheads. Straub (2008) asserts that the survival of small organisations depend on the existence of adequate and affordable infrastructure.

Therefore, their availability and affordability are important for sustainable livelihoods in cities. As illustrated in Table 2, the value generated from infrastructure arises, not just as a facilitator of economic activities, but as the provider of employment in the process of construction and operation of infrastructure services in urban areas (Cobbinah et al., 2015a; McArthur, 2017a). Invariably, this means that the construction and operation of infrastructure can foster economic and social benefits to the citizen of an urban area. Hence proper infrastructure planning can support the growth and liveability of the citizens of an urban area by aligning broader socio-economic decisions which physical infrastructure systems deployment.

TABLE 2: ECONOMIC AND SOCIAL BENEFITS OF INFRASTRUCTURE

Type of benefit	Specific benefits
Economic	Employment in the construction industry and other related industries – this puts money into the local community through local businesses, taxes and council spending. It also
	Creation of wealth and jobs through property development – the growth of buy-to-lets has developed new businesses and created jobs in refurbishment and property maintenance.
	Home ownership – the value of homes increases, meaning that homeowners get a good return on their initial purchase.
	New developments attract further commercial opportunities – this brings further economic wealth into an area after the initial development is complete.
	Economic migration – a booming construction industry attracts workers from other countries. This then allows more construction to take place.
Social	Inner city regeneration of run-down areas – unsightly buildings are demolished and replaced, regenerating an area and injecting new growth.
	Lower crime – better planning and construction makes an area attractive and safe.
	Affordable housing – planners now have to include this type of housing in any new housing development. This allows people to own their own homes more easily.
	Reduction in pollution – the inclusion of alternative transport, trams, buses and light railway networks reduces reliance on cars.

Source: (Prud'homme, 2004)

In recent times, infrastructure has increasingly been utilised as an economic stimulus tool deployed, to revamp failing economies. During the global financial meltdown from 2007 to 2008, both developed and developing countries invested about 40% of their stimulus into infrastructure funding while advanced economies spent 21% (International Labour Organisation, 2011). Several pieces of research have confirmed the causality between expansionary infrastructure policies with the improvement of the economic performance of a country (Lorde, Waithe, & Francis, 2010; Odhiambo, 2010; Sami, 2011; Shahbaz, Mutascu, & Tiwari, 2012; Solarin & Shahbaz, 2013). In the Scottish construction sector, for example, the indirect impact of core construction has a multiplier of 1.6. It is evaluated that each £1 spent on construction generates a total of £2.84 (over 56%) in the economic activity of the country (Scottish Parliament, 2019). In the European Union, the process of infrastructure provision provides about 18 million direct jobs and contributes to about 9% of the EU's GDP (European Commission, 2019). Therefore, if the lack of infrastructure or low-quality infrastructure is a key constraint on development and economic activities, then, increased expenditure on infrastructure may ultimately stimulate innovation as well as economic and social benefits.

However, the optimal level of infrastructure required by society is an issue of contention. Samuelson (1954) posits that the level of infrastructure capital for a particular society is ideal when supplementary infrastructure delivered through private sector efforts shrinks social utility. Again, marginal benefits (economic and social) surpass marginal infrastructure expenditure when provided in surplus and can consequently lead to subsidising the cost of doing business within the society. Consequently, this diffuses economic advantages to less viable businesses, increasing their chances of prospering. On the contrary, infrastructure deficit stifles the enabling services and networks required to aid a functional economy, leading to an economic failure (Agénor, 2010; Samuelson, 1954). A substantial level of infrastructure network expansion would raise productivity in society and permit it to reach high economic growth (Agenor, 2013). Banyte (2008) also identifies infrastructure as the factor that determines successful diffusion and adoption of innovation in the market. However, infrastructure shortages have become increasingly serious as a result of the

growing population and the modernisation of the global economy, especially in developing countries such as Nigeria (Wang et al., 2019).

It can be said, that, infrastructure is fundamental to production and other economic activities. It also supports the wellbeing and comfort of the inhabitants of an area and helps to diffuse economic benefits to the poor. The following part of the thesis will investigate the definition of infrastructure, the types, and delivery strategies.

2.3 Urban Infrastructure

Urban infrastructure comprises of a socio-technical system of facilities and services, such as power supply, the Internet, telephone services, pipe-borne water, refuse collection, health and education facilities and housing and others, which are important to the basic operation of towns and districts (Dong et al., 2018). They consist of capital goods that are not consumed directly; they provide services only in combination with labour and other inputs (Prud'Homme, 2005). They share some common characteristics; they have a high fixed cost, long economic life, the potential to dominate a market, and to interact with other infrastructure projects (Office for National Statistics, 2017). “Infrastructure is the physical network that channels a flux (water, fluid, electricity, energy, material, people, digital signal, analogue signal, etc.) through conduits (tubes, pipes, canals, channels, roads, rails, wires, cables, fibre lines, etc.) or a medium (air, water)”. Infrastructure “consists of a long-lasting network connecting producers and service providers with a large number of users through standardised (while variable) technologies, pricing, and controls which are planned and managed by coordinating organizations” (Bishop and Phillips, 2014).

However, from an economic perspective, infrastructure can be a system that supports manufacturing, service provision, trade, and investment. Additionally, the perspective of infrastructure from the economic viewpoint is not limited to soft infrastructures such as public policy and bureaucratic processes but also services such as information technology that support the operation of urban areas (Bhattacharyay, 2009; Yumi, 2017).

2.3.1 Categorisation of Urban Infrastructure

Infrastructure could be categorised as economic or social. Economic infrastructure includes transportation, electricity, communication and water, and other services or the systems that are important for the economic activity of people. On the other hand, social infrastructure includes housing, educational and health services, and other services and systems which are socially inclined (Infrastructure and Projects Authority, 2016). Frank and Martinez-Vazquez (2014) suggest that infrastructure can be classified as a network or point. They note that a ‘network infrastructure’ includes roads, bridge telecommunications, energy infrastructure and so forth, while a ‘point infrastructure’ includes health facilities and educational facilities and so on, which is more common to the social sector and requires human capital to provide optimal services to its citizens, such as instructors and medical practitioners. As illustrated in Table 3, Buhr (2003) identified infrastructure based on human “wants” such as water, warmth, light, health, shelter, security, information, education, and mobility see table 3 below.

TABLE 3: MATERIAL INFRASTRUCTURE AND PHYSICAL REQUIREMENTS TO MEET SUSTAINABLE URBAN LIFE

Want	infrastructure output (good or service)	material infrastructure
Physical requirements		
Water	drinking water, water for industrial uses, irrigation water, water for generating hydro-electric power	reservoirs, canals, waterways, pipes, irrigation facilities
Warmth	gas, oil, electricity, coal, nuclear energy	drilling platforms, pipelines, generation plants, coal mines
Light	electricity, gas	generation plants, drilling plants, circuits, pipelines
Health	medical care, refuse collection, waste water disposal	hospitals, dumps, sewerage systems
protection against nature, shelter	accommodation, working places, flood protection	houses, buildings, plants, levees
Social requirements		
Security	legislation (laws), judiciary, stability of the value of money, protection against crimes, outward defense, military goods	public buildings, police stations, military installations
information	usage of telephones, mobile phones, radios, television, Internet, newspapers	telecommunication facilities, post offices, newspaper production works
education	child care, lectures, research, lending out books	kindergartens, schools, universities, research institutions, libraries
mobility	usage of roads by cars, buses, trucks	roads, highways
	usage of tracks by trains	Tracks, train stations
	usage of airports by airplanes	airports
	usage of ports by ships	Ports
environmental protection	clean air and water	air purification filters, waterworks

Source (Buhr, 2003)

Torrise (2009) argues that the priorities for infrastructure need depend on the region of the world and the requirements of their citizens. For example, in less developed countries, many attach more importance to basic infrastructures, such as water and irrigation, while in developing countries the demand for transport and social infrastructure is greater. Similarly, in highly developed countries, electricity and ICT are of greater significance. However, Buhr (2003) has outlined that to achieve the optimal outcomes from infrastructure provision, three crucial tactics are required to be applied. Firstly, it should serve as a medium for economic diffusion that is the economic process through the provision of mechanisms that can support entrepreneurship, skilled and unskilled labour opportunities, capacity building, and so on. Secondly, it serves as a medium for satisfying long and short-term educational requirements. Thirdly, it should serve as a medium that fosters social interaction. Therefore, policymakers

must select or encourage the procurement of an appropriate form of infrastructure that suits the present stage of a country's development and context and also embed appropriate mechanisms that will ensure citizens derive value for money (Perkins et al., 2005; Lee, 2015; National Infrastructure Commission, 2017).

2.3.2 Urban Infrastructure Procurement Systems

The process of urban infrastructure procurement is synonymous with “building procurement method, procurement form’ and procurement path” (Masterman, 1995). A procurement system is a combination of activities undertaken by a client to obtain an infrastructure (Franks, 1984; Ogunlana, 2003). Rwelamila (2000) views it as a structured process put in place by a client for the effective delivery of infrastructure projects. However, Adjei (2016) & Rahmani (2017) suggest that a procurement system is the set of agreements prepared to guide the execution of an infrastructure project which must enable the client to meet the objectives set to be realised upon completion of the project. McDermott (1999) adds that a procurement system must foster improved technology adoption and process and provide a platform for learning and skill development.

A variety of procurement systems exist with different arrangements that differ in terms of how responsibility is apportioned, the sequence of activity, processes, procedures, and the organisational approach in project delivery (Ali, Stephenson & Griffith, 2011). The variances in procurement systems impact on project delivery performance (Tang, 2019). Infrastructure could be delivered through community effort, private effort, or by the government (see figure 3). In earlier times, infrastructure has been delivered through community efforts where a group of individuals with a common interest delivers infrastructure to serve their common good. Similarly, there were private endeavours by business interests to deliver infrastructure for economic gains. However, the community efforts lacked sustained efforts and the quality of the infrastructure delivered remained poor and inadequate (Rao, 2004; Akin, 2016). On the other hand, the private efforts were more profit-oriented and where provided, they had high potentials for segregation and unaffordability to some segments of the society (Charoenngam, 2014). Going back to 1761, the government in cities like London and Stockholm saw the need to standardise urban infrastructure provision through standardisation of designs and paving of street spaces and other infrastructures services such as the provision of street

naming and illumination (Ogborn, 1999; Whiteman, 1990; Constantinides, 2012). Presently, one of the major essences of governments globally is to cater to the welfare of its citizens through infrastructure delivery (Wilson, 2017); therefore government participation in infrastructure provision remains the most viable form of infrastructure delivery strategy to deliver welfare to all its citizens. The following part of the thesis will discuss infrastructure procurement strategies adopted by the government to deliver infrastructure.

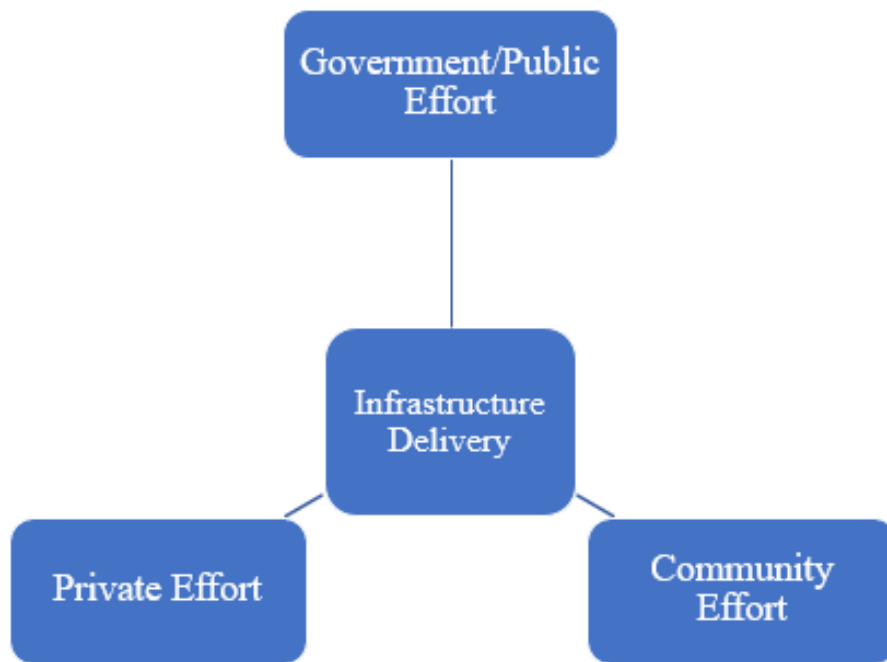


FIGURE 3: INFRASTRUCTURE DELIVERY STRATEGIES (RESEARCHER’S CONCEPT)

3.3.3 Public Infrastructure Procurement System

The procurement of infrastructure by the government has been majorly through conventional methods until after the Second World War (1939–1945) (Miller, 2013). According to Kwakye (2014), in the conventional system design and construction are separated and each phase of construction is managed independently. This procurement method is characterised as a sequential approach. As detailed in Figure 4 below, a sequential approach is divided into pre-contract and post-contract stages. The precontract stage involves activities such as design briefing, documentation, and tendering. While the post-contract stage involves activities such as construction and commissioning of the infrastructure project. Activities in the precontract stage are each completed before moving to the post-contract stage.

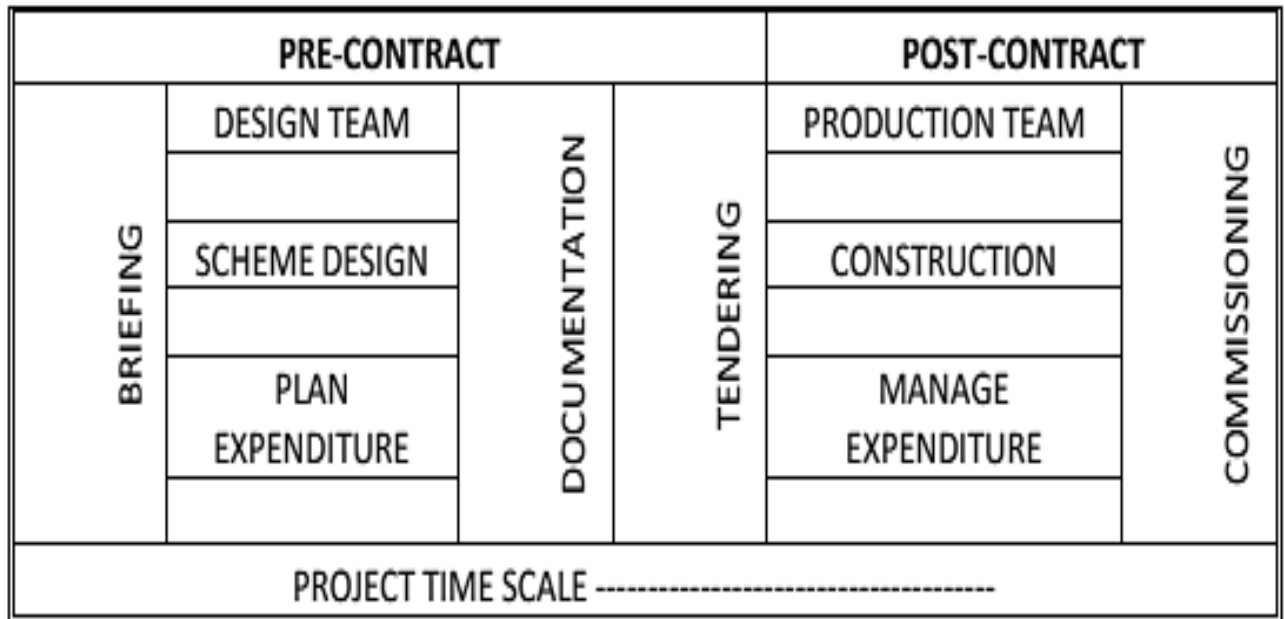


FIGURE 4: SEQUENTIAL STAGES OF CONSTRUCTION PROCUREMENT (ADAPTED FROM KWAKYE, 2014).

Following that second world war era, numerous procurement systems have emerged. The growing adoption of these procurement systems was a result of the dismal performance of the traditional procurement types (Pietroforte & Miller, 2002). The second phase was a time of economic decline which saw a gradual shift from traditional to non-traditional procurement systems. The third phase was ushered in by the global economic recovery which saw experienced clients adopting the design and build and management-orientated systems. In the fourth phase, new systems emerged which had been hybrid of both traditional and modern construction procurement systems (Pietroforte & Miller, 2002).

Masterman (2002) categorised the main procurement systems into four different segments: First, the separated procurement system; second, the integrated procurement system; third, the management-oriented procurement system and fourth, the discretionary procurement system. In an earlier contribution, Miller (1995) asserts that procurement systems can be classified into two, based on the type of project delivery system and the choice of project finance method. According to Pietroforte and Miller (2010), in the first dimension, funding responsibilities (financial risks) for constructing, running, and maintaining a facility are

shifted from the government partner (direct funding) to private partners (indirect funding). In the second dimension, the various stages of the infrastructure lifecycle are procured separately (segmented procurement) or combined (combined procurement).

Howes and Robinson (2005) also presented an infrastructure procurement framework made up of four quadrants namely: A1; A2; B1 and B2 quadrants (see Figure 5). Within the A1 quadrant procurement systems, projects are fully funded by governments or public entities with the governments having the dormant control over the project. Procurement methods that fall within this quadrant include traditional methods, design and build, fast track, fee contracting, construction management, and term contract. On the A2 quadrant, procurement systems that fall within this category such as design and build, packaged deals, and turnkeys are characterised with government control. However, the obligation for design and construction lies with a single contracting company (Masterman 2002; Pietroforte & Miller, 2002). While in the B1 quadrant, the procurement, systems within it are characterised by reduced government control and risk burden. Procurement systems within this quadrant include build-operate-transfer (BOT); partnering; design-build-operate and transfer (DBOT) and joint ventures. Whereas in the B2 quadrant, procurement systems are characterised by the divestiture of risk and financial responsibilities from the government to the private sector (Delmon, 2010). These procurement systems include design-build-own-operate (DBOO); design build-finance-operate-manage (DBFOM); build-own-operate (BOO); private finance 2 (PF2) and design-build-finance-operate (DBFO) models (Howes & Robinson, 2005; Delmon, 2010).

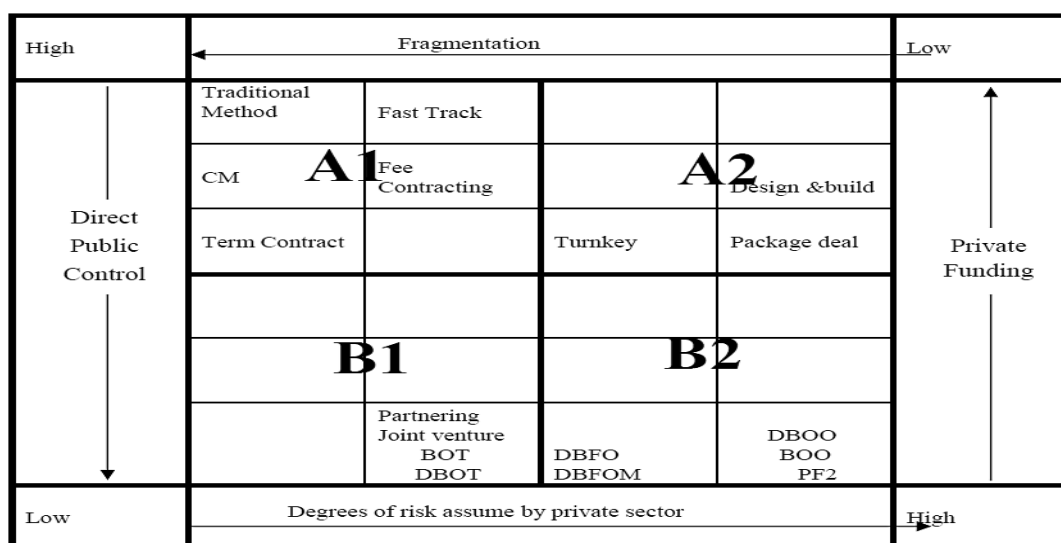


FIGURE 5: INFRASTRUCTURE PROCUREMENT FRAMEWORK (HOWES & ROBINSON, 2005, P. 120).

The Latham Report (1994) revealed that traditional construction strategies were adversarial and there was the need for adoption of more innovative procurement strategies. Following his report, many countries have shifted to a collaborative construction project as a way to eliminate the challenges experienced in traditional procurement systems, such as funding and opportunism and conflicts inherent in the traditional procurement system. Again, the uncertainty of urban growth implies that investment decisions by governments need to consider alternative interventions for infrastructure expansion (McArthur, 2017). From the assertion of Miller and Masterman, there is a need to consider an integrated approach to infrastructure procurement in developing countries such as Nigeria.

Globally, three new procurement systems are increasingly being adopted. They include project partnering, project alliancing, and integrated project delivery which are also referred to as PPPs (Lahdenperä, 2012). The following part of this study shall focus on the PPP procurement strategy which falls within the B1 and B2 quadrant as illustrated in figure 5 above. This because they fall within the quadrants of an integrated approach to infrastructure procurement that fosters corporation with the private sector with less control by the government in contrast with the other procurement systems that are traditional and adversarial with high government control.

2.4 Public-Private Partnership PPP

Public-Private Partnership (PPP) is the utilisation of the resources of a public authority and that of a private entity to provide a public service (Delmon, 2017). It involves risk-sharing through the design of hybrid organizations and contracting out management and provision of government business to private entities (Schelcher, 2005). It is a relationship in which public and private resources are merged to realise a goal or set of goals judged to be mutually beneficial to the private and public partners (Jensen, 2016). The goal of PPP infrastructure delivery is due to the need to bridge financial and managerial capability in both centralised and decentralised infrastructures (Davoodi and Tanzi, 2002).

The adoption of PPP in the form of private finance initiative (PFI) to deliver public infrastructure in modern times was in Australia and the United Kingdom in the 1990s (Hodge, Greve and Boardman, 2017). For example, in Australia, notable urban infrastructure projects financed through PPP include the City Link Project in Melbourne and Sydney's Cross City Tunnel and in the United Kingdom, the Thames crossing and the London underground expansion have been financed through PPP. Both countries have also used PPP finance projects in health, education, and prison among others (Vries and Yehoue, 2013; Jefferies and Rowlinson, 2016). Similarly, in Europe, the United States of America (USA), Canada, and China, the adoption of PPP is on the rise (Long & Wang, 2016; Hodge, Greve & Boardman, 2017). In the developing world, success stories of the adoption of PPP in countries such Malaysia, India, South Africa, and Nigeria have been reported in the area of urban infrastructure provision such health, housing and transportation services (Yang, Hou & Wang, 2013; Ismail & Harris, 2014; Tsukada, 2015; Walwyn & Nkolele, 2018). However, some scholars have argued that the adoption of PPP in certain instances was not carried out to deliver value for money but rather as a quick way to fulfill the political promises due to the short time frame of politicians in power (Bahl and Bird, 2013; Osei-Kyei and Chan, 2015). It can be associated with a range of issues such as opportunism, lengthy procurement process, and high transaction cost (Liu and Wilkinson, 2014; Thomassen et al., 2016). This implies that the wrong practice of PPP can create political hurdles that can affect its acceptability by the public, however, identifying bankable projects and the right form of PPP to execute such projects can improve its success and acceptability.

2.4.1 Forms of PPP

There are a range of forms of PPPs that can vary by degree of private participation (see Figure 6)



FIGURE 6: DEGREE OF PRIVATE PARTICIPATION IN INFRASTRUCTURE PROJECTS
(DELMON, 2010)

- I. **Design & Build (D & B):** This is an integrated method of project delivery that combines design and construction services into one contract with the private entity as the single point to carry out the responsibility (Chen, Jin, Xia, Wu, & Skitmore, 2016). The option has some merits over the traditional contract but could pose some risks at the operational phase of the infrastructure project for the government partner and hence it may not provide full “value for money” (Ramsey, El Asmar, & Gibson, 2016).

- II. **Private Finance Initiative (PFI):** A typical PFI project involves the setting up of a consortium of stakeholders to finance, build, and operate infrastructure. As practiced in the UK since 1992, the government pays for services rendered to the public on its behalf, or user fees are charged by the consortium to recoup its investment (Khaderi & Shukor, 2016).

- III. **Design, Build, and Operate (DBO):** It is the integration of designing, constructing, and operation of infrastructure in a single contract (Merna & Njiru, 2002). The financing usually comes from the public sector arm of government and the ownership of an asset is retained by the public sector whereas, the obligation for the building of infrastructure and its operation through a defined period is the responsibility of the private partner (Merna and Njiru, 2002). Upon the expiration of the contract period, the contract could be

renewed, or the facility is returned to the public sector (Federal Transit Administration, 1999; Zhang & Kumaraswamy, 2001).

- IV. **Operational Contracts (O&M):** O & M are contracts that usually span beyond twenty years upon which the facility is returned to the public entity (Tsang, 2002). Existing public infrastructure is given a concession to a private entity that runs and maintains infrastructure. The partnership could sometimes include upgrading or refurbishment (Lai & Yik, 2007).
- V. **Design, Build, Finance, and Operate (DBFO):** The private entity has the contractual obligation for designing, building, financing, and operation of the infrastructure. The private partner's investment is recovered through user-pay fees (McArthur & Sun, 2015).
- VI. **Build, Own, and Operate (BOO):** The private entity independently builds, owns, and operates the facility. In this form of partnership, there is no direct financial contribution from the public entity however, there could be leverages such as tax exemptions to improve return on investment of the private entity (Bernstein, Gonzalez, & Heikal, 2016).
- VII. **Private Finance Initiative (PFI):** Private Finance Initiative (PFI) is a subcategory of PPP (HM Treasury, 2003; Smyth and Ekins, 2007; Institute for Government, 2017). The PFI model has grown in popularity and use globally as a framework for infrastructure delivery. According to RICS (2011), the United Kingdom (UK) is the leader in the use of PFI as an infrastructure delivery since 1992. Other countries have also adopted the strategy such as “Australia, Canada, Finland, France, Ireland, Japan, Malaysia, the Netherlands, Norway, Portugal, Spain, the United States, and Singapore” (RICS, 2011). In the UK, under the PFI the government (public sector) does not get involved in the construction of facilities and infrastructure such as schools, hospitals, and others (Akbiyikli and Eaton, 2006). Rather, the government purchases and regulates the services or infrastructure provided. The government usually provides a minimum guarantee to the private sector for the infrastructure or service delivered (Li and Akintoye, 2003). In effect, the private sector makes money from its investment through government

patronage. Again, the government at all levels taps from the skills of the private sector (Akintoye and Beck, 2009).

VIII. **Divestiture:** Under this model, the government agrees for the private entities to take ownership of an existing infrastructure facility or build a new one. The private entity will have control over all the asset maintenance and operations. However, the government takes regulatory oversight to ensure that end-user charges and service standards are within agreed standards and threshold (Kirkpatrick, Parker, & Zhang, 2004; Choudhary, Singh, & Gupta, 2019). They can come in a variety of structures, for example, Regulatory Asset Base (RAB) partnership where a tariff plan is agreed upon over a long period between the government and the service provider. It is aimed primarily at encouraging investment in the development and upgrading of infrastructure (Davis, 2019). The license to operate and tariff is set by an autonomous regulator who ensures that services and expenditures are in the interest of the users. Divestiture is usually adopted for infrastructure assets such as water, gas, and electricity networks to prevent monopoly. In 2016, the model was applied successfully for the first time to a single asset construction project of the £4.2bn Thames Tideway Tunnel (TTT) sewerage project (Department of Business Energy & Industrial Strategy, 2019).

The procurement systems relevant to PPP are characterised by varying structural complexities and challenges. Further not all infrastructure investments lead to economic growth (maybe in the short run) especially if it fails to capture stakeholder expectations (Ansar, Flyvbjerg, Budzier, & Lunn, 2016). Therefore, the decision to embark on an infrastructure development project and the choice of procurement system should be based on the needs of stakeholders in the infrastructure project to be delivered based on specific country of project context (Delmon, 2010; Carbonara, Costantino, & Pellegrino, 2016). This implies that countries that do not have wide experience in PPP infrastructure delivery strategies such as Nigeria should ensure that PPP projects suit the requirements of its citizens. This will ensure that the full benefit of the project is realised both in the short and long run.

2.4.2 Global Experiences and Challenges of PPP

There has been a rise in the adoption of PPPs as a procurement system for infrastructure by governments globally (Leininger, 2006; RICS Policy Report, 2012). It has been reported that

about 135 countries now adopt the procurement system as a strategy to build new infrastructure or improve existing stock with an investment magnitude of over \$158 billion globally (World Bank Group, 2016b). The major countries known to have established PPP as a procurement strategy for infrastructure include UK, USA, Canada, Spain, South Africa (Eggers & Startup, 2006). However, most recently, the top five countries with PPP infrastructure investment commitments include Argentina, Brazil, China, India, and Mexico (World Bank Group, 2018). Therefore, it is essential to elaborate summarily on the PPP's environment and challenges in some of the countries.

2.4.2.1 UK Experience

The UK economy has been greatly impacted by the adoption of PPP to deliver public infrastructure and service. Presently, over 705 PPP projects through the PFI initiative worth over £56.6 billion are active (HM Treasury, 2018b). PFI over the years, has contributed a reasonable part of the infrastructure expenditure of the UK government. For example, between 2016-2017, the UK government has incurred an average of £10 billion in charges towards PFI projects representing 0.5% of its GDP with substantial outstanding PPP obligations based on existing contracts amounting to £200 billion from now and beyond 2040 (Wolf, 2018). Following the relative successes of PFI in the UK, numerous countries are beginning to adopt the strategy to procure infrastructure projects (Khaderi & Shukor, 2016).

However, the adoption of PFI and PF2 as a strategy to deliver infrastructure has slowed down in recent years. For example, 86% of the present active projects were signed before 2010 (House of Commons, 2018). Also, increasing stakeholder concerns has caused the UK government to halt the adoption of PFI strategies for new projects since 2018. However, the government of the UK will continue to meet the obligations of current contracts through their project life cycle. Though, other forms of PPP such as “Contracts for Difference, the Regulated Asset Base Model, and the UK Guarantee Scheme” have recently been adopted as an option to PFI by the UK government as an option to PFI (HM Treasury, 2018a; Davis, 2019).

The gradual shift away from PFI infrastructure strategy can be linked to the inability of the UK government to fund certain PFI obligations. For example, “the priority school program has a funding shortfall of £1.7 billion”. Similarly, “the Future Force 2020 scheme, the military accommodation, and the rolling stock for the Crossrail project” each have a financial shortfall of £1.2 billion that the UK government has been unable to pay its private partners. (*The Economist*, 9 March 2013, 30–32). Also, a report published by “the Public Accounts Committee of the House of Commons”, stated that investors in PPP projects make too much profit which resulted in massive financial liabilities to public authorities. The report concluded that it could not identify the value for money realised in a lot of PPP projects in the UK (Willems & Van Dooren, 2016). Again PPP/ PFI projects in the UK have suffered from poor management of stakeholder relationships (Smyth & Edkins, 2007). All these issues add up to the growing negative perception of PFI as an infrastructure delivery strategy in the UK in recent times.

2.4.2.2 United States’ Experience

PPPs have been adopted in the United States (USA) for over three centuries. For instance, as early as 1792, a gravel road was delivered in Lancaster Turnpike and the intercontinental railroad in 1869 (Smith, 2009). There is no standard approach to the delivery of PPP in the USA as opposed to the UK where the standardised approach is the PFI strategy. Besides, the USA operates a decentralised management system. In the USA, approval for PPP projects must be granted by Congress before any agency of government can carry out a PPP project (Smith, 2009). Therefore, capturing the entire amount of PPP projects carried out in the USA will be difficult. However, PWC (2016) reports that “between 1985 and 2010, a total of 363 PPP projects have been recorded, with a total value of US\$59.5 billion”. PPPs in the US are predominantly toll road concessions. Though, government entities and investors in the USA are now coming together on a much broader range of projects, including social infrastructure. But in consideration of the size of the US economy, which is six times bigger than the UK economy, it can be said that the full potential of PPP is yet to be utilised to deliver infrastructure in the USA. There are indications that PPP is witnessing a growth in the USA, for example, in 2015, five deals were closed while in 2016, nine deals were closed (InfraDeals, 2015; PWC, 2016).

The slow maturity of PPP “enabling institutions, legal frameworks, and governance structures” is affecting PPP growth in the USA (Casady & Geddes, 2019). Similarly, laws relating to PPP do not offer adequate incentives, transparency, and accountability to successfully deliver a coordinated PPP program (Geddes & Reeves, 2017; Reeves, Palcic, Flannery, & Geddes, 2017). In the USA, certain projects have experienced challenges of devious conduct by key stakeholders and the transaction costs were also huge; for example, California freeway SR 91 Express Lanes which had been opened in 1995. Highway project viability projections can be difficult. Because while construction cost can be predicted the actual traffic flow can be unpredictable. For example, the Dulles highway construction was on budget and time. However, traffic levels were lower than projected (30% of the projection was realised in reality) (Vining, Boardman & Poschmann, 2005). PPP in the USA has suffered setbacks due to poor management of stakeholder relationship management (El-Gohary et al., 2006).

2.4.2.3 Australian Experience

Australia is a global leader in PPP project delivery with a strong focus on value for money (Utz, 2013). English (2006) asserts that the Australian PPP market is mature with over 127 projects with a total value of AU\$35.6 billion spread across both social and economic infrastructure in the transport, education, and utility sectors since 2005. According to Infrastructure Partnerships Australia (2019), road and social infrastructure are the most common types of infrastructure delivered through PPP, followed by renewable energy generation, passenger rail, and water infrastructure (Infrastructure Partnerships Australia, 2019).

However, Australia operates a rigid PPP framework with few PPP models in use which decreases its potential for more PPP projects (Utz, 2013). Also, despite its experience and expertise, some PPP projects in Australia are facing challenges. An example is the ‘East-West Link’ is a large PPP infrastructure project that was recently terminated (VAGO, 2015). Similarly, the ‘Sydney Light Rail’ project is also experiencing both technical and non-technical challenges (Casimir & McDougall, 2018). The key challenges affecting Australian PPP projects are related to lack of skills of key stakeholders, the huge cost burden on the public, poor public accountability and engagement, the efficiency of the

Treasury office, and balancing competing interests within public agencies which limit decision making within the guidelines which govern PPP in Australia (Mwakabole, Gurm, & Tivendale, 2019).

2.4.2.4 Chinese Experience

China is increasingly adopting PPP to deliver infrastructure, especially with the wave of urbanisation. China presently has projects worth over US\$326 billion delivered through PPP. As elaborated in Figure 7, based on 2017 evaluations, between 2010 and 2016 over 2,000 projects have been delivered through PPP (Zhao, Su, & Li, 2018).

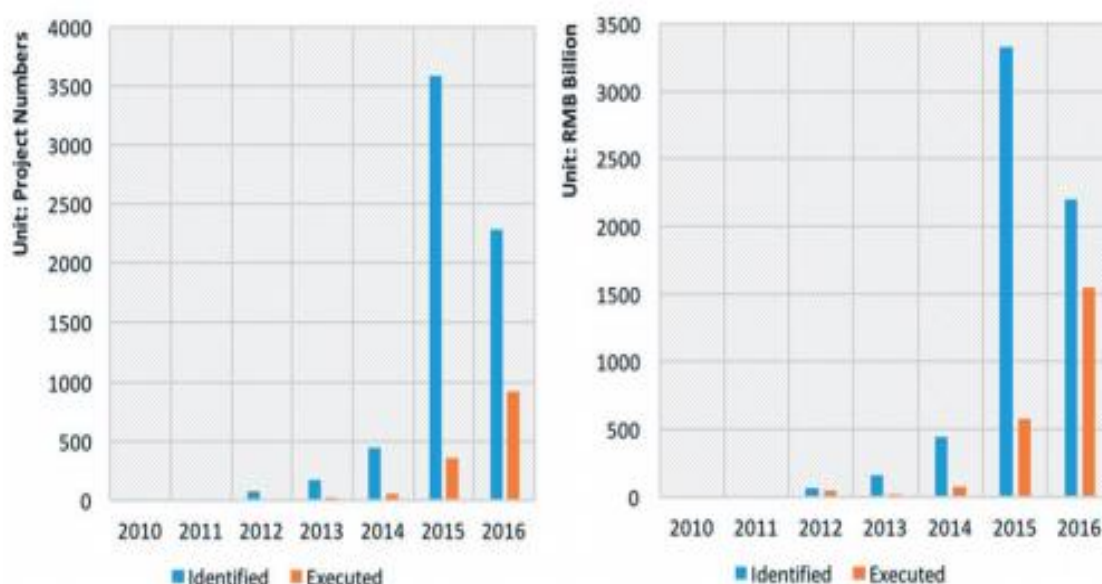


FIGURE 7: RECENT DEVELOPMENT OF PPP IN CHINA (2010-2016)

PPP in China evolved through various phases. The first wave of PPP expansion took place in the 1980s. The first PPP attempt in China was the power plant construction in Shenzhen (Zhang, Gao, Feng, & Sun, 2015). In the second phase, PPP implementation, which occurred in 1997, over 36% of the total infrastructure investment was delivered through PPP. However, the share of PPPs in infrastructure provision quickly dropped to 13% in 1998 and 11% in 2002 following the Asian economic crises and due to issues such as poorly structured existing PPP projects which have overburdened the government with too many risks and financial commitments (Chen & Doloi, 2008). The third wave of PPP activities was impacted

by the end of the world economic crisis of 2008 and the ballooning local debts of municipalities. Due to rapid urbanisation and increasing need for infrastructure, the central government saw the need to intervene. This ushered in the second phase of PPP implementation in China which was based on learning from previous mistakes and establishment of a regulatory PPP framework that brought about the establishment of rules at local and regional levels. This phase of PPP development eventually improved the growth of PPP in China as an infrastructure procurement system (Zhao et al., 2018).

However, despite the growth of PPP in China, numerous challenges exist. For example, poor administrative structures that will align with the guidelines instituted by the governments have contributed to the implementation issues. Similarly, there is an absence of unified PPP law that can help to specify the duties of stakeholders. Additionally, there is a complete absence of the public (external stakeholders/ community) participation mechanism which obstructs the public from partaking in the designing of the project and the implementation of projects (Zhao et al., 2018). Trust deficit also exists from the public due to the general culture of Confucian values which is oriented towards a fair distribution of wealth rather than wealth creation itself (Jong, 2012). This is contrary to the main objective of PPP which fosters private sector wealth creation by providing traditional government responsibilities.

2.4.2.5 Indian Experience

India is increasingly recognising the importance of infrastructure to sustain its economic growth. Its present GDP is growing at 7.7% per annum (Colmer, 2016). To sustain infrastructure provision in relation to the growing urbanisation and population, the government of India has keyed into the concept of PPP procurement to deliver urban infrastructure with a steady rise in investment over the years. For example, infrastructure provision through PPP in India's 10th development plan amounted to about 24% of infrastructure expenditure while in its 11th development plan, it constituted 36%, and in its 12th development plan, it grew to 50% of its infrastructure investment amounting to about \$8 billion (Colmer, 2016). Telang and Kutumbale (2014) have reported that as of 2011, India had about 758 active projects. He noted that the success of PPP procurement strategy in India was accelerated due to the attention taken by the government and the provision of enabling laws and the establishment of supporting institutions.

2.4.2.6 South African PPP Experience

South Africa adopted PPP as an infrastructure procurement strategy following the enactment of the PPP law in 1998. Infrascope ranked the country as the strongest African PPP market. South Africa has a robust economy and moderate standards in accounting, monitoring mechanisms, and law that supports PPP implementation (The Economist Intelligence Unit, 2017).

Presently, the budgetary provision of South Africa of over \$56 billion for infrastructure provision over the next 3 years will be partly financed through PPP. It is estimated that PPP projects shall account for about \$1.3 billion representing 2.2% of the projected infrastructure provision by the government. (Oxford, 2019). Most of the PPP investments in South Africa have been in the telecommunication sector with over US\$27 billion. Although there have been investments in energy projects especially in renewable energy sources, specifically 14 wind power projects and 13 solar energy projects. Similarly, there have been investments in transport, water, and sewage sectors (World Bank, 2015).

The positive outcome of PPP in South Africa can be aligned to a set of requirements for PPP projects in South Africa such as communal ownership through share allocation and public benefit realisation which is quite exclusive to the South African PPP market (Oxford, 2019). However, some projects have witnessed challenges such as stakeholder opposition to the e-tolling on South Africa's Gauteng freeway upgrade which is the largest infrastructure PPP project in Africa (The Economist Intelligence Unit, 2017). Issues such as high-cost burden on citizens, ineffective and unreliable public transport options for the citizens affected the project. Also, the absence of stakeholder engagement and transparency in the project transaction process and poor public enlightenment about the project were identified as issues that hindered the project's success (Manley & Gopaul, 2015).

2.5 Urbanisation and Infrastructure in Nigeria

Nigeria is Africa’s largest economy with a GDP of \$410 billion and a per capita of \$1,951.42. It is presently the eighth largest producer of oil which is its major source of revenue. The growth in agriculture, telecommunications, and services have positively impacted its economic growth rate over the years (World Bank, 2020). However, in recent years its economic growth rate has declined, plunging over 62% of its population into extreme poverty (Figure 8). If the current poverty trajectory is not addressed, the number of people leaving in extreme poverty will increase from the present over 68 million to over 110 million citizens by the year 2030 (Kharas, Hamel, & Hofer, 2018). Various scholars and multinational agencies have identified challenges affecting economic growth in Nigeria as: policy implementation, corruption, exchange rate inconsistency, money supply, and inflation rate and poor public infrastructure (Akekere, Oniore, Oghenebrume, & Stephen, 2017; Akinlo & Lawal, 2015; World Bank, 2016). The culmination of these issues has further impacted on the potential of the country to attract foreign direct investment (African Development Bank, 2020; Lawal, 2016; Nwosa, 2019).

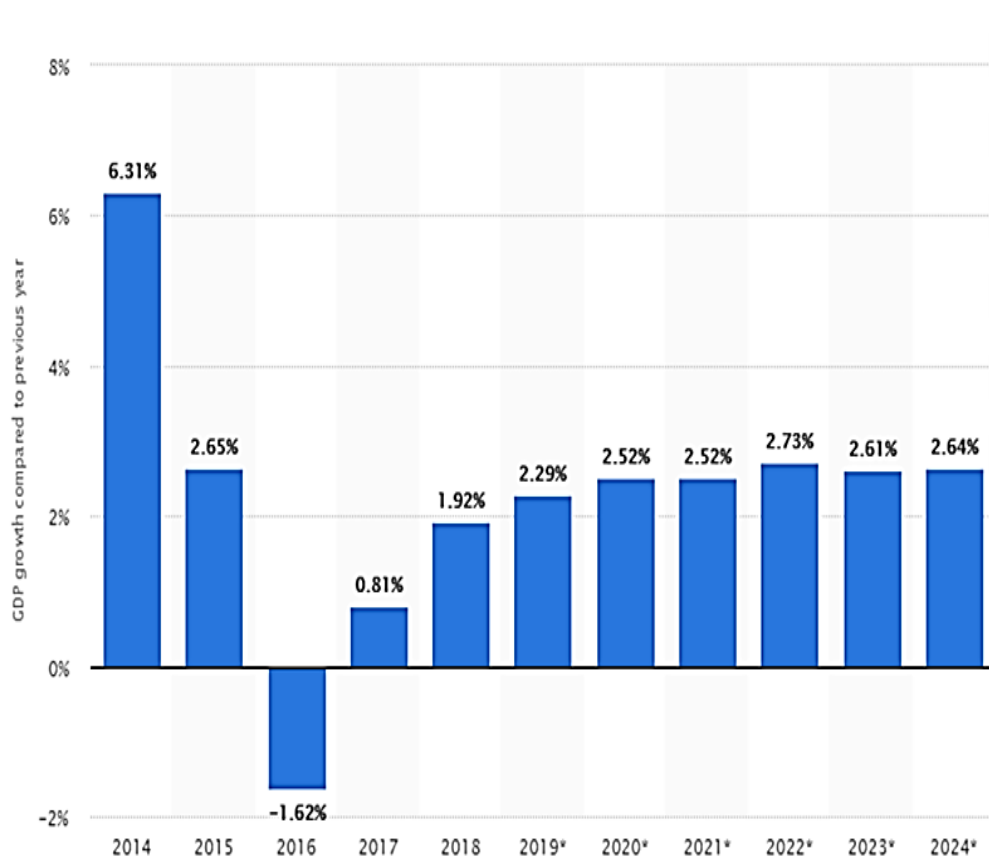


FIGURE 8: TRENDS OF GDP GROWTH RATE IN NIGERIA 2014-2024 (AFRICAN DEVELOPMENT BANK, 2020)

Nigeria is Africa’s most populous country with an estimated population of about 202 million people (World Bank, 2020). It is fast becoming a global urban giant (Fox et al., 2017). By the year 2050, it will become the third most urbanised country with 70% of its population living in urban areas and will account for 10% of the global population (UNDESA, 2015). It is currently experiencing shifting demographics with a greater number of towns emerging as urban cities (see Figure 9) (World Bank, 2018). As of 1990, Nigeria had 16 cities with a varied population that ranged between 300 thousand and 5 million while in the year 2018, 49 cities had between 300 thousand and 5 million inhabitants but only one city had over 10 million inhabitants. However, by the year 2030, it is estimated that about 64 cities will become urbanised with a population ranging between 300 thousand and 5 million while two cities will have a population of between 5 million and 10 million and only one city will have over 10 million inhabitants.

Urban population by size class of urban settlement
Nigeria

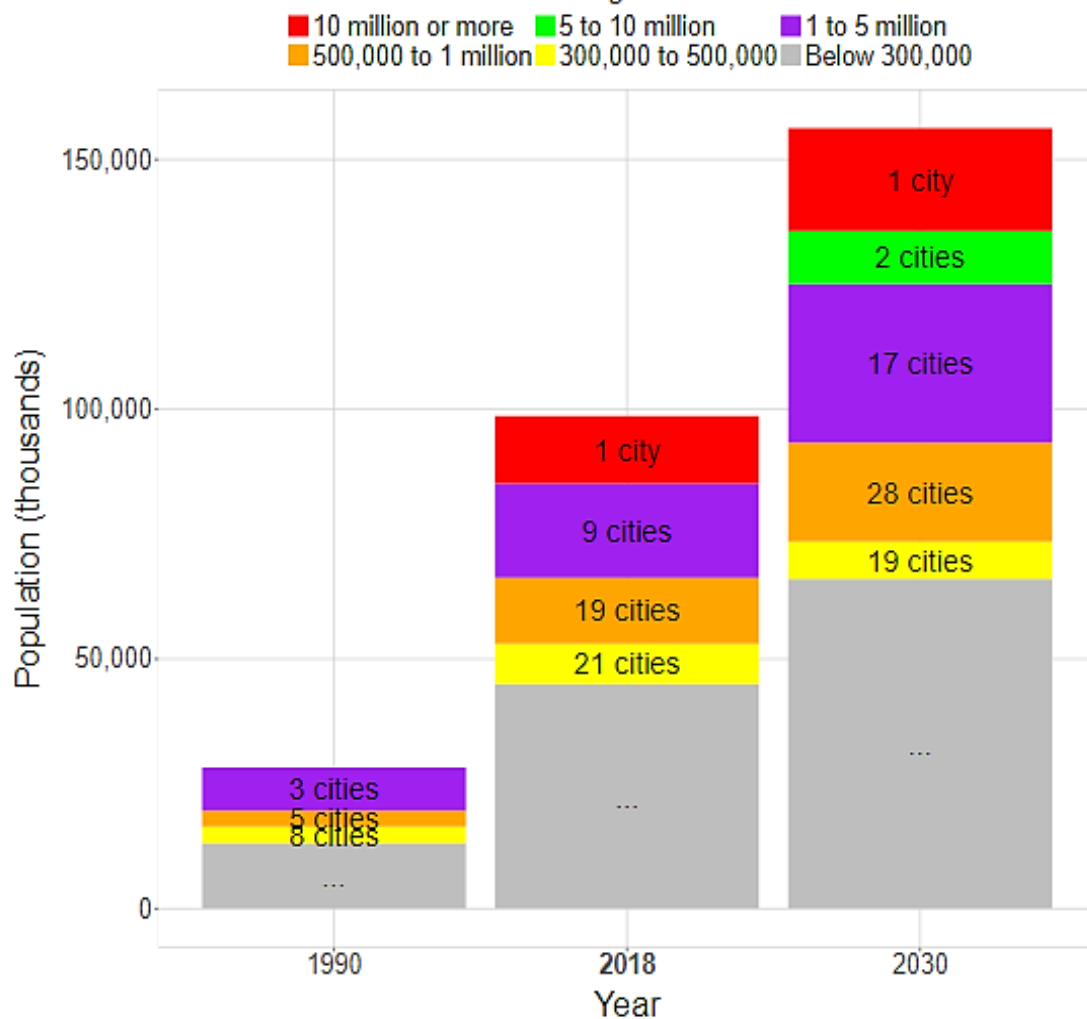


FIGURE 9: URBAN POPULATION BY SIZE IN NIGERIA (WORLD BANK, 2018)

2.5.1 The State of Nigeria's Infrastructure.

Nigeria primarily delivers infrastructure through the traditional procurement route of direct funding. Presently, there are over 19,000 uncompleted or abandoned public projects (Umoru & Erunke, 2016), which are estimated to cost over \$47 billion and about 30 years to complete (Ewa, 2013). The dearth of efficient infrastructure, proper urban planning, and unplanned urban growth have continued to pose serious challenges to sustainable urban development in Nigeria (Adebimpe and Peters, 2018). This implies that there a lack of balance between the environmental, economic, and social needs of the inhabitants of urban areas in Nigeria.

Urban areas in Nigeria have not improved in the quest to provide the needed public value because of a lack of adequate infrastructure and social services, such as housing, roads, electricity, water, education, and public health (UN Habitat, 2015). Rather the urban areas in Nigeria continue to deteriorate in terms of the quality of infrastructure required to foster sustainable development for its citizens. The analysis, illustrated in Figure 10, shows 2016 infrastructure data for lower-middle-income economies in Africa (African income peers) as well as for lower-middle global income economies (global income peers), specifically Pakistan, India, Nigeria and Indonesia (World Bank, 2016). This implies that compared to both African income pears and global income pears, Nigeria performed poorly in terms access to enhanced basic infrastructures such as roads, electricity, sanitation, and water with a ranking 162 out of 186 countries in the world.

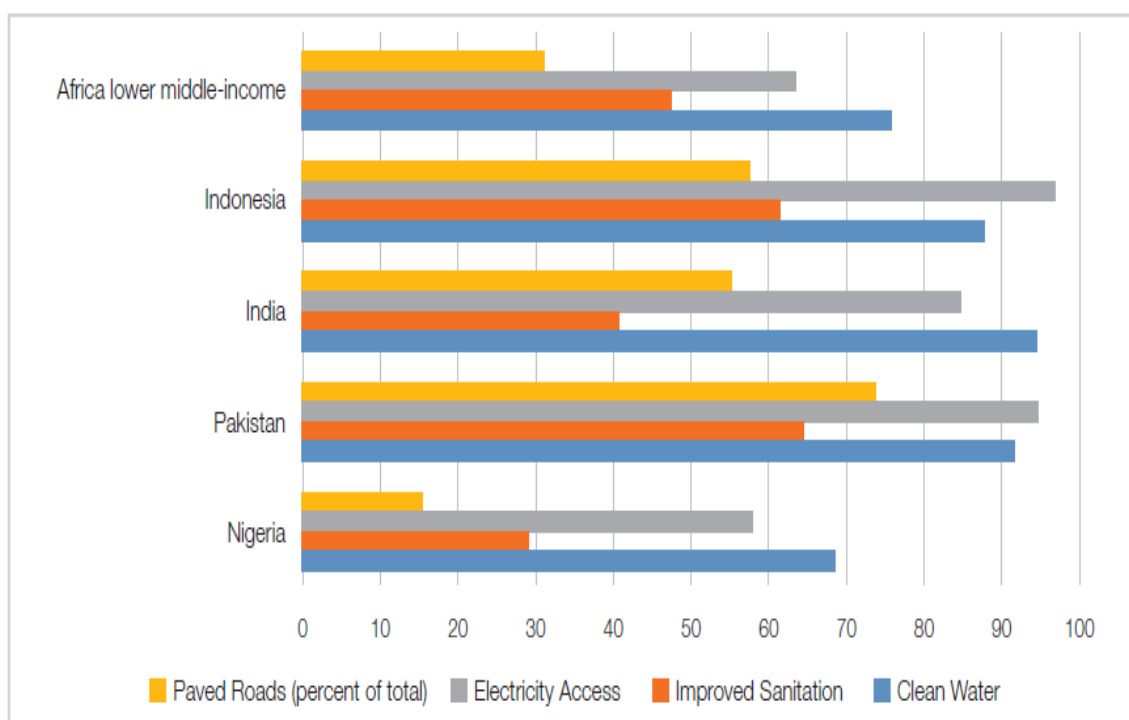


Figure 10: A Comparative Analysis of Levels of Access to Basic Infrastructure in 2016: Nigeria and Selected Countries (Source: Bello-Schünemann & Porter, 2017)

The current stock of Nigerian infrastructure which is primarily procured through traditional procurement strategies has been subjected to corrupt practices, poor workmanship, and failed infrastructure while in use (Manu et al., 2019; Onolememen, 2020). This has rendered the several sectors of the economy to lack competitiveness and has impacted on the poverty level of the country. For example, various surveys have highlighted that the efficiency of physical capital assets in Nigeria such as roads, public education facilities, electricity production, health infrastructure and access to treated water, compared to other countries within the region is deteriorating and is accountable for about 40% of the efficiency loss affecting a majority of companies in Nigeria (Calderón, 2009; Sobjak, 2018). This implies that raising Nigeria’s infrastructure stock would boost production output of companies, improve GDP growth, and reduce poverty. Sobjak, (2018) argues that improvement in infrastructure can boost Nigeria’s GDP by 4 percentage points according to conducted simulations. However, there is a need to overcome certain challenges that are slowing infrastructure provision in Nigeria. A recent report by the IMF offered numerous solutions towards closing the infrastructure gap and improvement of infrastructure efficiency in Nigeria. It highlighted that improvement of the quality of Nigeria’s governance practices to meet sub-Saharan African

benchmarks could result in a reduction in the infrastructure efficiency gap. It also emphasised several areas of improvement in public infrastructure delivery processes, such as improved public governance processes which could cut overhead costs and improve expenditure management. Similarly, adoption of alternative infrastructure procurement strategies such as PPP and multi-year budgeting strategies could lead to improvements in infrastructure efficiency (International Monetary Fund, 2018).

Over the years, Nigeria has made various policy blueprints towards bridging its infrastructure deficits. Key among them are, the National Integrated Infrastructure Master Plan (NIIMP) and the Economic Recovery and Growth Plan (ERGP). The NIIMP is a 30-year infrastructure master plan developed in 2015 that constitutes a financial road map for investment in critical infrastructure across the country. The plan indicates that the transportation sector has an estimated budget of \$775 billion, energy \$1 billion, water and mining \$400 billion, housing and regional development \$350 billion, ICT \$325 million, social infrastructure \$150 billion and vital registration and security \$50 billion (National Planning Commission, 2015). To complement the NIIMP and facilitate the involvement of the private sector in the stimulation of economy and improvement, the Nigerian government recently launched the “Economic Recovery and Growth Plan (ERGP)”. The ERGP is a medium-term policy for the year 2017 – 2020 is focussed on driving development, improving human capital, and creating an international standard economy (International Monetary Fund, 2018). However, despite the NIIMP and ERGP among other policies that are aimed at improving Nigeria’s infrastructure, not much success has been recorded.

For Nigeria to meet the required infrastructure target that will help it reach its economic and developmental ambition, the country will need to invest substantial resources. According to Business (2020), Nigeria needs to invest \$14.2 billion annually to bridge its infrastructure gap. This represents around 7% of the GDP on infrastructure which is above the average for sub-Saharan Africa. However, in practice the present budgetary provision by Nigeria for infrastructure as compared to GDP is low. For example, the 2018 budgetary expenditure on infrastructure was equivalent to 2.3% of Nigeria’s GDP. The effort to provide infrastructure in the country is compounded by competing demands between capital expenditures and recurrent expenditure such as staff wages and overhead salaries. For example, statistics from

Nigeria's Budget Office indicate that recurrent expenditure was 147% of total revenues in 2018 (Business, 2020). This means that the government was obligated to lend money to cover recurrent expenditures. Similarly, Sobjak, 2018 argues that available funds for infrastructure are susceptible to corruption especially large infrastructure projects (Sobjak, 2018). This situation has plunged about 60% of the urban population in Nigeria live in slums (Onyemaechi et al., 2015). To meet Nigeria's infrastructure need, research suggests a need to increase infrastructure spending to at least 12% of the GDP. The required resources for such an investment is beyond the capacity of the Nigerian government to handle alone (SANUSI, 2012). To achieve the monumental task of bridging Nigeria's infrastructure gap, about 48% will have to be delivered through PPP, while the outstanding 58% will be financed through direct funding from government (Oyedele, 2019). The following aspect of the research will elaborate on the Nigerian PPP experience.

2.5.2 Nigerian PPP Experience

PPP infrastructure projects are becoming increasingly popular in Nigeria especially with the enactment of the comprehensive National Policy on PPPs in 2009 (Infrastructure Concession Regulatory, 2013). Especially with dwindling government resources and increasing the need for new infrastructure and improvement of existing stock, both the federal government and the states have been adopting PPP to bridge infrastructure deficit (Erumebor, 2017). The system of governance in Nigeria is a Federation type. The government is divided into the federal, the state, and the local governments. There are issues the federal government has sole responsibility to legislate upon, similarly, there are those that the state government only may pass laws for items on the residual list whereas the federal government has exclusive right to legislate on issues on the exclusive. PPP law falls within the concurrent list, while the PPP law in Nigeria exists at the federal level and some states in the country (Nwangwu, 2016). This means that where projects intersect with federal government jurisdiction states must seek approval from the federal government to embark on such projects. The Infrastructure Regulatory Commission (ICRC) is an agency set up by the government to scrutinise FGN's PPP project proposals and monitor execution. It is backed by the Infrastructure Concession and Regulatory Act of 2005. The ICRC serves as an independent advisory that guides the FGN in its decision to adopt PPP to deliver infrastructure projects through the PPP procurement strategy. It also assists state governments in building capacity and diffusing best

practices in their bid to establish local frameworks and laws (ICRC, 2012). Indeed, the enactment of the PPP law and establishment of the PPP Unit has improved the PPP investment climate in Nigeria with numerous projects that cut across social and economic infrastructures such as hospitals, schools, power generation, telecom, housing, and roads. As detailed in Table 4, Nigeria has adopted a range of PPP procurement strategies and many projects are at various stages of execution.

TABLE 4: ONGOING PPP IN NIGERIA

S/N	PROJECT	PHASE A	MINISTRIES
		PROPOSED MODEL	DEVELOPMENT & AGENCIES
1	PPP High Voltage Transmission for TORO	Development/ Procurement A BT	TCN
2	POP High Voltage Transmission TCN (b)	BT	TCN
3	PPP High Voltage Transmission for MI (c)	BT, BOT, BOOT, BOO	TCN
4	PPP High Voltage Transmission for TEN (d)	BT, BOT, BOOT, BOO	TCN
5	PPP High Voltage Transmission for TON (e)	BT, BOT, BOOT, BOO	TCN
6	PPP High Voltage Transmission for TON (f)	BT, BOT, BOOT, BOO	TCN
7	Concession of the Multi-Purpose Components of the Gurara 1 Dam	Operate and maintain & Development phase	Federal Ministry of Water Recourses
8	Bakalori Irrigation Project.	Rehabilitation, Operate and Maintain/ Development Phase	Federal Ministry of Water Recourses
9	Jibiya Irrigation Project.	Development Phase	Federal Ministry of Water Resources
10	Middle Rima Valley Irrigation	Development Phase	Federal Ministry of Water
11	Dasin Hausa Dam	Development Phase	Federal Ministry of Water Resources
12	Elele Prison Farm	Development Phase	Federal Ministry of Water Resources
13	Tede Dam	Development Phase	Federal Ministry of Water Resources
14	Peremabiri Irrigation and Land reclamation	Development Phase	Federal Ministry of Water Resources
15	Owena Multi-purpose Dam water supply	Development Phase	Federal Ministry of Water Resources.
16	Development of the Marina Car Park and the Marina Water front	Development Phase	Federal Ministry of Water Resources
17	Redevelopment of the Ministry's Land on St. Gregory Road, Onikan Ikoyi, Lagos	Development Phase	Federal Ministry of Lands, Housing and Urban Development
18	Development of Ministry's Land behind the National Stadium, Surulere, Lagos	Development Phase	Federal Ministry of Lands, Housing and Urban Development
19	Reconstruction, Rehabilitation and Expansion of Lagos-Ibadan Dual Carriageway	Procurement Phase	Federal Ministry of Works
20	Construction of a Bridge over River Niger at Nupeko, Niger Slate	Development Phase	Federal Ministry of Work.

21	Bodo Bonny road with a bridge across Opobo channel to the Island of Bonny in Riven Stale	Development Phase	Federal Ministry of Works
22	Keffi-Akwanga-Lafia-Makurdi Road (Nassarawa and Benue States)	Development Phase	Federal Ministry of Works
23	Lokoja-Ajakuta-Ogbulafo (9 th Mile) Road	Development Phase	Federal Ministry of Weeks
24	Akwanga –Jos Road	Development Phase	Federal Ministry of Works
25	Dualisation of Enugu (9 th mile)- Otukpa-Lokoja	BOT & Development Phase	Federal Ministry of Works
26	Phase 1. 2" Lagos outer ring Road; Tin Can Island – Igando-Lagos/Otta Road interchange -Lagos/Ibadan axon:weary	Development Phase	Federal Ministry of Works
27	Phase 2: 2" Lagos outer ring Road; Lekki-Ikorodu Shagamu/ Benin Expressway	Development Phase	Federal Ministry of Works
28	Abuja-Kaduna-Kano Dual Carriageway	Development Phase	Federal Ministry of Works
29	Lagos-Badagry-Seme Border Expressway	Development Phase	Federal Ministry of <i>Weeks</i>
30	Shagamu-Benin-Asabe Express way	Development Phase	Federal Ministry of Works
31	River Benue Bridged @ Ibi, Taraba state	Development Phase	Federal Ministry of Works
32	Ibom Deepsea Port	Development Phase	Federal Ministry of Transport, Newman Ports Authority and Akwa Thom State Government
33	Inland Container Depot, Gombe	Development Phase	Federal Ministry of Transport and Nigerian Shipper's Council
34	Greenfield Highspeed Land <i>Railway</i> lines across Nigeria	Development Phase	Federal Ministry of Transport
35	Development of 23 Industrial Development Centres Across Nigeria	Development Phase	Federal Ministry of Trade & Industry (Small and Medium Enterprises Development Agency)
36	National <i>Trade</i> and International Business Centre Project.	Development Phase	Fed. Ministry of Trade and Investment (Tafawa Balewa Square Management Board)
37	National Stadium Lagos	Development Phase	National Sport Commission
38	National Stadium Athletes Hostel, Abuja	Development Phase	National Sports Commission
39	Calabar-Kano Gas Pipeline	Development Phase	Federal Ministry of Petroleum Resources/ NNPC
40	National Theatre Master Plan Complementary Facilities Realization	Development Phase	Federal Ministry of Culture, Tourism and National Orientation/ National Theatre Management
41	Abuja Medical Mall	Development Phase	Federal Ministry of Health
42	Development of Mechanic Villages	Development Phase	Fed. Ministry of Trade and Investment (National Automotive Council)
43	Establishment of a Multimedia Centre in the FCT	Development Phase	Nigerian Film Corporation
44	Development of Film Screening Theatres	Development Phase	Nigerian Film Corporation
45	Upgrade of the Corporation's Lagos Office Studio and Mini Theatre for Commercial Purposes	Development Phase	Nigerian Film Corporation
46	The Establishment and Take-off of the Film Industry Complex	Development Phase	Nigerian Film Corporation
47	Upgrading of Auditorium to International Screening Standard at NFI	Development Phase	Nigerian Film Corporation
49	Establishment of 3 Film Villages at Miango Plateau State for with 400 hectares of land have been set aside at Move Ibom and <i>Ibadan</i>	Development Phase	Nigerian Film Corporation

Data Source: ICRC (2015)

2.5.3 PPP Institutional Framework in Nigeria

The institutional framework for PPP in Nigeria cuts across all ministries and parastatals in the Federal government (Infrastructure Concession Regulatory Commission, 2017). As detailed in Figure 11, the PPP framework in Nigeria specifies the roles and responsibilities of relevant government organisations and federating units. As stated by Jomo, Chowdhury, Sharma, and Platz (2016). The purpose of PPP frameworks is to ensure that governments and private stakeholders in the PPP process operate in an orderly and transparent decision-making process. However, the complexity of a PPP institutional framework affects the decision making process, the final configuration of the project, and hence, its performance within the project lifecycle (Van Gestel, Voets, & Verhoest, 2012; South, Levitt, & Dewulf, 2015). Though the Nigerian PPP framework, as detailed in figure 11 below, captures government stakeholders concerned with the project being considered and ensures they partake in the decision-making process from initiation to execution. But there appears to be no provision for engagement of external stakeholders in the decision-making process.

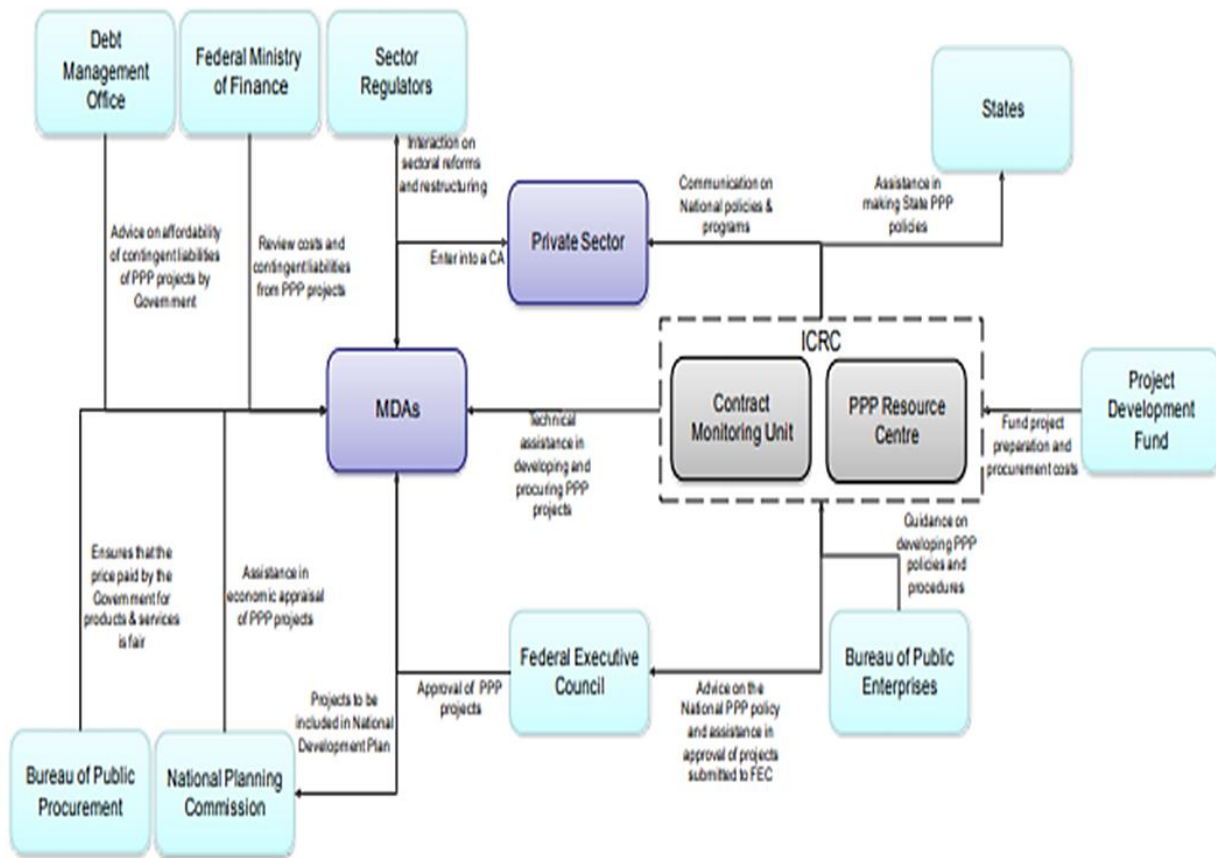


FIGURE 11: INSTITUTIONAL FRAMEWORK OF PPP IN NIGERIA. SOURCE: NIGERIA INFRASTRUCTURE ADVISORY FACILITY (2017).

The PPP institutional framework is backed by the Infrastructure Concession and Regulatory Act of (2005). However, there also some pieces of legislation that conflict with the regulatory framework of PPP in Nigeria such as the Privatisation and Commercialisation Act (1999), the Fiscal Responsibility Act (2007), and the Public Procurement Act (2007) (Nigeria Infrastructure Advisory Facility, 2017). These inadequacies in policy formulation compound the various challenges faced by PPP implementation in Nigeria. The following aspect of the research will elaborate on the key challenges of PPP implementation in Nigeria.

2.5.3 Key Challenges of PPP Implementation in Nigeria

Achieving the key objectives of PPP has been very challenging. Despite being the largest economy and the most populous country in Africa, not much success has been recorded. Several challenges have been identified to be the main challenges of implementing PPP in Nigeria namely: Regulatory related challenges, legal related challenges, economic related challenges, technical capacity related issues, and stakeholder and social related issues. The following part of the study will explain the listed challenges in detail.

2.5.3.1 Regulatory Related Challenges

The success of PPP relies on strong contract governance that will guide the relationship of parties in the PPP contract (Grimsey & Lewis, 2004). The structure of the PPP Act in Nigeria has restricted authority of The ICRC to ensure compliance with contract terms especially at the government end (Dada & Oladokun, 2012; Solomon Olusola Babatunde & Perera, 2017b). The existing framework does not protect the private-sector partner's interest in a PPP project but rather gives undue advantage to the government partner (Solomon Olusola Babatunde, Opawole, & Akinsiku, 2012; Onuorah, 2014). There are also no clear guidelines to guide public organisations on the drafting of the PPP contracts which results in unstandardized contracts that eventually lead to conflicts and legal tussle within the lifecycle of the project (Dada & Oladokun, 2012; Onuorah, 2014). Again, the presence of multiple laws which conflict with each other creating infighting between government organisations which have oversight over projects creates regulatory challenges (Ikpefan, 2010; Idris, Kura, & Bashir, 2013) For example, due to policy inconsistency conflict between the ICRC Act and the Privatisation Act presently exists (African Legal Support Facility, 2019; Nwangwu, 2018). The ICRC and the Bureau for Public Enterprise (BPE) in Nigeria, were created under

different government legislations respectively with similar schedules which are constantly competing over projects. Thus creating an atmosphere of uncertainty as to which of the two organisations should have authority over privately financed projects (Abdulsalam, 2014; Nwangwu, 2018). Generally, Nigeria has too many inconsistent government policies and care-free attitudes in the government which could affect the general economy and PPP projects (Idris et al., 2013; Taiwo, 2013). Inconsistent government policies and care-free attitudes to government properties ranked among the top three challenges of PPP projects in Nigeria (Idris et al., 2013). Therefore, projects are subjected to regulatory dilemmas.

Another issue that interferes with the regulatory capacity of ICRC is poor political will. PPP projects can be revoked, or a fresh concessioner could be invited, in the event a new set of political figures emerge in government. Also, vested interests in the country in the political and elite circles against PPP can frustrate the project often at the initial phase of a PPP project. There is also the likelihood of corruption and bureaucratic bottlenecks associated with getting approvals which reduces the prospects of investors to partake in the project (Dada & Oladokun, 2012; Idris et al., 2013; Ibietan & Joshua, 2015; Bhanu & Stone, 2016; Adebisi, Sanni, & Oyetunji, 2019).

2.5.3.2 Legal Related Challenges

The Nigerian Justice system is slow in delivering verdicts. This makes undertaking business difficult because, in the event of disputes in a project, businesses involved will be affected by delays. Though alternatives can be sought to litigation such as alternative dispute resolution (ADR), there is the absence of a comprehensive dispute resolution framework to handle partnership disputes expeditiously in Nigeria (Essia & Yusuf, 2013; Odigbo, Okonkwo, & Eleje, 2014). Also, the absence of a strong legal system encourages the government to unilaterally terminate a contract. In support of this view, Oluwasanmi and Ogidi (2014) have argued that the government may not wish to continue with the contract where there are no binding laws. For example, the unjust termination of the PPP contract for the upgrade of Murtala Muhammed International Airport Terminal 2 (MMA2), despite numerous court orders (Momoh, 2019). It has been established that the obsolete legal provisions and the ineffectiveness of judicial processes have increased the disregard for court orders and judgments by government agencies. This has rendered the private investor with no option for

redress in the event of a breach of contract terms in PPP projects (Erumebor, 2017). The situation has compounded by the incapacity of ICRC to defend private investors and has also discouraged investors in partaking in the PPP project (Essia & Yusuf, 2013; Dominic, Ezeabasili, Okoro, Dim, & Chikezie, 2015; Opawole, Jagboro, Kajimo-Shakantu, & Olojede, 2019).

2.5.3.3 Economic Related Challenges

PPP projects in Nigeria are challenged with poor funding. The idea of PPP is to share risks and benefits; however, most projects are holistically funded by the private sector without much government support (Elbem, Aduwo, & Alagbe, 2015; Nwangwu, 2018). Essia and Yusuf (2013), posited that the budgets for counterpart funds for PPP projects are the same as that of capital projects embarked by government agencies and ministries. In Nigeria, governments find it hard to meet the funding requirements of projects delivered through traditional procurement routes let alone PPP projects. Also, the availability of long term financing that can last the lifecycle of the PPP project is a key challenge for PPP project implementation in Nigeria (Ekong & Onye, 2013; Ikpefan, 2010). Abubakar and Doan (2017) have added that the deficiency in understanding of the benefits of PPP and wrong perception of risks inherent in the project by bankers push interest rates as high as at least 20% in Nigeria. This has impacted on credit access and project viability of PPP projects (Taiwo, 2013). Dada and Oladokun (2012) have argued that as a result of financial constraints, investors are only left with the option of financing the projects directly.

Similarly, due to heavy reliance on oil as the main revenue by the Nigerian government, the economy is exposed to commodity fluctuations in the international market. To cushion such effect the government is forced to put in a place foreign currency restriction. The economy is also exposed to the instability of inflation rates which are not favourable to PPP investments (Dada & Oladokun, 2012; Opawole & Jagboro, 2017). The instability of economic variables is strongly linked to the recurrent request for re-appraisal of PPP agreements which has indirectly reduced project delivery efficiency (Opawole et al., 2019). All these economic issues make it hard for PPP projects to be economically viable and in certain instances make projects fail during implementation.

2.5.3.4 Technical Capacity Related Issues

PPPs are quite complex in delivery. The lack of capacity in the public and private sectors remain major obstacles when implementing PPP projects. Key players in the sector are oblivious of the key existing regulations guiding PPP transactions in Nigeria (Babatunde, Perera, & Udejaja, 2013; Babatunde & Perera, 2017a; Erumebor, 2017). Various authors have identified the major challenges affecting PPP implementations in Nigeria as poor negotiation skills, poor management competency, and others (Adeniyi, Aje, & Ogunsemi, 2011; Onyemaechi, Samy, & Pollard, 2015; Muhammad & Johar, 2019). This has also led to poor structuring of PPP project deals (Idris et al., 2013; Onuorah, 2014). Similarly, Oladimeji adds that the lack of expertise for monitoring and evaluating projects has been linked to mismanagement of funds of some ongoing PPP projects. Further, stakeholder engagement related capabilities are lacking in Nigeria and are a key factor hindering the potential of PPP development in Nigeria (Nwangwu, 2013).

2.5.3.4 Stakeholder and Social Related Issues

One of the cardinal objectives of governments globally is the provision of infrastructure for its citizens. In Nigeria, most of its citizens view the assignment of this responsibility to the private sector with a lot of suspicions and a perception of failure of governance. (Eziyi Offia Ibe, 2011; Ola-awo, Amirudin, Alumbu, & Abdulrahman, 2018). Additionally, a lot of specialists in the field of urban development view it as unaffordable to the common man, and a diversionary tactic by the government (Ogunbayo et al., 2018; Ahmed & Sipan, 2019). Some stakeholders in PPP in Nigeria are worried that if caution is not taken the future of Nigerians could be mortgaged to a few privileged individuals. Particularly in circumstances where there is an absence of substitutes to the privatised infrastructure. Again, some stakeholders in urban development view PPP infrastructure as a strategy devised by

influential organisations and conglomerates to gain entry into the public sector (Oluwasanmi & Ogidi, 2014; Fadeyi, Adegbuyi, Agwu, & Ifeanye, 2016; Adebayo & Ayegbusi, 2017).

Fakoya (2010) added that external stakeholders worry about PPP implementation centered around poor communication and engagement by the government. These problems raise a need for more enlightenment and awareness campaigns about the concept and the need for government-approved reputable developer employment (Babatunde, 2015; Ahmed & Sipan, 2019; Muhammad & Johar, 2019). For example; Nigeria Infrastructure Advisory Facility (2017) asserts that poor stakeholder engagement contributed to community resentment of the PPP projects especially those that are user fee inclined. For instance, the MMA2 case also highlights that management of external stakeholder expectations such as politicians and the community and setting realistic project goals hampered the smooth operation of the project through proper engagement strategies (Ahmed, 2011; Babatunde, 2015). Similarly, Poor stakeholder engagement leads to the revocation and subsequent legal issues in the Lekki road concession project (Afolabi, 2011; Babatunde et al., 2013). This highlights that a lot of PPP project implementation in Nigeria has suffered setbacks due to external stakeholder engagement which has resulted to resistance within the political and public spheres.

Similarly, there is an absence of open advertisement of tender of proposed PPP projects which will provide interested persons or organisations to partake in the bid process. (Iboh et al., 2013; Eziyi Office Irem & Onyemaechi, 2018). It is also adduced that traditional sagacious predispositions of officials; oppression of individuals through the offensive use of language; demand for bribes; delay and public officers attitude of exclusive hold on information as power make stakeholder related issues worst in Nigeria (Ibietan & Joshua, 2015; Amadi et al., 2018).

2.6 Chapter Summary

Urbanisation is a growing phenomenon globally. The trends of urbanisation are shifting the population from rural areas to urban areas. The impact of urbanisation has increased the need for infrastructure because infrastructure has been identified as the cornerstone of achieving the true benefit of urbanisation. There exist various infrastructure categories that impact on

different aspects of human livelihoods and operation of cities. These infrastructures could be categorised as economic or social. Therefore, policymakers must select or encourage an appropriate form of infrastructure which suits the present stage of a country's development and need of citizens. Similarly, there is a need for a deliberate effort by both the government and the private sector to consider concerns of the public through engagement in the infrastructure delivery process. Urban infrastructure could be delivered by the government in the private sector or the community. However, the government plays a pivotal role in infrastructure provisioning through a variety of procurement systems which differs in terms of how responsibility is apportioned to both private and public entities.

The growing trend of urbanisation and increasing financial constraints on governments globally have ushered in a new wave of adoption of strategies that will apportion less responsibility to government and more to the private sector. PPP is an infrastructure procurement strategy currently adopted globally in both developed and developing countries. PPP is a particular manner of collaboration between government entities and private entities to provide a service or develop infrastructure and facilities. There are various models of PPP procurements. These comprise of Build Operate Transfer (BOT), which is the most popular globally. Other models in PPP include Design, Build Finance and Operate (DBFO), Design, Build Operate (DBO), Design, Bid Build (DBB), Build Own Operate (BOO) and Private Finance Initiative (Lhuillery & Pfister).

Nigeria is growing into an urban giant. However, its present stock of infrastructure is dilapidated and inadequate. Much of the present stock of infrastructure in Nigeria is delivered through direct funding by the government. However, revenue is dwindling due to uncertainties of global benchmark pricing of crude oil which is the backbone of its economy. This has resulted in its inability to meet its infrastructure needs.

The government of Nigeria, at both federal and state levels, is adopting PPP procurement strategies by partnering with the private sector to bridge infrastructure deficit. Though the PPP strategy offers many advantages, however, literature appraisals indicate that the progress of PPP in Nigeria has been challenged by various governance issues which are related to regulatory, economic, legal, skill gap, and stakeholder related issues. For PPP projects to be delivered, sound management practices must be upheld to deliver the cardinal objectives of

the project which are time, cost quality, and stakeholder expectations. The effective engagement of stakeholders in PPP projects could provide a good enabling environment for all stakeholders to be engaged to make the PPP project a success. However, external stakeholder related issues continue to dominate the factors which cause project failures. Nevertheless, despite the reoccurrence of stakeholder issues as highlighted in the reviewed literature, few studies have considered identifying CSF for stakeholder engagement in PPP urban infrastructure projects and challenges affecting stakeholder engagement in developed countries such as Nigeria. In this regard, the next chapter of the research will elaborate on the concept and principles of stakeholder engagement.

CHAPTER 3: STAKEHOLDER ENGAGEMENT

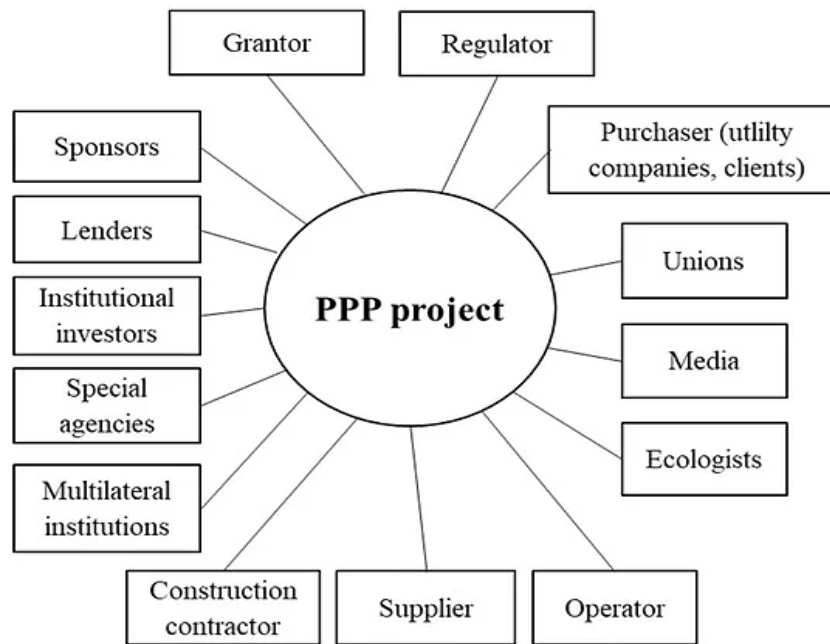
3.1 Introduction

This chapter will review the literature on stakeholder engagement, the definition of stakeholders, principles, techniques, and tools for engagement.

3.2 Stakeholder Definition

Stakeholders are those groups who can affect or are affected by an organisations activities (Freeman, 1984). The Project Management Institute (PMI) defines a stakeholder as personnel, groups, or establishments which can impact or be impacted by a resolution, action of an organisation or project outcome. Stakeholders could be within the interior or exterior of the organization and may be entirely engaged or entirely unengaged in the project or have interests that can progress or harm the project outcome (Project Management Institute, 2017). They are regarded as those groups which willingly consent to partake in an arrangement that can be mutually beneficial to all partakers in a business or project and necessitates sacrifice or contribution on the part of partakers (Donaldson, Werhane and Van Zandt, 2008). To be a stakeholder, one must have an interest or stake in the establishment or business (Orts and Strudler, 2002). Clarkson (1995) views stakeholders as persons who have a stake that is at risk willingly or unwillingly in an establishment, project, or business. These stakes could be in the form of assets that could be tangible, intangible, or monetary (Clarkson Centre for Business Ethics., 1999). A typical PPP project involves many stakeholders and shareholders (Alfen et al., 2009; Wojewnik-Filipkowska & Węgrzyn, 2019), however, Wojewnik-

Filipkowska and Węgrzyn (2019) singled out the key stakeholders in PPP infrastructure projects as have been highlighted in Figure 12.



1

FIGURE 12: KEY STAKEHOLDERS IN PPP INFRASTRUCTURE PROJECTS (WOJEWNIK-FILIPKOWSKA & WĘGRZYN, 2019).

3.3 Stakeholder Theory

The idea of stakeholder theory (ST) was ushered by Freeman in 1984 (Freeman, 2010). However, the initial idea of ST was conceived in 1963 by the Stanford Research Institute in the United States as a generalisation of entities of whom a company owes responsibility. The theory has been utilised by numerous scholars to address various forms of business–society relations from various points of view (Clark, 1939; Steurer, 2006; Miles & Ringham, 2018; Bosse et al., 2019). ST is concerned with how businesses and society interact and deal with each other (Jones & Wicks, 1999). Numerous intellectuals have defined the idea differently but to a certain degree, the predominant view is that corporations ought to pay attention to the desires, interests, and influence of persons that the organisation's activities and policies affect (Andriof & Waddock, 2017; Frederick, 1992; Shams, Vrontis, Weber, Tsoukatos, & Galati, 2019). However, others criticise the concept. For example, it is argued that ST hinders business risk taking and makes the governance of organisations difficult (Sundaram & Inkpen, 2004). Similarly, ST provokes conflicting views over the traditional ideals of

corporate establishments (Margolis and Walsh, 2003). However, despite these opposing views, it is vital as a theory for the reason that it helps to solve the often ignored sociological interrogation on how organisations affect the society (Bonnafous-Boucher & Rendtorff, 2016; Greenwood & Hinings, 2002).

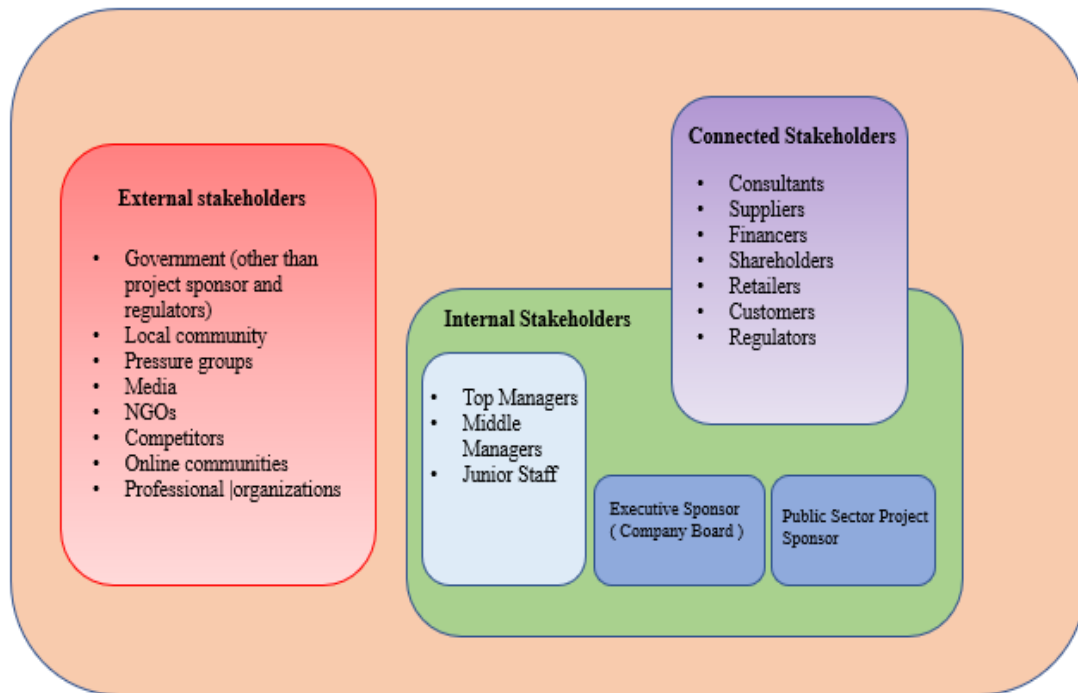


FIGURE 13: TYPES OF STAKEHOLDER (AUTHOR'S VIEW)

ST increasingly considered a benchmark for organizations to follow as a guideline for making decisions in their business processes (Wicks & Harrison, 2017; Scherer & Voegtlin, 2018). This has informed how the organisation relates to its stakeholders. Freeman and Moutchnik (2013) argue that organisations relate with stakeholders from three viewpoints of stakeholder classification, namely, internal stakeholders such as the employees and managers, external stakeholders which include government, media, pressure groups society, professionals and local communities and the connected stakeholders who could be financiers, shareholders and distributors. However, in the context of this study, the view of the researcher based on reviewed literature is that within the internal stakeholder landscape, there exists the executive sponsor in the form of the board and the public sector project sponsor (see Figure 13). Additionally, the regulators form part of the connected stakeholder group.

The application of ST to understand business society relationships has been applied from the normative, descriptive, and instrumental perspective see figure 14. The normative perspective considers the functions of the business regarding the wider community. While the descriptive perspective considers corporate attributes and conducts concerning stakeholders, and the instrumental perspective analyses the link between business and community relations and traditional business ideals (Donaldson and Preston, 1995). The following aspect of the research will elaborate on the three perspectives of ST.

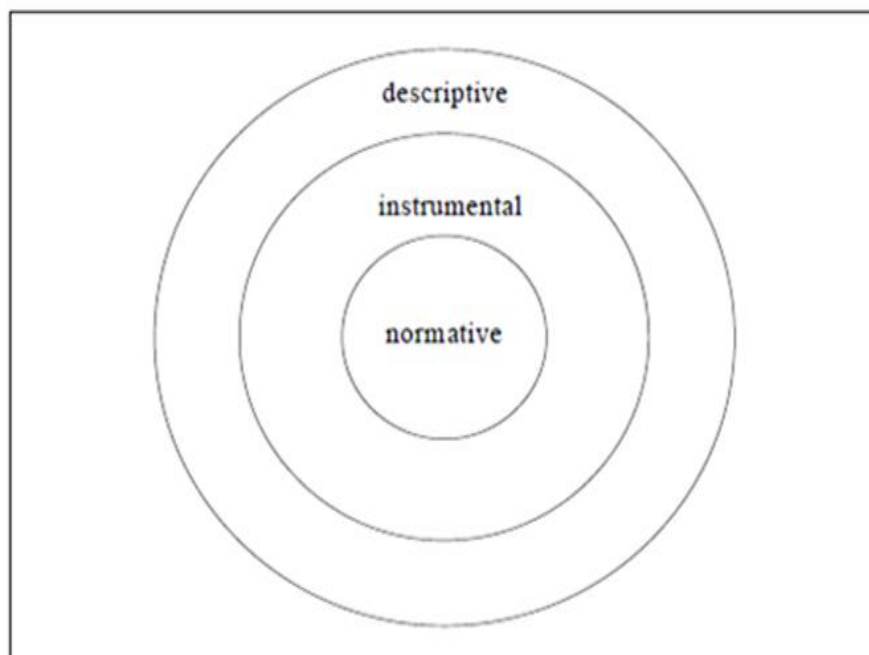


FIGURE 14: PERSPECTIVES OF STAKEHOLDER THEORY (DONALDSON AND PRESTON, 1995).

3.3.1 Instrumental Perspective of Stakeholder Theory

From the Instrumental ST, organisations that deal with stakeholders based on high ethical principles will get more corporation and trust from their stakeholders as opposed to other organisations that do not (Jones, Harrison, & Felps, 2018). Clarkson (1995) adds that an organisation's existence and enduring accomplishments depend upon the capacity of its management to generate adequate financial gains or value for its primary stakeholders without favouring one group over another. Correspondingly, Jones, and Wicks (1999),

contend that the legitimate interest of all stakeholders is of essential value and no other stakeholder groups' interests should be considered more important.

Jones et al. (2018) argue that a 'Communal Sharing Relational Ethics (CSRE) strategy', based on an intent to rely on interactive pacts, cooperative wealth generation, reciprocated trust and cooperation and communal sharing of property, can lead to what they termed a 'close relationship capability'. A close relationship capability helps a firm to co-create more economic value with stakeholders. However, Mason and Mitroff (1981) found out that managers face a requirement to undertake complex levels of analysis of problems when confronting environmental issues especially in infrastructure projects: how to translate individual-level knowledge into organisational level outcomes. Hence, it is important to put in place systemic methods of monitoring business environmental change in such a way that someone in the organisation can notice any issues when they arise. But, Heugens, Van Den Bosch and Van Riel (2002) have asserted that once firms acquire these capabilities, they will be able to address environmental issues and will be placed in vantage positions than their competitors (Heugens et al., 2002).

3.3.2 Normative Perspective of Stakeholder Theory

The normative perspective of ST considers the function of the businesses regarding the wider community which the focal point of ST (Freeman, 1994). This view was also reinforced by Donaldson and Preston (1995) demonstrating how the justifications for favouring the normative facet over other facets of the ST ultimately rely upon normative arguments. In another view of ST from the Normative perspective, corporate social performance and responsibility become the centre stage of business conduct. An organisation is driven not just by the notion of it being an instrument for survival but rather as a moral obligation. corporate social performance and responsibility where morality (Carroll & Näsi, 1997; Solomon, 1992). The proponents of the Normative ST argue that an ethical organisation takes into account how its decisions can affect other stakeholders concerned with his business. However, this differs from the assertion of Freeman (1994) who said that the main objectives of organisations are to create wealth for its owners. Hence managers who are agents of such organisations are guided by the sole objective of creating wealth for its owners.

Lähdesmäki, Siltaoja and Spence (2019) add that as a way to “persuade managers of an organisation the benefits of ethical stake holding”, managers must be made aware that ethical management of stakeholder relations can lead to better business outcomes especially if a balance is created between the enduring interests of “stakeholders and shareholders” (Lähdesmäki et al., 2019). This can be achieved through the establishment of corporative relations which is fostered by ethical actions by the organisation that can lead to improved trust by its stakeholders. Following this view, business and social objectives converge and become one (Nielsen & Andersen, 2018). This improves cost savings in the project execution leading to more efficient transactions, granting the organisation a competitive advantage in its operations (Kumar & Pansari, 2016). Though the complexity of PPP urban infrastructure contracts may reduce the increasing level of goodwill trust, the existence of mechanisms stipulated in the partnership contracts which improve corporation can foster these positive outcomes (Boxall, Hutchison, & Wright, 2017).

3.3.3 Descriptive Stakeholder Perspective

The descriptive perspective considers corporate characteristics and behaviours regarding stakeholders (Huse & Rindova, 2001). To proclaim the extent of the importance of stakeholders to an organisation, several interrelated criteria have been developed by proponents of the descriptive stakeholder theory. Mitchell et al. used the relative power criteria to group stakeholders (Mitchell, Agle & Wood, 1997). Clarkson (1995) argues that the criteria for characterising stakeholders involve the primary or secondary stakeholder standpoint. The primary stakeholders are considered those that are pivotal to the existence of the organisation while the secondary stakeholders are relevant to the organisations activities but are not pivotal to its existence.

Mitchell et al. (1997) have added that it is pertinent to methodically appraise the relationship between the organisation and its potential and definite stakeholders, with respect to their attributes such as power, legitimacy, and/or urgency. They argue that the power of a stakeholder in a business relationship is based on his ability to gain access to power. Mitchell et al., (1997) add that such powers could be legitimate or illegitimate. The contributions of Frooman, (1999) and Savage, Nix, Whitehead, & Blair, (1991) centred on resource dependency. From this angle, it is proposed that the resource relationship between the

organisation and its stakeholders, determines who has leverage over the other (who is dependent on whom controls the level influence) (Frooman, 1999). Savage et al. (1991) have added that all stakeholders have the potential to support or oppose the corporate objectives of an organisation, hence it important to device an all-encompassing strategy to alter relationships with stakeholders from less supportive groups to more supportive ones.

Jawahar and McLaughlin (2001) have based their descriptive stakeholder theory argument on the idea that organisations face a variety of challenges and pressures at various stages in organisational development. Consequently, every stage of the organisation or project development will have different stakeholders that are important for its success (Jawahar & McLaughlin, 2001). Rowley (1997) argues that the majority of organisations do not meet stakeholder demands separately but rather collectively. However, Jawahar and McLaughlin (2001) went further to show that organisations will adopt diverse tactics to engage with different stakeholders and overtime the organisation will maintain the same tactics for such stakeholders. However, Wheeler, Fabig, and Boele (2002) analysed the company and society relationship in Nigeria and revealed that the absence of institutional will and engagement skills limits corporate responsiveness in their dealings with its stakeholders. They argue that local context issues must be taken into consideration for any strategy to work (Wheeler et al., 2002).

Conventional stakeholder viewpoints on commercial organisations prioritise the interests and benefits of its stockholders. In contrast, the proponents of the descriptive stakeholder perspective are tilted towards a relationship that is of benefit to both the companies and its stakeholders. This can occur to the extent that there is “no prima facie priority of one set of interests and benefits over another”(Donaldson & Preston, 1995).

After unifying the three perspectives of Agency Theory, ethical values translate into human relationships. Most organisations are driven by different value sets which will inform their relationships with external stakeholders. Organisational value sets are mostly inclined to the traditional viewpoint of satisfying only shareholder needs, as against the shifting paradigm of incorporating external stakeholder needs in operations. The traditional viewpoint pits external stakeholders against the corporations, especially in PPP project settings. Again, PPP project

execution in Nigeria has been challenged by a lot of external stakeholder related issues which requires an in-depth analysis. The following aspect of the research will discuss external stakeholder engagement and its theoretical underpinnings.

3.4 External Stakeholder Engagement in PPP Urban Infrastructure Projects

SE, as an organisational competence, is enclosed within the foundation of an organisation's resources (Rodríguez and Ricart, 2006). It is the view of Plaza-Beda et al. (2010) that SE is a strategic competence that is interrelated with stakeholder management. It is also the view of Bryne (2001) that SE is an on-going process that seeks to meet project and stakeholder objectives through the lifecycle of the project or contract. Engagement can also be an evolution from relating with one another to a mental state of feeling part of a business process or project and then becoming actively spreading the benefits realised from the engagement process (Smith and Gallicano, 2015). Engagement is a “mentally driven current state that stimulates participants to act in more positive ways that are beneficial to the business or project (Kang, 2014). Stakeholder engagement is also known as stakeholder management. It includes the tactics and strategies that an organisation adopts to include stakeholders in its business process (Friedman & Miles, 2006). It consists of the following mechanisms (1) “Stakeholder issue identification techniques, (2) Coordination mechanisms and, (3) Prioritisation principles” (Driessen and Hillebrand, 2013). External stakeholder engagement refers to the softer emphasis on supporting, influencing, and guiding rather than managing external stakeholders of an organisation (Dalcher, 2016).

3.4.1 The Importance of External Stakeholder Engagement in PPP Procurement

Numerous studies have emphasised engagement of external stakeholders as essential to the success of construction projects (Olander & Landin, 2005; Mathur, Price & Austin, 2008; Fewings, 2013). It is also a critical factor that determines the success of a PPP project in offering value for money (VA) (Chou, 2015; Onyemaechi, 2015 & Osei-Kyei, 2015). As detailed in Figure 15, Value for money in PPP projects is defined not just by time, quality and cost but also by the level of user satisfaction of the completed and on-going services rendered (Robertson et al., 2014). Henard and Dacin (2010) argue that external SE can enhance a firm's reputation and impact a variety of outcomes through discussion, communication,

concession, and creation of social connections. External SE is an important instrument of accountability that must have a “clear purpose” and be aimed at achieving “agreed outcomes” {Accountability, 2018).



FIGURE 15: FACTORS THAT DETERMINE PPP PROJECT SUCCESS (ADAPTED FROM ROBERTSON ET AL., 2014)

However, an overall observation of PPP projects may suggest that most of the partnerships are wrongly governed using the traditional procurement governance approach. Consequently, the third category of actors (in addition to the public champion and private investor) is the group of external actors that are also crucial to achieving the overall goal of the project who are often summarily engaged in the project delivery process (Kivleniece and Quelin, 2012). These stakeholders include user public, impacted public, and professional politicians. As a result of the negligence of these external stakeholders, the interests of the multiple stakeholders involved in PPP might not properly align, resulting in contradicting purposes. In such circumstances, a wholistic SE that considers all stakeholders including the external stakeholders has both strategic and operational significance of averting disagreements and improving positive project outcomes. Jayasuriya, Zhang, and Yang, (2016) add that effective SE can serve as a decision-making guideline for project team leaders (Jayasuriya, Zhang and Yang, 2016). SE can serve as a cost-effective and efficient way of creating a better working atmosphere for a project by reducing conflicts, risks and increasing the likelihood of realising the project objectives (International Finance Corporation, 2007; PPP Knowledge Lab, 2017).

3.4.2 Corporate Objectives of External Stakeholder Engagement

The engagement of stakeholders by organisations in the cause of carrying out their business or project delivery, such as PPP infrastructure projects, are driven by different corporate objectives (Garard and Kowarsch, 2017). According to the Institutional Theory, ‘a society is made up of several types of organisations such as commercial, public, households, and faith organisations (Powell, 1991; Powell & DiMaggio, 1991). The institutions are motivated by different objectives to engage stakeholders. More specifically the following objectives highlighted in 3.4.2.1 to 3.4.2.7 are frequently named to justify and motivate engagement of external stakeholders (Mostert, 2003; Partridge et al., 2005; Majamaa et al., 2008; Reed, 2008; Garmendia and Stagl, 2010; Robertson et al., 2014; Accountability, 2015; Reed et al., 2018).

3.4.2.1 *Improvement of Public Awareness*

Krause (2014) has stated that increasing public awareness of environmental issues improves the knowledge base and enables organisations to learn from stakeholders which bring about improvements in product and business processes (AccountAbility and United Nations Environment Programme, 2005).

3.4.2.2 *Better Quality Decisions*

SE can help draw on local knowledge that can enlighten, teach and stimulate stakeholders and the organisations on taking the right decisions that will affect the organisation and the environment they operate (AccountAbility and United Nations Environment Programme, 2005). It further enables stakeholders to comprehend the intricate corporate process such as customer expansions and spotting fresh opportunities (AccountAbility and United Nations Environment Programme, 2005).

3.4.2.3 Social learning and developing a shared understanding of the problem dimensions

Having a shared understanding of localised issues is important. Corporations must try to incorporate these issues into their business objectives (Maignan and Ferrell, 2001). It raises mutual understanding between citizens and administration and leads to a win-win outcome

(Vedder and Krause, 2017). Social learning activities help organisations to reinforce the communal bond and enable such organisation to become part of the local community (Maignan, Ferrell and Hult, 1999). Again, when organisations meet social demands, they can pool resources (knowledge, people, money, and technology) to overcome challenges and realise outcomes that the organisations would ordinarily not attain (AccountAbility and United Nations Environment Programme, 2005).

3.4.2.4 *Prevention of Litigation*

SE could lead to less litigation, fewer misunderstandings could enable improved risks and image management; fewer interruptions, and increased efficiency; Community support, and commitment concerning decisions and plans (AccountAbility and United Nations Environment Programme, 2005). This could enable better management of risks and reputation; (AccountAbility and United Nations Environment Programme, 2005).

3.4.2.5 *Improvement of Legitimacy of Decisions*

SE can increase acceptance of decisions by permitting the public to partake and influence the decision-making process. SE allows for wider participation of stakeholders and can give business outcomes that are unbiased and socially sustainable (Accountability and United Nations Environment Programme, 2005).

3.4.2.6 *The Building of Trust in Institutions*

SE helps increase trust between an organisation and its external stakeholders. SE can drive the attainment of some social desires of the public (Reed et al., 2018). For the government, it is their traditional responsibility to deliver goods and services to the generality of its citizens at no cost or an affordable cost, even when it does not meet the break-even cost of production. However, for a private organisation their primary objective is to make a marginal return on investment (Cronin, Thomas, and Page, 1988; Maskin, 2008; Blount and Nunley, 2015). Corporations are increasingly realising that by satisfying the social needs of the community they operate; they can have better business outcomes. The process of stakeholder engagement can build trust between the citizens and the corporations by transforming negative emotions into positive ones. This will impact on risks that can emanate from service

disruption as a result of local protest and also improve patronage of service which can transform to economic benefits (Mostert, 2003; Greenwood, 2007; Venturelli, Cosma and Leopizzi, 2018). This can be achieved through different strategies such as partaking in community activities, embarking on social projects, and granting contributions to meet community needs (Sloan and Oliver, 2013). For PPP infrastructure projects, trust-building is a crucial factor for project success (El-Gohary, Osman and El-Diraby, 2006).

3.4.2.7 *Economic Goals*

A constructive relationship between an organisation and its external stakeholders improves business performance. It is also established that an organisations strategic and advertisement objectives which will lead to improved worker dedication to work and client retention (Blake, 2007). Several organisations have adopted engagement strategies to improve economic goals. For example, the strategy adopted at British Telecom has resulted in cost savings, reduction of risks, and improving revenue. Similarly, the organisation was able to leverage some benefits of stakeholder engagement, such as enhanced corporate reputation and relationship improvements to achieve business economic goals (Lim and Greenwood, 2017).

The objectives which inform stakeholder engagement in organisations could be used to characterise their practices. Accountability and United Nations Environment Programme (2005) categorised organisations based on three generational levels (see Figure 16). The first-generation practices are often driven by extrinsic persuasion, and issues are handled in a makeshift method and restricted to matters that trigger conflict with stakeholders. These second-generation stakeholder engagement activities are driven by risk management motives to resolve conflicts with stakeholders. Engagement practices are proactive and seek to increase stakeholder understanding through comprehensive and continuous dialogue processes. This method is becoming more popular in organisations. The third-generation organisations support stakeholders to understand project issues, how to tackle them, and reach goals that they could otherwise not reach alone (Accountability and United Nations Environment Programme, 2005).



Figure 16: Categories of Stakeholder Engagement Practices in Organisations (AccountAbility & United Nations Environment, 2005).

3.5 Principles of Effective Stakeholder Engagement

Stakeholder engagement governance should be guided by principles (Peterson, 2013). AccountAbility (2018) has prescribed four major principles that should govern effective stakeholder engagement (see figure 17). These include Materiality, Responsiveness, Impact, Inclusivity as explained below:

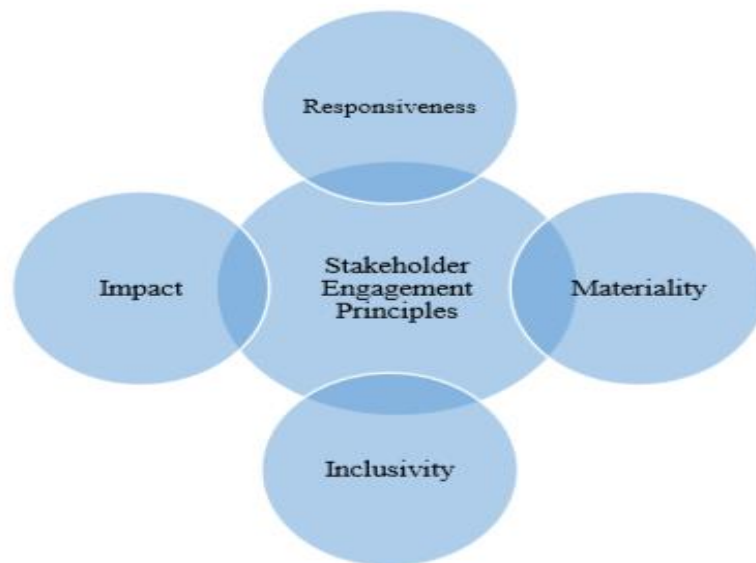


FIGURE 17: PRINCIPLES OF STAKEHOLDER ENGAGEMENT (ACCOUNTABILITY, 2018)

3.5.1 Materiality

Materiality means identifying and prioritising issues that will have an impact on the organisation performance and its stakeholders in the “short, medium, and/or long term” (Accountability, 2018). Urban development projects impact sustainable development issues such as economic, social, and environmental issues (Keivani, 2010). Urban infrastructure projects, especially those delivered through PPP have an impact on urban equity and sustainable development. PPP projects often side-line local needs over pursue purely economic agendas (Keivani, 2010). They create fertile grounds that foster “social exclusion and lack of fit within the broader urban fabric” (Thuillier, 2005).

The PPP procurement system has continued to be advocated as the perfect tool which can accelerate the provision of urban infrastructure projects and enhance the competitiveness of cities and improve economic livelihoods of its citizens (Chou and Pramudawardhani, 2015; Jelilov and Kenneth, 2015; Dong et al., 2018). However, this perception cannot be realised if a broad impact of choices and their impact on all stakeholders are not considered. The most important action is to set up a suitable framework and governance mechanisms that will guide decisions in organisations which would allow for the provision of infrastructure that can optimise and diffuse sustainable developmental benefits (Thuillier, 2005; Keivani, 2010; Osei-Kyei and Chan, 2017).

3.5.2 Responsiveness

Responsiveness is an organisation’s prompt and appropriate response to material issues and their associated effects on stakeholders. Responsiveness is achieved through the adoption of appropriate actions and communication strategies with stakeholders (Accountability, 2018). PPP urban infrastructure projects have failed due to a variety of problems that are relevant to responsiveness. For example, projects failed due to the absence of awareness of what PPP is, inadequate education on the concept of PPP, and lack of detailed information relevant to the contract conditions (Levy, 1996). When private organisations take charge of services conventionally provided by governments, transparency becomes an imperative requirement for public and external stakeholders who will require access to an organization's internal workings and performances (Altshuler and Luberoff, 2004; Meijer, 2013). This differs from conventional reports or information which private organisations share with the stakeholders

to improve their corporate image in conventional as well as privately executed projects (Hood, Fraser and McGarvey, 2006).

3.5.3 Impact

Impact is the outcome of the stakeholder engagement activities conduct, accomplishment, and/or results, on the part a company organization, on the economy, the environment, society, stakeholders, or the organisation itself. The outcome of the engagement process can have a positive or negative impact on material issues to the project's success (Accountability, 2018). Urban infrastructure projects inherently come with both risks and benefits. The long term and short term positive and negative impact of an urban infrastructure project on its stakeholders must be identified (Delmon, 2017). Meaningful consultations, early engagement, and awareness programmes for the public and other key stakeholders through local media and other means are crucial to identify and agree on what should constitute, long, medium and short run outcomes (Asian Development Bank, 2013). There should be possible key performance indicators to be set to monitor the impact of key issues identified by relevant stakeholders that relate to the environmental, social, and economic concerns (Bivens, 2014).

3.5.4 Inclusivity

Inclusivity is effectively providing an opportunity for all identified stakeholders who can affect or be affected by the organisation's activity. Capturing all stakeholder inputs through stakeholder engagement is increasingly becoming an important component of the infrastructure delivery process. Involving stakeholders at the early stage is important because they tend to be sceptical and suspicious ton decisions taken without their knowledge (El-Gohary, Osman and El-Diraby, 2006). To achieve this, a combination of strategies is required to ensure the engagement of diverse stakeholders and the organisation or project (European Union, 2013; Evers and de Vries, 2013).

3.6 Stakeholder Engagement Level

SE level is the level at which the opinion of stakeholders is fused in the organisation's business processes. The level of engagement and methods must be selected based on

stakeholder preferences and organisational objectives (Barletti, Larson, Hewlett, & Delgado, 2020; Davies, Selin, Gano, & Pereira, 2012).

The level of engagement may vary from passive to empowerment (Accountability, 2015; Arnstein, 1969; Reed, 2008). Correspondingly, Mostert (2003) recommended six main levels of stakeholder engagement in water policy (see Figure 18). These are information, consultation, discussion, co-designing, co-decision making, and independent decision-making. As illustrated in the figure below, there are three main ladders of engagement. The starting point is level zero Stakeholder Management which indicates the absence of stakeholder participation. The second ladder signifies a low level of stakeholder participation and the third ladder indicates high stakeholder participation (Basco-Carrera, 2017).

Community participation programmes as part of urban development, provides an organised set of activities which serve to establish functional communication between the project initiator and the many communities, to most efficiently transmit the information which is pertinent to the particular stage of the project development process and which will elicit feedback from the community on perceptions of needs, fears and preferences in the proposed or on-going project (Sustrans, 2014).

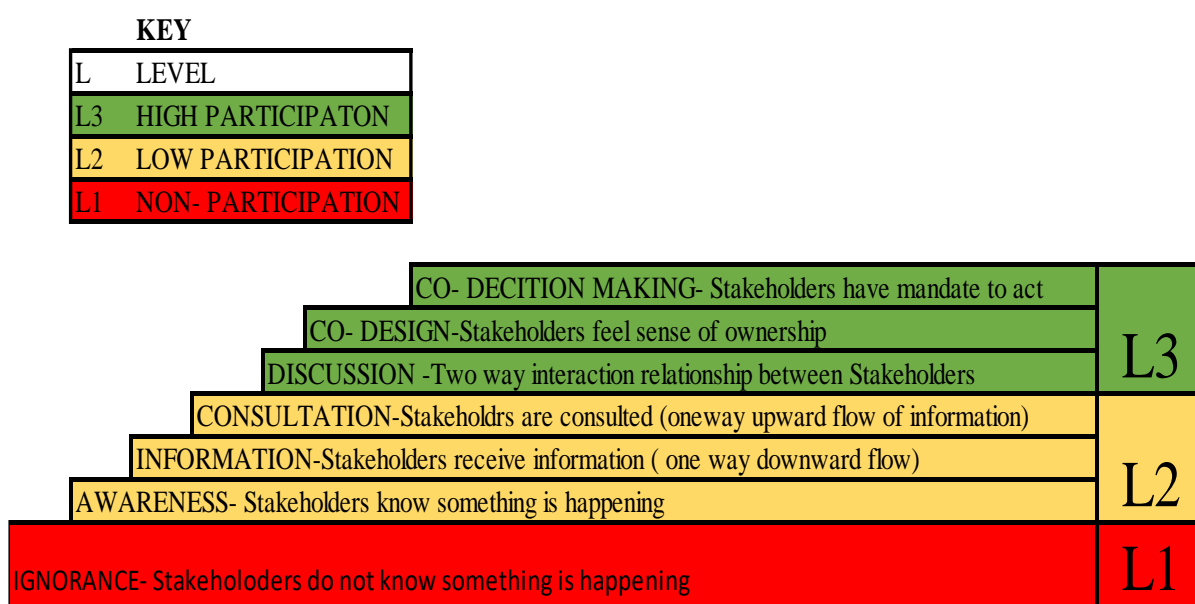


Figure 18: Levels of stakeholder engagement (Mostert, 2003).

3.6.1 Stakeholder Communication

Effective stakeholder communication is one of the key requirements for project success (Siew et al, 2013; Butt, Naaranoja, and Savolainen, 2016). Born (2015), emphasised that projects are done for the benefit of people. PPP projects create a web of interrelationships that can create a lot of tension due to lack of information and understanding which can obstruct the success of the project. Therefore, maintaining an effective channel of information is important to ensure proper information flow is important. Gregory, (2012) also mentioned that rigorous deliberation among stakeholders helps unravel the cause of issues improves stakeholder knowledge, and eases decision making process in organisations. Shekhovtsov, Mayr, and Kop, (2014) highlighted the need for effective communication to facilitate information flow amongst project stakeholders. It is argued that different stakeholders require different types of information in a project therefore a diversity of methods is needed to ensure effective information flow (Rondinelli and London, 2002; Kangas 2011; Henderson, Richard, and Rikke, 2016). It is argued that information technology is gradually becoming indispensable as a tool to improve stakeholder engagement in organisations (Henderson, Richard, and Rikke, 2016; Jui et al., 2016). This could be because of expectations regarding the roles of companies regarding changing expectations and demands of stakeholders.

Chan and Tam (2000) examined several construction projects and realised that most of the projects had targeted their various stakeholder groups using different communication strategies based on available sources which resulted in an improved project outcome. Consequently, appropriate tools must be identified to suit the various stakeholders relevant to a project, however the focal point of this research is the external stakeholders.

3.6.2 Stakeholder Engagement Communication Tools and Techniques

Engagement Tools are designed to facilitate the engagement of stakeholders in governance and decision-making processes (Plank et al., 1997; Sinclair et al., 2003). Identifying a suitable engagement tool and technique is key to any engagement process. The adoption of wrong tools and techniques could lead to inefficiency in the engagement process and poor project outcomes (Cascetta and Pagliara, 2013). A variety of tools and techniques exist that are suitable for the engagement of stakeholders in the process of urban development and

project delivery (see table 5 below). The figure shows the levels of engagement from one to six and it further shows 27 possible engagement techniques and tools that can be used to achieve the desired level of engagement. However, it is rare to find situations where these models are strictly followed (Mostert, 2003).

To increase the likelihood of a greater impact of engagement, more than one technique is often adopted. The organisational expertise in handling or utilising the choice of techniques or tools, the financial resources available, and the timeline also determine the choice of tools and techniques (Mostert, 2003; Raynes-Goldie and Walker, 2008; Haico and Rip, 2011). Stakeholder engagement techniques and tools must suit the situation and stakeholders and be guided by principles while instituting a proper stakeholder management process.

TABLE 5: TOOLS AND TECHNIQUES FOR STAKEHOLDER ENGAGEMENT

Level of Participation	S/N	Possible Stakeholder Engagement methods
1. Information	1	Leaflets and brochures
The Public gets/has access to information (not genuine PP, but the basis for all forms of it)	2	Mailings
	3	Use of Media Press Releases, Press Conferences
	4	Information Centres
	5	Repositories (other than 4, e.g. Libraries and city halls)
	6	(Traveling) exhibitions
	7	Information Hotline /contact persons
	8	Open house
	9	Field Trip
	10	Briefings (at meetings of resident's associations women's clubs, etc)
	11	Internet
	12	Cultural events (eg street theatre, especially for raising awareness)
	2. Consultation	13
The Views of the Public are sought	14	Opportunity to comment in writing
	15	Public Hearing and Meetings
	16	interview
	17	Opinion polls
	18	Stakeholders Analysis
	19	Gaming
	20	Internet discussion
	21	Advisory commission/boards,focus group
	22	Non-binding referenda
3. Discussion	23	Small group Meetings, (Workshops, Charrettes, Coffee Meetings, round table, study circles, brainstorming sections, planning cells, citizen juries, etc)
Real Interaction takes place between the public and the government	24	Large group meetings involving splitting up into smaller groups and/or rotation between front benches and back benches or between subgroups (e.g working groups, Samoan circle, open space meetings, carousel)
		Methods 8,9,10,19 and 21 can be used too
4. Co-designing		Several of the meeting formats mentioned under 23 and 24
The Public takes an active part in developing policy or designing projects		
5. Co-designing-making	25	Negotiation, e.g. resulting in a voluntary agreement
The Public shares decision-making powers with government	26	Public Presentation in government bodies
	27	Corrective referenda and all binding referenda initiated by the government. Some of the meeting format mentioned under 23 and 24 may also be used
6. Decision -Making	28	Water users associations and other NGOs performing public functions
		Popular initiatives
	29	Some of the meeting formats mentioned under 23 and 24

3.7 Critical Success Factors for External Stakeholder Engagement

Critical Success Factors (CSF) are important functions an organisation must properly carry out for their business or aspect of work to be successful (Rockart & Bullen, 1986). The identification of CSF allows for the channelling of appropriate resources to the most important aspect of organisational activity (Chua, Kog, & Loh, 1999; Tsoy & Staples, 2020). SE involves several components that span the project lifecycle. According to Sequeira & Warner, (2007), there exist eight main components of SE which are considered CSF for stakeholder engagement in the context of this research. They include “Stakeholder Identification and Classification; Information Disclosure; Stakeholder Consultation; Negotiation and Partnerships; Grievance Management; Stakeholder Involvement in Project Monitoring; Reporting to Stakeholders; Management Functions” (Sequeira & Warner, 2007). Each of the CSF will be discussed in the section below.

3.7.1 Stakeholder Identification and Classification

Stakeholder analyses and identification have gained significance in the project delivery process especially in an increasingly interconnected universe. When an issue occurs, be it terrorism, desertification, health challenges, or infrastructure provision, it is evident that such issues pose a concern to a variety of personnel, groups, and establishments. Therefore, such an implication could formulate a power relationship with no one entirely in charge to contain the issues within the network (Kettl 2002). Lecy (2014) and Gan (2018) emphasised the importance of stakeholder analysis as fundamental to the effective management of relationships within networks. Urban infrastructure PPP projects are inclined to network relationships that are characterised by different actors with different needs within the project lifecycle which compete with each other and are not likely to be all met due to scarce resources and project scope. Thus, identifying and analysing the various stakeholders becomes an important activity to carried out in urban infrastructure provision.

The most common tactics for identifying stakeholders are; categorising stakeholders into groups based on their, level of participation in the project, based on the contractual relationship between them and the project and their relative position in the project. For example, Molwus 2014 suggested classifying stakeholders as primary or secondary

stakeholders based on the possession of certain attributes and contractual relationships with the project (see Table 6). While Lester (2007) posited that stakeholders can be classified as direct or indirect. In their contribution, Mitchell, Agle, and Wood (1997) were of the view that stakeholders vary in terms of salience. Therefore, stakeholders should be grouped according to how vocal, important, and visible they are to a project. Another tactic for stakeholder analysis is the stakeholder map or matrix which positions stakeholders according to power or legitimacy. Also, the stakeholder circle has been adopted to align relationships between stakeholders in a network (Walker, Bourne, & Shelley, 2008; Bourne, 2008). However, the process of stakeholder identification and analysis does *not* imply that all likely stakeholders can be satisfied, involved, or considered, only the *crucial* stakeholders are essential, and deciding who is a key stakeholder is integrally a political process (Stone 1997). This requires sound judgement by key project drivers (Barney, 2016; Lewis 1991; Cooper 1998; Vickers and Vickers 1998).

TABLE 6: STAKEHOLDER CLASSIFICATION

According to	Categories	Defining Characteristics
Stakeholder attributes	<ul style="list-style-type: none"> • Dormant • Discretionary • Demanding • Dominant • Dangerous • Dependent • Definite 	<ul style="list-style-type: none"> • Power only • Legitimacy only • Urgency only • Power and Legitimacy • Power and Urgency • Legitimacy and Urgency • All three attributes
Stakeholder vested interest-impact index (viii)	<ul style="list-style-type: none"> • Active opposition • Passive opposition • Not committed • Passive support • Active support 	<ul style="list-style-type: none"> • Pos = -1 • Pos = -0.5 • Pos = 0 • Pos = 0.5 • Pos = 1
Contractual relationship on the project	<ul style="list-style-type: none"> • Internal • External 	<ul style="list-style-type: none"> • Having a contractual link with the project • Having no contract but could affect or be affected by the project
Attitudes towards the project	<ul style="list-style-type: none"> • Proponent • Neutral • opponent 	<ul style="list-style-type: none"> • In support of project • Indifferent • Against the project

Source: Molwus (2014)

3.7.2 Information Disclosure

Information disclosure is the sharing of information is the sharing of appropriate information to interested and affected parties to a project (Sequeira & Warner, 2007). The notion of information disclosure is to foster the sharing of valuable information to stakeholders (World Bank Group, 2016a). In most developed countries, information disclosure is enshrined with the help of functional democratic systems and efficient bureaucracies, non-governmental organisations with strong social mobilisation. However, in developing countries, the demand for information disclosure may be rather weak or disproportionate because of administrative bottlenecks, poor policy, and capability (Kosajan, Chang, Xiong, Feng, & Wang, 2018). Moreover, It is argued that disclosure practices work better where policies that support it are present, and the rule of law prevails which is largely absent in developing countries (World Bank Group, 2016a; Jayasuriya, Zhang, & Yang, 2016).

3.7.2 Stakeholder Consultation

Consultation is a two-way interface between an organisation and its stakeholders. Stakeholder consultation (SC) is a continuous process of sustaining beneficial external relationships over the project lifecycle. Companies that start the process early and take a long-term, strategic view are, in essence, developing their local “social license to operate (Sequeira & Warner, 2007). The stakeholder consultation process consists of processes that can help identify the concerns considered relevant to the project to be managed considering the cause and effect. To properly identify the key concerns of project stakeholders, an ideal consultation process must be identified (see section 3.6.2 for forms of consultation) that is suitable for each stakeholder group (Gray, Hagggett, & Bell, 2005; Neale et al., 2016). However, Jayasuriya (2016) posits that lack of early consultation with relevant stakeholders is a major barrier in PPP projects even in mature PPP markets such as Australia. Lack of stakeholder consultation also causes several issues that limit stakeholder’s acceptance of PPPs in developing countries (Babatunde, Perera, Zhou, & Udeaja, 2015). The process of consultation is important in the PPP project delivery mechanism because it provides a platform for interaction by stakeholders from a variety of backgrounds to exchange views. It is, however, a process that requires coordination by experts (Kovács & Pataki, 2016).

3.7.3 Negotiation and Partnerships

Negotiation is a process where stakeholders with differences try to reach an agreement by exploring choices and bargaining (Fells & Sheer, 2019). Negotiation and consultation are unlike processes, but associated, along with a range of other engagement processes. Although the consultation is disposed to being open-ended and geared towards trading opinions and information, negotiation is geared towards reaching agreement on a specific issue or set of issues identified within the lifecycle of the project (Sequeira & Warner, 2007). Along the engagement continuum, strategic partnerships can evolve between the private partners in the PPP projects and other stakeholders, such as non-governmental organisations and the governments. As opposed to negotiated agendas or promises being executed primarily by the private partner, organisations should seek strategic partnerships through collective actions and cooperative efforts that can build up social capital (Sequeira & Warner, 2007). Due to complexity of PPP projects, as a result of the different interests of stakeholders including other macro factors such as globalisation and strong competition from business rivals, there is a growing need for organisations to have a committed effort in improving the efficiency of negotiation skills of their staff to help them structure transactions optimally for the organisation (Chapman, Miles, & Maurer, 2017; Kim, Pinkley, & Fragale, 2005). Negotiation skills are an important element of both the employee and organisational success (Caputo, Borbély, & Dabic, 2019; Grennan, 2014). However, it entails soft skills which are not conventionally taught in schools but are acquired through experience or specialised training (Jones, Baldi, Phillips, & Waikar, 2017). Negotiation has a substantial impact on the procedures and the results of urban development processes. However, poor practices can lead to adversarial relationships between participants (Corken & McGreevy, 2016).

3.7.4 Grievance Management

Grievance management helps organisations to strengthen beneficial and lasting relationships and generate feedback which can propel sustained positive business outcomes. It is argued that it is important that organisations should embed operational level grievance mechanisms to curtail conflicts as part of the SE process (Boladeras, Wild, & Murphy, 2016). However, such mechanisms must be integrated with the overall engagement. It should be adopted at both strategic and operational levels (Cleland, Wild, & Boladeras, 2014). Grievance

mechanisms permit community stakeholders to raise issues and seek redress from organisations at both operational and strategic levels promptly without recourse to external legal procedures.

However, despite the presence of grievance mechanisms grievances may arise. It is established that lack of concrete remedies at the project and operational level, leads to stakeholder discontent and contributes to grievance mechanism failures (Turke, 2018). Kaufman & McDonnell (2016) also established that many stakeholders, especially users, may feel those grievance mechanisms created by organisations are not potent enough to resolve issues either because they do not offer a remedy in its entirety or because they provide a remedy that is inappropriate to the context and their prevailing culture in the society (Kaufman & McDonnell, 2016). In certain circumstances, the lack of awareness of the existence of grievance mechanisms in projects has denied local communities the ability to seek redress when approaching an organisation to find solutions to daily issues (Turke, 2018). However, proper stakeholder awareness and entrenchment of the mechanism within existing management systems can ensure internal traction of the mechanisms with the business process and thus, improve business outcomes (Atkins, 2015).

3.7.5 Stakeholder Involvement in Project Monitoring

Stakeholder involvement in project monitoring is a social, cultural, and political process that allows stakeholder groups to collaborate to keep track of change together (Doherty, 2016). It is a way that can help ensure that stakeholder concerns are addressed and also encourage transparency (Kerzner, 2017). The outcome of such an engagement exercise can stimulate the commitment of community stakeholders to the project and on issues relevant to their environment and wellbeing. It also makes them have a sense of empowerment as they are engaged to partake in implementing practical solutions to problems facing their societies. Participatory monitoring also fosters relationships between the project and its stakeholders (Sequeira & Warner, 2007). However, a baseline data needs to exist which details the status quo which will serve as indicators before any project or programme is initiated, so that a comparative analysis can be made between the present situation and the initial status quo at intervals throughout the project lifecycle (Guijt, Arevalo, & Saladores, 1998; Doherty, Klima, & Hellmann, 2016). However, with so much information necessitated by different

stakeholders and changing development visions, information requirements become modified, and the indicators will also change. Consequently, selecting the appropriate indicators becomes a problematic task. It also disrupts organisational processes and could be expensive to implement (Guijt, 1998).

3.7.6 Reporting to Stakeholders

Stakeholder engagement requires feedback from affected groups. Reports can be tailored to suit a specific stakeholder group. Sustainability reporting is an example of a report that enables organisations to inform stakeholders on environmental, economic, and social issues of projects (Peters et al., 2016). Similarly, it serves as an avenue to update stakeholders on the stakeholder engagement process by highlighting issues discussed, who participated, and the outcome of the exercise. Accordingly, it has become part of the benchmark for corporate reporting set in several international codes and standards for corporate reporting (Sequeira & Warner, 2007). However, language barriers and educational levels and disparity between corporate values and societal values could pose a challenge when providing reports (Patten, 1992). Hence If such reports are not adapted to specific stakeholder groups the organisation can lose its legitimacy within the society because its report is not able to communicate or capture societal concerns (GRI, 2013).

3.7.7 Management Functions

The management of the stakeholder engagement process should be treated as an aspect of other core organisational functions. These should have clear objectives and goals, specialised, devoted staff, agreed deliverables, and cost benchmarks, including top management obligations and supervision instituted in the organisation (Sequeira & Warner, 2007). For an organisation to reap the benefit of its business environment and address challenges that emanate from it, there is a need for the firm to blend, forge and realign internal and external capabilities for stakeholder engagement (Teece, Pisano, and Shuen, 2007, p. 516). For example, dynamic managerial capabilities are key to performance in the discharge of organisational functions such as stakeholder engagement (Cleland and Ireland, 2007). Management functions need also to be integrated through the lifecycle of complex projects such as PPP (Gary, & Amy, 1997; Murray, 2015).

3.8 Barriers to External Stakeholder Engagement

A *barrier* is a challenge that inhibits two individuals or groups from reaching consensus to collaborate or communicate with each other (Oxford Dictionary, 2020). Stakeholder engagement could be a daunting task and challenging. In contrast to internal stakeholders, external stakeholders are often difficult to identify to engage and identify their needs (Hall & Vredenburg, 2005; Payne & Calton, 2017). The following list in 3.8.1 to 3.8.12 consists of the barriers which have been identified in literature which can hinder external stakeholder engagement.

3.8.1 Conflicting Agendas

Stakeholder engagement could experience a conflicting agenda from stakeholder groups. Most often stakeholders do not share the same enthusiasm towards an issue. In such cases, they tend to be nonchalant in supporting a view or they may oppose a view that does not align with their agenda. Again, some stakeholders are more powerful than others hence their views will dominate other views. This could lead to distrust and creation of subgroups that have common problems, agendas, or values which could make the objectives of the engagement process difficult to achieve (Sagoff, 1998). This makes the outcomes of the engagement process far from certain (Spash, 2007).

3.8.2 Scarce Resources

The establishment of an engagement process can be very expensive. Therefore, the engagement process can be highly constrained by budgetary provisions (Fung, 2015). The process could be costly both from resource utilisation and expenses point of view, especially for small and medium scale companies since they are more sensitive to the cost and complexity of the overall impact it will have on their business processes. Meng, Huang, Yang, & Su, (2007) have argued that the common notion that the external stakeholder engagement process is expensive, usually deters organisations from adopting the strategy (de Luca, 2014; Vandekerckhove, Leys, & Van Braeckel, 2008). Consequently, due to the lack of

sustainable resource allocation, effective and inclusive stakeholder engagement in project execution can be difficult (Mease, Erickson, & Hicks, 2018).

3.8.3 Power Conflicts

The various stakeholders that are relevant to an organisation or project usually possess different attributes. Therefore, an engagement process will be subjected to internal dynamics and differences of stakeholder groups. For external stakeholders, the issues of complication of community differences such as class, age, economic, ethnic, religious, and gender have not been usually adequately dealt with in the stakeholder engagement process (Guijt, 1998). As a result of power complexities, there could be a deliberate exclusion of those who hold views contrary views with certain dominant stakeholders in an engagement process (Beierle & Konisky, 2001).

3.8.4 Resistance to Change

The traditional view of the firm is to champion shareholder value creation as opposed to harmonising the values of all persons or groups that have a stake in the organisation (Freeman, 2013). Similarly, in the public domain, bureaucrats are averse to the idea of the need to institute citizens' participation in the governance process to advance social justice (Fung, 2015). This traditional approach to management has made management in both public and private organisations resist the idea of external stakeholder engagement in the business process/project execution.

3.8.5 Lack of Trust

The lack of trust between stakeholders in a business or project relationship can affect a stakeholder engagement process. Trust is multidimensional and requires all parties in a relationship to be at ease with each other and work cooperatively without suspicion and need to question or monitor the actions of others. Fung, (2015) found out that the hidden intents and trust deficiencies reduce the ability of government or private organisations to discharge their functions without suspicion and objection from external. Beierle & Konisky, (2001) found out that trust deficiencies between external stakeholders and government or

organisations result in a 'crisis in confidence' in the governance process (Beierle & Konisky, 2001). Additionally, the lack of trust escalates project risks and difficult for those championing the engagement process to carry out their duties (Gurtner-Zimmermann, 1996; Lawrence, 2012).

3.8.6 Lack of Extensive Client Participation

PPPs are geared towards the outsourcing of public responsibility to private organisations. Therefore, the lead agency must be seen to be committed to the project delivery process (Gurtner-Zimmermann, 1996). Similarly, some silent yet important stakeholders are overlooked in the engagement process which could lead to the exclusion of important stakeholder feedback on management alternatives (O'Neill, 2001). Lack of extensive participation could lead to poor external stakeholder perception of the process and the eventual negative outcome of the engagement process (Landre & Knuth, 1993; Grover & Krantzberg, 2012).

3.8.7 Passive Stakeholder Involvement

The legitimacy deficits of the engagement process are often caused by the systematic exclusion of certain groups of stakeholders in the decision-making process. The champions of the engagement process could restrict the participants' influence over outcomes. In the long run, this could lead to adversarial tendencies of such a group of stakeholders when they realise that their inputs have been rendered trivial in the embankment process (O'Neill, 2001).

3.8.8 Subversive Stakeholders

Some groups of stakeholders can be subversive to the engagement process, particularly in situations where they are in an advantaged position to steer the purpose and events of the engagement process (Wang, 2018). Several studies revealed that subversive stakeholders conceal their identities and intentions, deliberately limit the access to information important to the inputs of other stakeholders to decision making process. This could lead to increasing tension within the network relationship, provoking criticism, and opposition of views and decisions (Fiorino, 1990; Mease et al., 2018). The findings of Rost & Glass (2009) in a study revealed that subversive stakeholders can also inject "poisoned" ideas into the

engagement process that at first look rational but will result in grave consequences in the course of the project implementation at a time when it will be difficult for remedial actions (Rost & Glass, 2009).

3.8.9 Low Turnout in Meetings

Effective stakeholder engagement requires extensive reach and inputs of relevant stakeholders. In a study by Beierle & Konisky (2001), they found out that decisions taken by organisations do not align with public values and do not appeal to a broad range of stakeholders because of a lack of collective input from people who have a stake in the outcome of an issue. Hence there is a need to ensure adequate participation in stakeholder meetings. Fung, (2015) found out that when certain groups of external stakeholders do not participate in the engagement process because of a lack of interest in the issues to be addressed or other logistical issues. More often these groups of external stakeholders are frequently more socioeconomically disadvantaged than the broader population (Fung, 2015).

3.8.10 Lack of Leadership

The first step of an effective engagement exercise is that of leadership (Landre & Knuth, 1993). Every important engagement process must have a champion, or set of champions, in government civil society, within the community or other groups that has the creativity to adapt some engagement design to particular needs and circumstances (Fung, 2015). However, when the various stakeholder groups do not have a leader who could be politically savvy to identify and organise allies who could assist to articulate and champion their position, the engagement process could suffer repeated setback (Landre & Knuth, 1993).

3.8.11 Lack of Technical Capacity

In developing countries, one of the key constraints which impedes the engagement of stakeholders is the lack of technical capacity to carry out the SE process (Eberlei, 2007; MacLachlan et al., 2017). It has also been revealed by Mease et al. (2018) that there is a chronic lack of capacity to conduct outreach and connect with constituents by stakeholder organizations in developing countries (Mease et al., 2018). However, several authors have

found out that lack of such capacity requires the knowledge and institutional structure to make changes happen that lead to effective engagement (Landre and Knuth, 1993; Beierle & Konisky, 2001). Similarly, the level of knowledge and education of the external stakeholder also affects the engagement process (Mease et al., 2018). Various researchers have also established that public and private partners' capacity deficiencies regarding management competency such as stakeholder engagement, is a major barrier to effective PPP project delivery in developing countries (Walker, Ameyaw, & Chan, 2015; Ahmed & Sipan, 2019; Umar, Zawawi, & Abdul-Aziz, 2019). The lack of expertise of both the public and private sector stakeholders has been further highlighted as one of the major causes of PPP project failure in Nigeria (Ahmed, 2011; Babatunde, 2015). The knowledge of the PPP scheme is lacking, in both public and domestic private sector organisations (Iboh, Adindu, & Oyoh, 2013; Idris et al., 2013; Onuorah, 2014).

3.8.12 Absence of Legal Requirements for External Stakeholder Engagement

Successful public engagement and implementation of national policy guidelines which may be rooted in a wide variety of distinct local policies, integration with routines and standard operating procedures, offers a foundation for urban areas to advance the agenda (Betsill, 2001; Burch, 2010). Mease et al. (2018) have argued that the lack of legal requirement which mandates stakeholder engagement in urban development could, make engagement processes ineffective.

3.9 Summary of Chapter

Stakeholders are those groups who can affect, or are affected by, the actions or activities of an organisation. Stakeholder engagement (SE) is an organisational competence enclosed within the foundation of an organisation's resources. SE involves several practices that organisations carry out to ensure that all relevant stakeholders to the organisational activities are carried along. Some key critical factors which determine the success of a PPP project are risk management and offering value for money which stakeholder engagement helps in ensuring. This is because the interest of the multiple stakeholders involved in PPP might not align, resulting in contradicting purposes. However, in such circumstances, SE has both strategic and operational importance in avoiding conflicts and balancing stakeholder needs

and expectations in a PPP project. Existing literature reveals that the objectives that inform stakeholder engagement in organisations could differ and can be used to characterise their practices. Stakeholders could be engaged at different degrees. There are three main ladders of engagement. The starting point is level zero that is, stakeholder engagement which indicates the absence of stakeholder participation. The second ladder signifies a low level of stakeholder participation (awareness, information, and consultation) and the third ladder indicates high stakeholder participation (discussion, co-design, and co-decision making). The participation of external stakeholders, especially at the community level, is a vital aspect of the urban development process that seeks to establish a set of activities that serve a medium of functional communication between the project initiator and the community. However, most urban projects rarely engage the community as project stakeholders, for those that attempt to engage them, it is mostly cosmetic which leads to public resistance or protest against the project. Different tools and techniques exist for stakeholder engagement; hence, multiple types should be used. However, SE could be a challenging and cumbersome process, due to a variety of factors that relate to costs, poor skillsets, absence of legal requirements for engagement in urban development, and proper management processes. The following aspect of the thesis will attempt to develop a theoretical framework that can facilitate the identification of key factors that affect SE in PPP urban infrastructure projects in Nigeria.

CHAPTER 4: THEORETICAL AND CONCEPTUAL FRAMEWORK

4.1 Introduction

The reviewed studies indicated that collaborative infrastructure provision such as PPP is a key strategy for bridging infrastructure deficit in Nigeria. However, the various stakeholders, especially external stakeholders in urban infrastructure projects must be engaged with order for project success to be realised in PPP urban infrastructure projects. In the introductory chapter of the study, it was identified that a gap exists in the studies on the governance of Stakeholder engagement in PPP infrastructure. Similarly, existing studies have identified external engagement related issues in urban infrastructure PPP projects globally (see section 2.4.2) and in the context of Nigeria (see section 2.6.2 of this study).

It has been reported that structured stakeholder involvement can help improve infrastructure delivery (Akintoye and Kumaraswamy, 2017). However, most stakeholder frameworks in existence are not tailored to PPP projects (Bal, Fearon & Ochieng, 2013). The majority of stakeholder frameworks have well identified failures such as being too complicated, only engage with limited stakeholders, and at certain project stages and only consider certain inputs whilst not acknowledging others. For example, Henjewe, Fewings and Rwelamila, (2013) co-initiated a framework that emphasised integrating the ideas of external stakeholders through the project lifecycle. Junxiao Liu, Love, Smith, Regan and Davis (2014) developed a framework using a performance prism, to measure CSF for the performance of PPP stakeholder organisations through the project lifecycle. Similarly, based on PPP CSF, Babatunde (2015) developed a guide to help stakeholder organisations involved in PPP projects in achieving higher project delivery capability in Nigeria and developing countries. Amadi (2016) developed stakeholder management for PPP road infrastructure project delivery in Nigeria. Toriola-Coker (2018) developed a stakeholder engagement framework for end-users in PPP road projects in Nigeria.

Common problems highlighted with other proposed stakeholder frameworks such as that of Liu, Love, Smith, Regan & Davis (2014), El-Gohary, Osman & El-Diraby (2006) and Bal, Fearon & Ochieng, (2013) include a narrow focus, complexity of use, a lack of acknowledgment of some important issues of urbanisation, and lack of established protocols

The lack of a relevant, well developed, and widely adopted stakeholder framework is therefore a problem that is arguably holding back the effectiveness of PPP delivery in Nigeria. The following section of the study intends to establish a theoretical framework that can facilitate the development of a conceptual framework for examining external stakeholder engagement related phenomena in PPP urban infrastructure projects in Nigeria.

4.2 Defining Theories and Frameworks in the Context of the Research

The clarification and visualisation of phenomena lie in the realm of theories and frameworks (Sabatier, 2007). Frameworks constrain research and steer the curiosity of the researcher to important aspects of the social and physical landscape. Frameworks serve as the basis for research by specifying groups of variables and universal relationships among them. Frameworks shape inquiry and cannot independently clarify or predict actions and results but rather require theories to establish a phenomenon (Ostrom, 1990, 2000; Osanloo and Grant, 2016). This affirms that theories and frameworks work collectively to explain a phenomenon such as SE in PPP urban infrastructure projects. In this regard, the following part of the thesis will identify and critically evaluate relevant theories that can help in identifying the key elements that can mitigate barriers or drive the critical success factors for external stakeholder engagement in PPP urban infrastructure projects in Nigeria.

4.3 Theoretical Approaches Relevant to the Concept of the Public-Private Partnerships in the Study Context

Theories form an important validation for research (Willing, 2001). Hence this study will not be complete without identifying theories relevant to the arguments presented in the study. The research adopts stakeholder theory as its theoretical point of departure. The theory relates to the nature of the relationships between business and society in terms of both processes and outcomes (Miles, 2017). Stakeholder theory is not a single theory by itself, but a combination of wide-ranging narratives (Gilbert & Rasche, 2008; Hill & Jones, 1992; Rowley, 1997). It applies to the field of corporate ethics and governance, strategic management, and finance (Miles, 2017). It has also been applied in the field of urban affairs (see section 3.3 for details of the stakeholder theory) (Deloitte, 2016; Friedman & Mason, 2004). This research adopts

an instrumental approach because it attempts to develop a framework that can improve stakeholder engagement in PPP urban infrastructure projects. Donaldson and Preston (1995) have asserted that an instrumental approach to stakeholder theory proffers solutions which could improve corporate performance.

However, PPPs are business relationships between public and private organisations on explicit contractual conditions to achieve certain objectives that are beneficial to both parties (Fewings, Rwelamila, & Henjewe, 2019). This brings organisations to be positioned in a borderline, displaying both public and private organisational attributes (Collin, 1998). Reactions to stakeholder issues in private entities are driven by the traditional view that the cardinal purpose of the organisation's existence is for economic benefit. On the other hand, the reaction to stakeholder issues in government entities is driven by the cardinal objective of the government to meet the aspiration of the whole of its citizens, not tilted towards a particular set of stakeholders. As Rabaiah and Vandijck (2007) assert, the community is central to the overall strategic existence of public and private organisations whether for political, social, or economic reasons (see Table 7).

TABLE 7: STRATEGIC OBJECTIVES OF GOVERNMENT AND PRIVATE ENTITIES

Criteria	Business	Government
Aim	Maximized profit (clearly defined)	Well-being of society (stability)
Driver	Business value	Constituents' needs
Processes	Administrative/technical	Legal/political
Client's relationship paradigm	Consumership	Citizenship
Operation	Centralized	Decentralized/autonomous
Emphasis	Efficiency, profitability	Correctness, credibility

Source : (Rabaiah & Vandijck, 2007)

Therefore, responses to stakeholder issues in PPP projects cannot be made within the traditional understanding of private organisations where the relationship between business and society is driven by purely economic objectives. It is established that a set of policies and

mechanisms are fundamental to managing project uncertainties and shift the traditional objectives of organizations from purely economic to such that can balance off between organizational objectives and public value (Buchholz & Rosenthal, 2004; Dewulf & Garvin, 2020). To evaluate the stakeholder engagement phenomenon in PPP projects in Nigeria, three theories have been adopted namely; Public Policy Theory, Agency Theory, and the Corporate Social Responsibility (CSR) Theory (see table 8 below). First, the objectives of government are driven by established laws and regulations which are guided by Public Policy Theory (Buchholz & Rosenthal, 2004). Therefore, to identify the factors which foster relationships between government and societies, the Public Policy is adopted. Second, for governments to achieve their objectives for infrastructure and service provisioning through PPP to its citizens, the government outsources its services to a private agent to achieve a common goal (Grimsey & Lewis, 2007); This is driven by the Agency Theory (Eisenhardt, 1989). Therefore, to identify the factors within the agency relationship which governments and private organisations can influence stakeholder engagement in Nigeria PPP and societies, the public policy is adopted. Similarly, an organisation’s conduct while achieving its objectives is driven by its corporate governance practices which seek to align its values to community stakeholders (Ali, Danish, & Asrar-ul-Haq, 2020). This is driven by the Corporate Social Responsibility (CSR) Theory (Carroll, 2008). Hence, the CSR theory will be adopted to guide the identification of factors that could influence community and corporate relationships.

TABLE 8: CONCEPTS AND THEORIES GUIDING THE RESEARCH PROCESS

Key Research Concepts in PPP Projects	Theory	Main Driver
Government / Community / Private Sector Relationship	Public Policy Theory	Participatory Governance
Government / Private Sector Relationship	Agency Theory	Goal Setting
Community / Private Sector Relationships	Corporate Social Responsibility Theory	Value Alignment

Source: Author’s view

4.4 Agency Theory

Stakeholder management theory is the basis for the application of agency theory in PPP projects. Both an agent and his principal are all considered stakeholders in any project environment (Rwelamila, Fewings, & Henjewe, 2014). Shankman (1999) revealed that “agency theory is a narrow form of stakeholder theory”. The concept of agency means one party, a principal, hires another party, an agent, to perform tasks desired by the principal. which involves the delegation of some decision-making authority to the agent (Jensen & Smith, 2000). However, an agency could give rise to various challenges. Firstly, principal and agent conflict. Secondly, the lack of ability to verify the actions or activities of the agent by the principal (information asymmetry). Thirdly, risk-sharing related issues (Eisenhardt, 1989). In PPP urban infrastructure project delivery, the principal may face informational disadvantages at the implementation stage of the relationship such as ‘adverse selection,’ and ‘hidden information, which could give rise to the so-called “hidden characteristics” problem (Linder & Foss, 2013). It has also been established that in agency relationships such as PPP agents often tend to maximise profit and diverge from the key goals of his principal (Cunliffe and Luhman, 2012; Linder and Foss, 2015).

The key objective of urban infrastructures is to provide value to the general public. However, Gardiner (2005) has argued that despite the general public (external stakeholders) being key stakeholders in a PPP arrangement, they are not considered as full-fledged PPP stakeholders which creates a delegation complexity. He also stated that government/public organisational goals are dynamic and intersect with project goals. This situation sometimes necessitates changes to the original project goals by the government (emergence of a macro level problem of “mission creep”) without proper consultation with the general public. Gardiner (2005) adds that such situations give rise to project challenges associated with relationship management, a phenomenon he termed as a delegation complexity. However, Rwelamila et al. (2014) assert that the people/ community are often perceived as external shareholders in a project but they are the true principals in urban infrastructure projects (see figure 19). They also argue that external stakeholders such as the direct and non-direct users in the general public should be collectively regarded as real stakeholders of a project through adequate engagement.

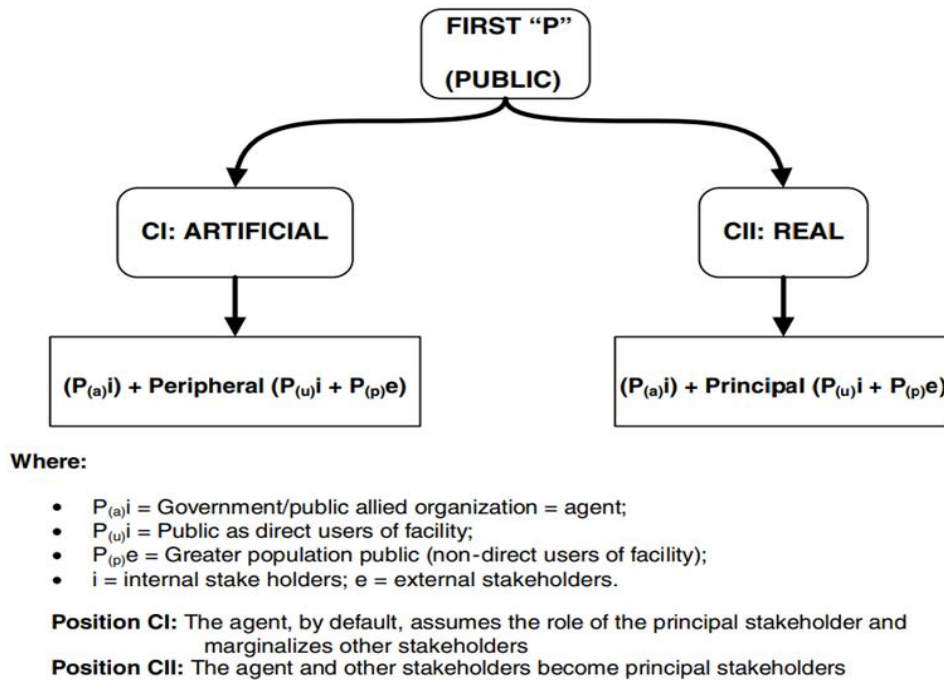


FIGURE 19: UNDERSTANDING THE PPP ENVIRONMENT FROM THE AGENCY THEORY PERSPECTIVE. SOURCE: (RWELAMILA ET AL., 2014).

There exist two lenses of agency theory namely the behavioural and positive agency theory. The behavioural perspective argues that the interests of the principal and their agents may tally with the appropriate financial stimulation as a reward for their work. The key factors which underpin behavioural agency theory are as follows:

- Prevention of depletion of resources and reference requirements.
- Choices on unforeseen or unavoidable events
- Time discounting
- Detesting fairness and discrimination (Camerer, Loewenstein, & Rabin, 2004).

Further arguments on the behavioural perspective of Agency theory posit that intrinsic and extrinsic motivations are essential (Pratt, Zeckhauser and Arrow, 1985). Also, management is generally not inclined to the outcome of engagement which may be able to cause loss to organisation and yet, management will not tolerate liabilities of issues that can impede business (Gan, Suresh, and Yan, 2004). This means that agents will be loss averse, with an increasing desire for short term risks with high economic returns (Grüne-Yanoff, 2015;

Strulik et al., 2016). This results in preferences for small rewards that occur sooner over larger, later ones.

From the behavioural perspective of Agency Theory, the contribution of Bao and Wu (2017) to this argument is relevant to what agents perceive as a reasonable reward. They argue that proper compensation of agents for their efforts by agents can lead to improved productivity by the agents (Bao & Wu, 2017). However, Pepper and Gore (2015) assert that poor motivation and adversarial relationship between agents and the principal can lead to a drop in productivity. The positive lens of Agency Theory argues that a corporation provides an environment where a network of an intricate set of agreements exists which is spelled out or assumed between several groups or persons. It is also argued by the proponents of the positive lens of Agency theory argue that agency costs are caused due to the diverse wants and promises made between principal and agent ((The British Academy, 2018; Jensen and Meckling, 1976).

Agency theory focuses on the costs of the possible lack of convergence of interest between principals and agents, referred to as “agency costs. This means the total expenses incurred in the transaction between the agent and the principal which includes costs of arranging, connecting, and tracking contracts by the agent (Jensen, 2002). Loss can be reduced if the proper reward system is incorporated in agreements based on the performance of the agent, this is in line with Positive Agency Theory. Outcome based performance fosters agents to align goals with the principal, and information asymmetry ensures that the principal can have the agent behave in a manner that suits him (Eisenhardt, 1989). Grimsey and Lewis (2007) and Iossa and Martimort (2015) assert that goal realisation is the primary driver for the adoption of PPP tool in urban development. Numerous authors have also emphasised that having a common goal among public and private partners is a key determinant of the success of PPP projects (Chan, Lam, Chan, Cheung, & Ke, 2010; Cheung, Chan, & Kajewski, 2012; Ismail, 2013). However without mechanisms that will ensure outcomes, achieving common goals between the principal and agent can be difficult due to relationship complexity (Eisenhardt, 1989).

To this end, it has become pertinent to develop strategies that can help negate impediments to project goal realisation. Some scholars have identified that the key issues that negate goal

realisation are inclined to corporate management which could be tackled through embedment of governance mechanisms and improved governance capability (Jiajia Liu & Tylecote, 2009; Quelin, Cabral, Lazzarini, & Kivleniece, 2019; Xiong, Chen, Wang, & Zhu, 2019). Following this argument, Verbeeten (2008) presented key elements of agency theory that can lead to goal realisation as the following: setting clear and measurable goals, decentralisation of governance process, the establishment of the performance measurement system, provision of incentives to reward performance, reduced task complexity and characteristics of workforce see Figure 20.



FIGURE 20: KEY ELEMENTS FOR GOAL REALISATION IN PARTNERSHIPS. (ADAPTED FROM VERBEETEN, 2008).

4.5 Corporate Social Responsibility (CSR)

Bowen (1999) has reported that Bowen (1953) was the original proponent of the theory of corporate social responsibility (CSR). He asserts that organisations should not solely be driven by economic benefits and rather be vigilant on the way they behave in society. Following his work, numerous scholars began to give different connotations and scopes of corporate social responsibility from different angles. Several people associate it with a benevolent contribution; while others ardently embrace it as synonymous with ‘legitimacy’. Others perceive it as a kind ethical commitment that mandates higher benchmarks of conduct

on the organisation than on the general public (Carroll, 1999). Carroll (2016) is convinced that CSR is akin to a fresh notion of the role of business in society and subject to one's perspective of it; he further asserts that the notion commonly intersects with other philosophies on the responsibilities of for-profit companies in the community. The concept of CSR is not only a response to higher social expectations but also a strategy that can help mitigate risks. It also serves as a means of meeting sustainable development goals objectives (Stawicka, 2017; Rendtorff, 2019).

Traditionally, the public and customers of organisations form an opinion of an organisation based on the quality of its service or products, affordability, and turnover. Presently, a number of studies carried on public perception on organisation revealed that the public make perceptions on organisations are based on corporate responsibility such as the treatment of employees, community involvement, ethical and environmental issues (Darigan & James, 2009; Brammer et al. 2012; Freeman & Dmytriiev, 2017). Darigan and Post (2009) add that this shift in organisational behaviour is synonymous with the concept of Corporate Citizenship which generates vital social capital for an organisation.

The relationship between citizens and government is governance. However, It is established that organisations act citizenly by engaging in activities that will foster dialogue, collective decision-making, and sharing the responsibilities with the government and community. CSR demands relationship building with stakeholders and by responsibly using power and resources at the disposal of organisations which is usually operationalised through stakeholder engagement (Waddock, 2011). The central purpose of CSR is to resolve issues and foster social relations by keying into community values (Carroll, 2015). Carroll (1979) presents a Pyramid of CSR based on his earlier work that shows the interrelationships of economic, legal, ethical, and philanthropic responsibilities of organisations to society while carrying out their business activities (see Figure 20). His findings were later validated by (Aupperle et al. 1985) and similarly established by John (2001).

However, Dawkins & Lewis, (2003) in their study found that, if organisations do not sufficiently respond to the pressures of society, through strategies such as CSR, it could translate to unrest and litigations. Further, this could eventually lead to negative corporate

image, company alienation from the rest of society, reduced reputation, and declining revenue (John, 2001).

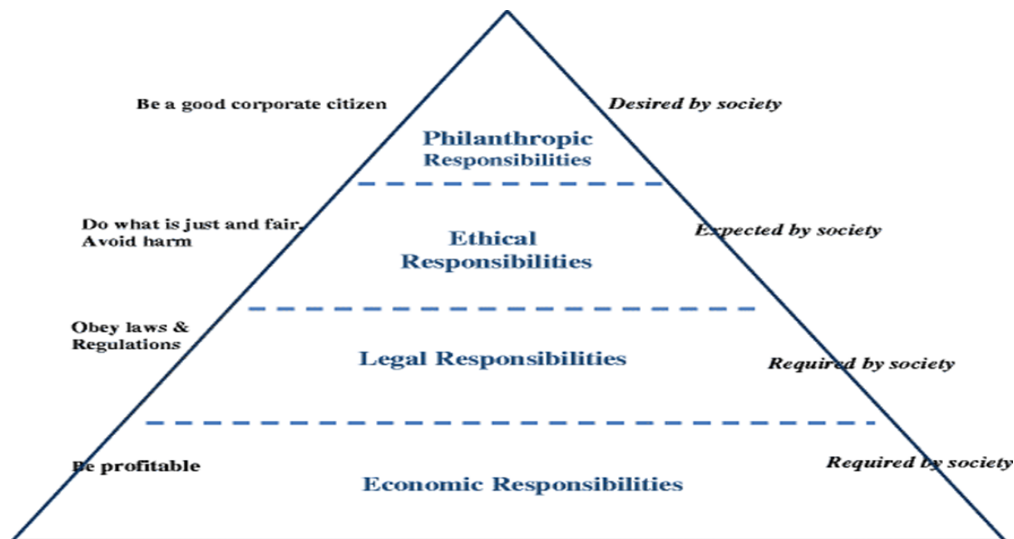


FIGURE 21: PYRAMID OF CORPORATE SOCIAL RESPONSIBILITY. (CARROLL, 1979)

4.6 Public Policy Theory

Stakeholder theory is a subset of public policy issue which may differ from one area to another due to the impact of public policy difference (Buchholz & Rosenthal, 2004). As stated by Lowi (1964) asserts "policies determine governance" which may be peculiar to a particular jurisdiction. He established in publications that typified public policy to comprise of "regulatory", "distributive", "redistributive", and "constituency" policies in his later work (Lowi, 1972). He also added that there are differences between policy types that produce different outcomes when analysing a phenomenon, and therefore research should focus on a single policy type among the earlier mentioned four (see figure 22 below). However, since Lowi's earlier works, various frameworks have emerged that focused beyond the particularities of policy developments that provided a guide to researchers and practitioners on how to understand the complicated set of socio-political procedures that generate policies as well as its outputs and consequences (Adler & Seligman, 2016; Althaus, Bridgman, & Davis, 2013; Motta, 2004). There have also been attempts to scrutinise the link between public view and policy modification, and public view and policy outcomes. More recently, researchers have remained interested in the subject matter. Their findings have revealed that public view has a significant impact on a public policy especially on issues that are very

prominent and that tracing convergence between policy opinions and policy outcomes can provide a useful insight into policy development (Drezner, 2001; Bull, Gordon, Watson, & Maron, 2016; Stone, 2017; Wlezien, 2017).

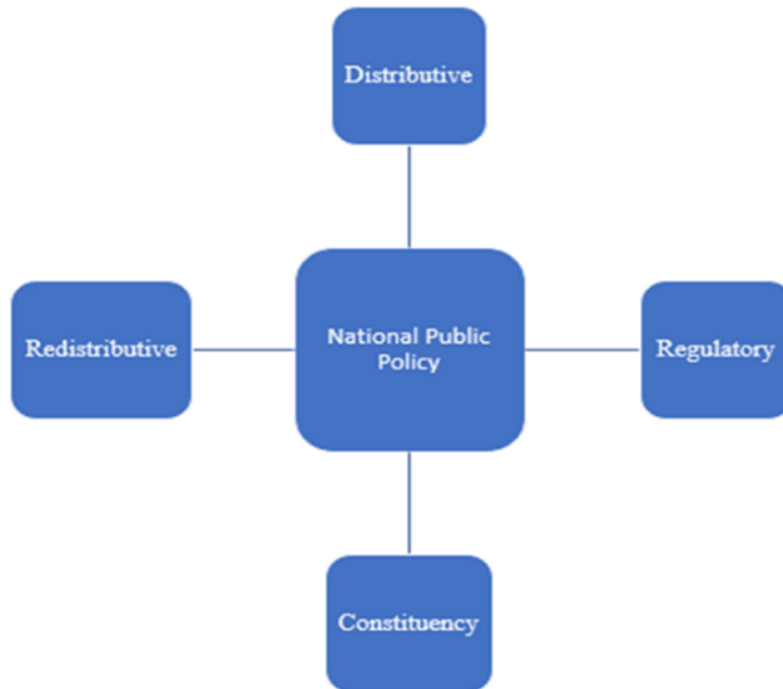


FIGURE 22: PUBLIC POLICY ELEMENTS (ADAPTED FROM LOWI, 1964, 1972).

Burns and Carson (2009) interpret a policy model as a composite group of presupposition, ideologies, and frameworks that take into account the relationship between concepts, organisations and organised stakeholders involved in political and bureaucratic processes. They further stressed the need for a policy paradigm to outline challenges and from where they emanate. Additionally, such issues must be attended to by organisations concerned. Similarly, the policy paradigm must offer appropriate accessible mechanisms and capital to solve the issues. The policy paradigm should also state the key stakeholders (specifying their roles in solving the issues). Additionally, Burns and Carson (2009) assert that a policy paradigm generally recognises agents with unique competence (well-informed, convincing specialists) to describe and resolve the issues.

4.7 Implications of Theories

All three theories relate to the governance of SE in PPP infrastructure delivery from the perspective of stakeholder engagement (see Figure 23). Agency theory relates to PPP urban

infrastructure projects by providing a framework for designing and understanding governance controls that will curtail differences in opinion, interests, and priorities between the principal (Government/Public organization) and agent (Contractor/Investor) in a PPP project. CSR theory is concerned with the economic, legal, ethical, and philanthropic obligations of organisations during PPP project delivery. This theory sets the governance framework in which organisations (agents of government e.g. contractor/investor) interact with other stakeholders (the community and larger world) concerning PPP urban infrastructure projects. The public policy pertains to the set of rules and strategies that guide activities carried out by the government to implement programmes that help achieve societal goals. This theory relates to PPP urban infrastructure project governance by setting the appropriate framework in which the entire stakeholders will collectively operate with ease (it governs the relationship between the government/public organization and citizens e.g. community, local groups and NGOs).

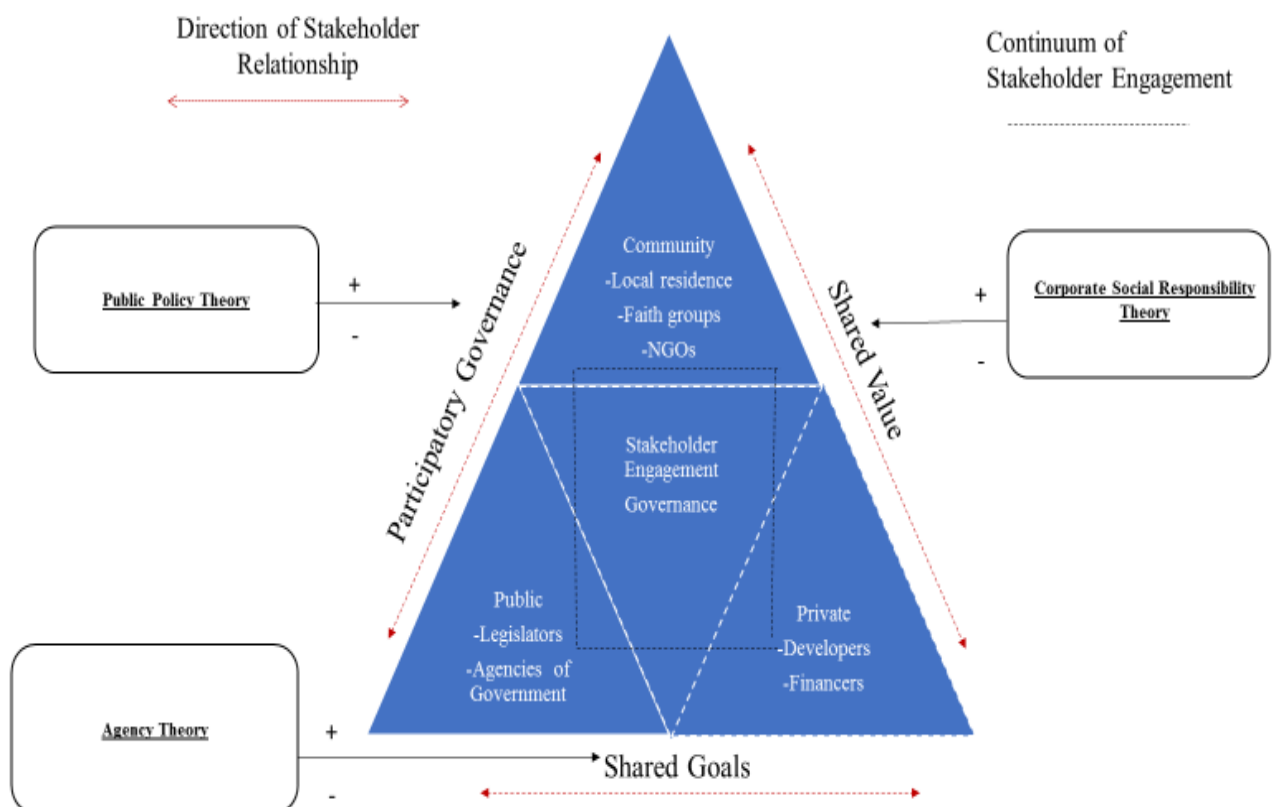


FIGURE 23: THEORETICAL FRAMEWORK FOR SE GOVERNANCE IN PPP URBAN INFRASTRUCTURE PROJECTS

However, all three theories have not been collectively explicitly adapted to evaluate and offer solutions that can ensure the effective engagement of public stakeholders in PPP projects. Presently, government agencies and private organisations always perceive external stakeholders as less important stakeholders to be engaged while taking decisions within the life cycle of urban infrastructure projects which often results in project challenges (Bal, Bryde, Fearon, & Ochieng, 2013). This has resulted in public resentment on PPP projects resulting in project failures. Pieterse, Parnell, & Haysom, (2018) argues that the provision of urban infrastructure through PPP are meant to reverse high level of poverty, huge infrastructure deficit, weak capacity and a scarcity of finance, however, in African cities such as Nigeria, efforts by multinational organisations and private organisations to partner with the government have been tipped towards a particular stakeholder segment that can afford the service without due consideration on the impact of the project on other external stakeholders (Pieterse, Parnell, & Haysom, 2018).

Despite the setbacks of PPP, the present challenge posed by the phenomenon of urbanisation has intensely increased urban infrastructure need and increased poverty levels in Nigeria urgently calls for increased infrastructure provision which PPP can offer (Turok, 2016). However, due to the difference of institutional logics of both private and government entities and the dynamics of external stakeholder needs in PPP projects has remained challenging. Hence there is a need to understand the challenges of SE from the perspective of the theoretical framework in Figure 23. Additionally, identification of appropriate governance mechanisms that can cut across the various institutional logics is important to assist in curtailing the challenges of stakeholder engagement in PPP urban infrastructure projects in Nigeria and serve as a way to maximise and diffuse the socio-economic and environmental benefits of PPP projects to the various external stakeholder groups (African Development Bank, 2013; Bank, 2013; Ingram & Brandt, 2013; Tasan-Kok, Atkinson, & Refinetti Martins, 2019). Governance mechanisms will be elaborated on in the next section of the research.

4.8 Governance Mechanisms in PPP

Governance is the process of alliance and decision making between stakeholders involved in the realisation of an objective. Governance mechanisms are control functions that ensure that set objectives between organisations and their stakeholders are realised (OECD, 2011). However, the concept of Governmentality also draws attention to mechanisms as policies or tactics adopted by the government in the process of governance (Dean, 2017; Mayes, 2020). It lays more emphasis on the specific policy or programmes established in distinction to the traditional emphasis on abstract principles of rule (MacKinnon, 2000). For example, specific government programmes that are often consistent with underlying political logic that will enhance the willing participation of the general public in the governance process (Abdullah & Khadaroo, 2017). Governance in PPP refers to the rules that define the interaction among stakeholders or actors to create order and transparency in the relationship (Andrews, Ferry, Skelcher, & Wegorowski, 2019; Skelcher, 2010).

Governance mechanisms are commonly adopted to reduce the risk of hazards and improve relationships with stakeholders through formal control processes (Formentini & Taticchi, 2016; Oecd, 2011; Pfeffer & Salancik, 2003; Wilding, Wagner, Gimenez, & Tachizawa, 2012; Williamson, 1991). It has been established that governance mechanisms ensure compliance or behaviour control (Epstein & Buhovac, 2014; Pfeffer & Salancik, 2003; Porter, 2011). Tusalem, (2015) asserts that a governance mechanism could entail regulation quality, political stability, rule of law, bureaucratic effectiveness, and corruption control. While Amavilah (2015) argues that governance mechanisms could be grouped into political governance, economic governance, and institutional governance. This also supports the view of Kaufmann, Kraay, and Mastruzzi (2011) which has been the most widely employed in the literature. However, Skelcher (2010) argues that the aspects of governance that concern PPP are Legal Governance, Regulatory Governance, Democratic Governance, And Corporate Governance. However, following the theories adopted in the research in section 4.4 to 4.6, this study adopts aspects of the argument of Amavilah (2015), Kaufmann et al. (2011), and Skelcher (2010). As illustrated in figure 24, this study adopts Political governance, Regulatory governance, Corporate governance, and Economic governance as the key aspects of governance that affect stakeholders in PPP urban infrastructure projects (Skelcher 2010).

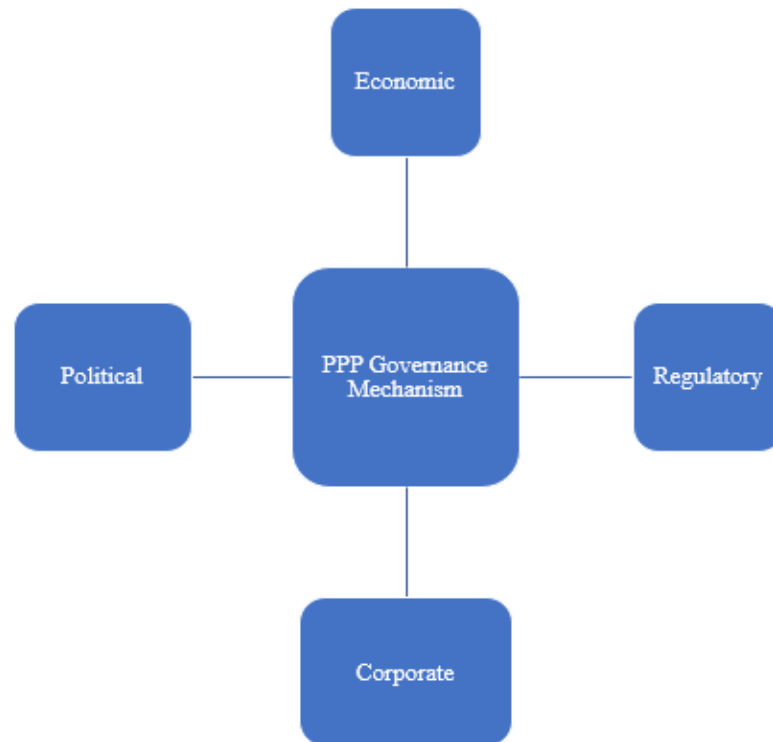


FIGURE 24: THE MECHANISMS FOR THE GOVERNANCE OF PPP (ADAPTED FROM SKELCHER, 2010).

4.8.1 Political Governance

Political governance deals with the exercise of authority to achieve collective decisions. The principal components of political governance are voice and accountability (Asongu & Odhiambo, 2019). Studies show that good political governance arises from the equitable representation and treatment of all stakeholders (Hodge, Greve, and Boardman, 2010). The study of Bevir, (2006) shows that bureaucracies form part of a legitimate democratic order which to Historically, bureaucracies have been considered part of a legitimate democratic order which is regulated by the legislature to ensure accountability. However, there is a need to ensure that political institutions and laws are present to uphold the authority of a government while assembling views, personalities, and interests of citizens (Hodge et al., 2010).

However, with the emergence of markets and networks such as PPP replacing bureaucracies, there is a need to ensure that the PPP as an instrument of governance remains appropriately democratic (Bevir, 2006). Perhaps there is a need to evolve existing norms or usher in new concepts or mechanisms of democracy that are suitable for PPP as a contemporary governance strategy in urban development especially in developing countries such as Nigeria. Studies indicate that PPPs have posed a great deal of use and classification issues; they are also often brought about by executive decisions rather than legislative decisions (Guttman, 2003; Ferlie, Lynn, & Pollitt, 2009). To this end, PPP projects have been perceived by politicians as too private, therefore, lack transparency associated with traditionally procured infrastructure. Consequently, this has triggered arguments from both empirical and normative standpoints on what is, and what should be, the degree and nature of constitutional oversight required for PPPs (Bovaird, 2004; Ferlie et al., 2009). Similarly, clarity and certainty of regulations are increasingly required by corporations and citizens from the government (Oecd, 2011). This calls for finding practically suitable means rather than public policy end solutions that can improve decision and relationship management in the political process. Some studies have shown that the effectiveness of political governance is measured by two main indicators, political stability/no violence and voice/ accountability (Kaufmann et al., 2011; Asongu and Odhiambo, 2019).

4.8.2 Regulatory Governance

The principal basis for the regulatory governance system is the establishment of rules that joins the public and private entity in the partnership. It includes legal and contractual commitments of parties, explicitly detailing how they will be enforced. It mainly includes rights, allocation, risk sharing, procurement method, and other obligations (Bao, Tang, and Tian, 2019; Wang, Liu, and Li, 2019; Casady, Eriksson, Levitt, & Scott, 2020).

The theoretical study of PPP has been stimulated by the central argument of strategic alignment of public and private organizations, through bonding of resources to achieve a common goal (Grimsey & Lewis, 2007; Koppenjan, Klijn, Warsen, & Nederhand, 2019). However, this brings about potential conflicts that require the assignment of monitoring and sanctioning system to deal with issues that arise from the relationships of the stakeholders in the PPP (Francesconi and Muthoo, 2006; Akintoye and Kumaraswamy, 2016). However,

other studies show that the non-contractual approach to public service is vulnerable to decline as a result of private incentives for economic gain. Hence, apart from contractual mechanisms that can provide control and enforcement by public entities, relational mechanisms that foster collaboration are required (Henisz, Levitt, and Scott, 2012).

Several studies have revealed the significance of creating a vibrant legal framework backed by supporting national laws as a basis is for successful PPP project execution (Li, Akintoye, Edwards, and Hardcastle, 2005; Chan et al., 2010; Ahmed and Sipan, 2019). The primary role of regulatory and legal governance is to provide a structure and control for the government to ensure its organisations and officials deliver the required services to its citizens without discrimination of class or creed. It also enshrines accountability, the diligence of the relationship of its officers with its citizens while delivering service (CIPFA & IFAC, 2013). Regulatory governance is measured with two key indicators: institutional governance/rule of law and corruption control (Kaufmann et al., 2011; Asongu and Odhiambo, 2019).

4.8.3 Corporate Governance

Corporate governance (CG) is a system by which organisations follow to create an equilibrium between the financial and social goals of the organisation and the distinct and shared goals of the company's stakeholders (Standard & Poor's, 2002). However, the primary objective of CG in private companies is to ensure the profitability of investments (Shleifer & Vishny, 1997; Du Plessis, Hargovan, & Harris, 2018). Essentially, CG deals with organisational functions that ensure the sustainability of an organisation. A large body of research indicates that strategic CG determines value and performance (Black, De Carvalho, Khanna, Kim, and Yurtoglu, 2019).

Corporate governance mechanisms in an emerging market setting are weak and fluid (Ciftci, Tatoglu, Wood, Demirbag, & Zaim, 2019). Khanna and Palepu (2011) argue that weak corporate governance standards are indicative of corporate "voids" in emerging economies. Moreover, concerning PPPs, not much is known on the internal workings of organisations on PPP regarding PPP corporate governance. However, Johnston and Gudergan (2007) and Rubin and Stankiewicz (2001) indicate that the corporate governance of PPP projects could

be challenging due to a combination of two different organisational managerial systems (public and private). (Dixit (2009) argues the majority of transactions between firms and the public are driven by the two key important attributes of market capitalism trust and reputation.

4.8.4 Economic Governance

Economic governance (EG) deals with policies and regulations set by the government to manage an economy and economic transactions by defending asset rights and imposing agreements (Asongu & Odhiambo, 2019; Dixit, 2009). Through the formulation and implementation of policies that deliver public goods and services (Kaufmann, Kraay, & Mastruzzi, 2010).

Economic governance is fundamental to the functioning of markets, economic activity, and transactions. However, Dixit (2003) asserts that the absence of economic mechanisms could deter some stakeholders in the economic sphere to partake in a transaction due to the perception of the likelihood of suffering loss or being cheated. As PPP transaction has often been criticised as an unfavourable procurement strategy for urban infrastructure, the provision of economic governance mechanisms could impact PPP project success by ensuring that projects offer opportunities to all stakeholders that will be impacted by the project. Storper and Salais (1997) have argued that economic governance is a state-driven policy that can also influence nongovernmental and non-economic factors such as regional, communal, cultural, and organisational systems (Kaufmann et al., 2010). According to Kaufmann et al., (2010) EG is measured by two indicators which are regulation quality and government effectiveness.

4.9 Conceptual Governance Mechanisms Framework for Effective External Stakeholder Engagement in PPP Urban Infrastructure Projects

This sub-section discusses the conceptual framework. A conceptual framework is an analytical tool that merges a variety of conceptual distinctions and organises ideas to give an overall picture of an idea or concept in practice (Shields and Rangarajan, 2013). The

conceptual approach towards the effective involvement of external stakeholders is geared towards minimising unnecessary agitation that might arise from citizens. Using existing literature and theory earlier reviewed in this study, a conceptual framework that illustrates the interrelationships of the key issues that will impact effective external stakeholder engagement PPP urban infrastructure projects. The framework is presented in Figure 25 with explanations in section 4.9.1 to 4.9.5 of this study.

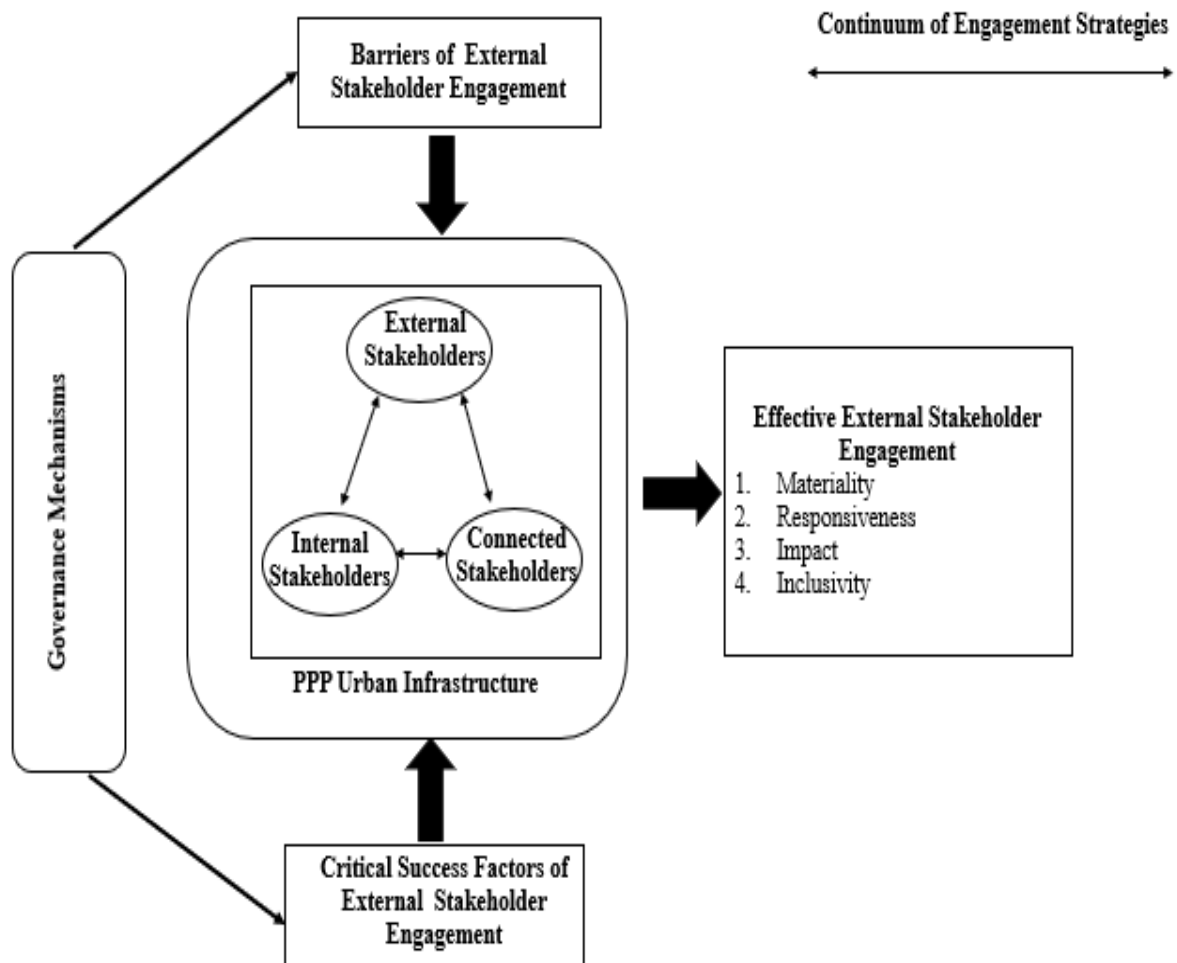


FIGURE 25: CONCEPTUAL GOVERNANCE MECHANISMS FRAMEWORK FOR EFFECTIVE EXTERNAL STAKEHOLDER ENGAGEMENT IN PPP URBAN INFRASTRUCTURE PROJECTS

4.9.1 Governance Mechanisms in the Context of the Conceptual Framework

The governance mechanisms have been discussed in section 4.8 and summarised in table 9. It is assumed that the governance mechanisms can reduce the challenges of engagement and

improve the attainment of CSF of SE. However, from some of the studies reviewed it has shown that due to the critical differences in the political, social, and economic context of countries, it will be unfruitful to copy legal and corporate remedies from another country's experience. Rather, these remedies such as governance mechanisms must be adapted to the prevailing country's circumstances. This study shall identify stakeholder perceptions of the most important governance mechanisms that must be put in place to enhance SE in PPP urban infrastructure projects in Nigeria.

TABLE 9: GOVERNANCE MECHANISMS ADOPTED FOR THE RESEARCH

Code	Main Governance Mechanism	Code	Sub-Governance Mechanism
GM1	Political governance	GM1A	No violence
		GM1B	Accountability
GM2	Regulatory governance	GM2A	Rule of law
		GM2B	Corruption control
GM3	Corporate governance	GM3A	Trust
		GM3B	Reputation
GM4	Economic governance	GM4A	Regulation quality
		GM4B	Government effectiveness

Source: Author's view.

4.9.2 Barriers of Stakeholder Engagement in the Context of the Conceptual Framework

The barriers to stakeholder engagement (elaborated in section 3.8) are summarised in Table 10. The barriers can affect the effective engagement of stakeholders in urban infrastructure projects. However, by establishing effective governance mechanisms, the key challenges can be overcome. The research will investigate the major challenges of SE from the perspectives of stakeholders and identify the key governance mechanisms which can overcome the barriers.

TABLE 10: BARRIERS TO STAKEHOLDER ENGAGEMENT

Code	Barriers to stakeholder engagement
B1	Conflicting agendas
B2	Scarce resources
B3	Power conflicts
B4	Resistance to change
B5	Hidden intents
B6	Lack of extensive client participation
B7	Passive stakeholder involvement
B8	Subversive stakeholders
B9	Low turnout in meetings
B10	Lack of leadership
B11	Lack of technical capacity
B12	Absence of legal requirements for the engagement

Source: Author's view.

4.9.3 Critical Success Factors of External Stakeholder Engagement As Critical Success Factors In The Context Of The Conceptual Framework

Critical Success Factors (CSF) are important functions an organisation must properly carry out for their business or aspect of work to be successful (Rockart & Bullen, 1986). The identification of key factors for construction project success enables the appropriate allocation of limited resources (Chua, Kog, & Loh, 1999; Tsoy & Staples, 2020). Key stakeholders involved in PPP urban infrastructure projects will be asked their perceptions of the CSF of SE. Similarly, they will be asked their opinion of the key governance mechanisms that can enhance the attainment of the factor. The key components of stakeholder

engagement, as elaborated in section 3.7 and summarised in Table 11, have been adopted as CSF of SE in PPP infrastructure projects in this study.

TABLE 11: CRITICAL SUCCESS FACTORS OF STAKEHOLDER ENGAGEMENT

Code	Critical success factors of stakeholder engagement
CF1	Stakeholder identification and classification
CF2	Information disclosure
CF3	Stakeholder consultation
CF4	Negotiation and partnerships
CF5	Grievance management
CF6	Stakeholder involvement in project monitoring
CF7	Reporting to stakeholders
CF8	Management functions

Source: Author's view.

4.9.4 Effective Engagement in The Context of The Conceptual Framework

In the context of this research, it is assumed that the various components in the framework in Figure 24 will influence the effective engagement of external stakeholders. The key principles of effective engagement have been detailed in section 3.5 of the research and summarised below.

Principles of Effective Engagement

- Materiality
- Responsiveness
- Impact
- Inclusivity

4.9.5 Continuum of Stakeholder Engagement Strategies in the Context of the Conceptual Framework

The continuum of stakeholder engagement strategies represents the various tools and techniques of engagement and the level of engagement within the project lifecycle. The research will identify stakeholder organisations preferences on what they consider as an effective strategy for engagement of external. In section 3.6.2 the various strategies and tools for engagement have been elaborated however a summary is shown in Table 12.

TABLE 12: CONTINUUM OF STAKEHOLDER ENGAGEMENT STRATEGIES

Continuum of Stakeholder Engagement Strategies	
Code	Engagement Strategies
E1	Information
E2	Consultation
E3	Discussion
E4	Co-design
E5	Co-design making
E6	Decision making

Source: Author's view.

Following the establishment of the conceptual framework for the study, the research will answer the following questions:

- I. What are the critical success factors for external stakeholder engagement in PPP urban infrastructure projects in Nigeria?
- II. What are the barriers to external stakeholder engagement in Nigeria?
- III. What are the key governance mechanisms which can improve external stakeholder engagement in Nigeria?

4.10 Chapter Summary

PPPs are business relationships between public and private organisations on a specific project that supports achieving the goals of both sectors to provide public value. This brings organisations to be positioned in a borderline, displaying both public and private organisational attributes. Reaction to stakeholder issues in private entities is driven by the traditional view that the key purpose of its existence is for economic benefit. On the other hand, the reaction to stakeholder issues in government entities is driven by the key objective of meeting the needs of its citizen as a whole, and not the interest of a selected few citizens. However, the community is central to their overall strategic existence of both public and private organisations whether for political, social, or economic reasons. PPP brings private sector organisations to a boundary between public and private sector organisational goals. Therefore, the approach to stakeholder engagement in traditional private sector settings may not be adequate in PPP projects.

Three theories namely: Agency theory, Public Policy theory, and Corporate Governance theory were adopted for the research. First, Agency theory indicates that PPP arrangement comes with challenges from the delegation side, especially when there is a lack of convergence of goals between principals and agents. Such situations also imply holistic engagement of external stakeholders especially the true principals (community) which gives rise to project challenges associated with relationship management (delegation complexity). However, instituting outcome-based performance measures can foster the alignment of goals between principal and agent. Similarly, it will ensure information asymmetry so that the principal can have the agent behave in a manner suitable to the principal. Second, the theory of Corporate Social Responsibility (CSR) asserts that organisations should not solely be driven by economic benefits, rather be vigilant in the way they behave in society. The basis for forming an opinion of organisations is shifting from purely economic and performance basis to the actions taken by organisations on the social front by assisting communities to meet their immediate concerns and challenges. On the contrary, if organisations fail to adequately respond to the demands of society, it could lead to increased business costs and a drop in customers, bad corporate image, and declining revenue. Third, the Public Policy Theory establishes that a series of public policy types determine different outcomes in societies. Public policy is a combination of various presupposition, ideologies, and

frameworks which consider the relationship between concepts, organisations, and the general public. Public policy is of various types and cuts across political, social, and bureaucratic processes they include; regulatory," "distributive," "redistributive and "constituency" policies. However, such policies must offer appropriate and accessible approaches and capital to solve societal issues.

The theories, adopted for this research namely, Agency Theory, Corporate Governance, and Public Policy Theory have not been collectively explicitly adapted to evaluate and offer solutions that can ensure effective engagement of public stakeholders in PPP projects. However, the theories collectively show the importance of external stakeholder engagement in decision making processes in organisations. The government agencies and private organisations always perceive external stakeholders as less important stakeholders to be engaged while taking decisions within the life cycle of PPP urban infrastructure projects (based on reviewed literature in the study this what often occurs in projects in Nigeria). Hence, the establishment of governance mechanisms to cut across these three theories is essential for effective engagement to be achieved in PPP urban infrastructure projects in Nigeria. Governance mechanisms are commonly adopted to reduce the risk of hazards and improve relationships with stakeholders through formal control processes. The aspects of governance which concern PPP are as follows:

1. Regulatory governance which deals with rules which join the public and private entity in the partnership
2. Political governance which deals with voice and accountability
3. Corporate governance deals with creating an equilibrium between the financial and social goals of the organisation and the distinct and shared goals of the company's stakeholders.
4. Economic governance provides a structure and functioning of the legal and social institutions that support economic activity and economic transactions.

Similarly, barriers, critical success factors, and stakeholder engagement strategies were aligned through a conceptual framework to guide the research to identify the key governance

mechanisms which can ensure effective external stakeholder engagement in PPP urban infrastructure projects in Nigeria.

CHAPTER 5: RESEARCH METHODOLOGY

5.0 Introduction

The methodology which underpins this research will be presented in this chapter. The chapter's goals are to discourse and define methodological ideas that instructed the research. The chapter deliberates on the numerous philosophical research bearings and a justification of the choices made to achieve the research outcome. Also, the chapter discusses the strategy adopted for the research such as the time horizon, the main data collection, and data analysis. Saunders et al. (2016) developed a research onion model (see Figure 26) that highlights all the elements of research methodology. This study adopts the model as a guide for the discussion of the methodology.

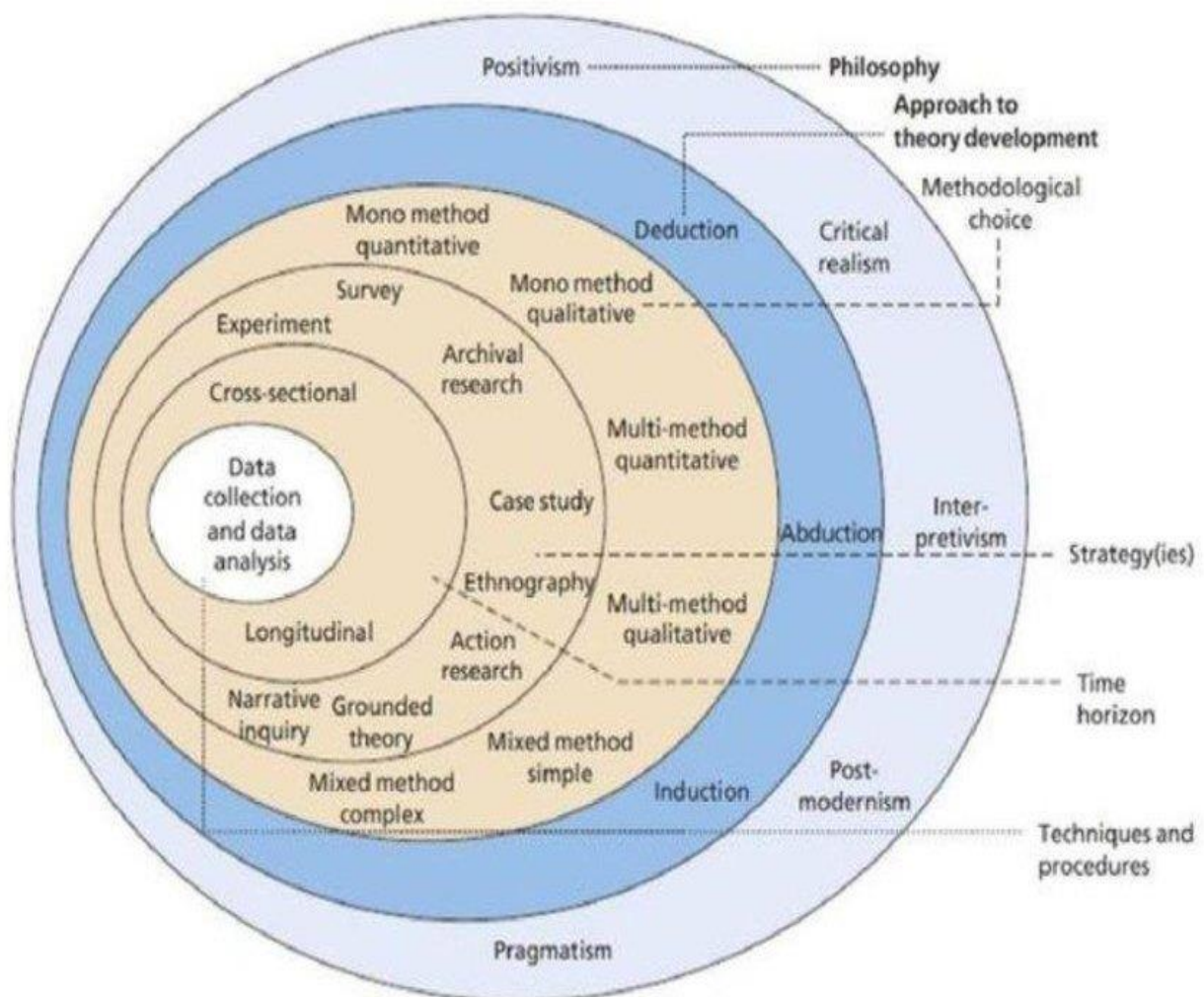


FIGURE 26: RESEARCH ONION (ADAPTED FROM SAUNDERS, LEWIS AND THORNHILL, 2016)

5.1 Research Philosophy

Philosophy is the belief about the methods in which facts about a phenomenon should be collected, evaluated, and utilised (Dudovskiy, 2018). It is the basic belief system that underpins research (Guba and Lincoln, 1982). It relates to the evolving of a fresh fact or skill and the nature of that fact or skill (Holden and Lynch, 2004). The research philosophies are of different types (see figure below). They include; positivism, realism, interprets, objectivism, subjectivism, pragmatism, functionalist, interpretive, radical humanist, radical structuralism, radical humanist and radical structuralism (Saunders, Lewis and Thornhill, 2009, 2012, 2015).

All research is guided by assumptions that consciously or unconsciously shape in what way the researcher will understand the research questions, approaches, and interpretation of results (Crotty 1998). These assumptions are ontological, epistemological, or axiological assumptions (Saunders, Lewis, & Thornhill, 2015; Morgan, 2016).

5.1.1. Ontological Assumptions

Ontology deals with assumptions about human knowledge about the nature of reality (Burrell and Morgan 2016). Furthermore, ontology is the science that is concerned with the methodical development of axiomatic models unfolding forms, modes, and views of existence at diverse levels of construct and granularity (Fung and Bodenreider, 2019). The main ontological positions are objectivism and subjectivism (Moon and Blackman, 2014; Blaikie and Priest, 2017). Objectivism is founded on the postulation that external reality can be revealed without prejudice on the part of the researcher. Its existence is external to the social actors concerned with its existence (McHugh and Way, 2017). It holds that knowledge and truth rest solely on what can be verified or evidenced in experience (Cazeaux, 2017). A research issue can be examined with an objective philosophical stance to developed theories that must be verified through a coherent procedure of methodical observation. The facts that

emanate from the observations may confirm and validate the theory or proposition or lead to deserting or adapting the theory based on facts (Saunders, Lewis and Thornhill, 2015).

In contrast, subjectivism holds that all viewpoints have multiple realities (Tsoukas and Hatch, 2001; Sarantakos, 2012, 2013), and their differing views are both right because they are simply an alternative means of approaching an issue (Lennox and Gotthelf, 2011). It is often asserted that subjectivism is often regarded as the prerequisite of qualitative methodology. However, this is untrue. The qualitative methodology can also have an objectivist strand (Sarantakos, 2013). Subjectivity can predispose the researcher and prevent empirically comprehending an issue's mental truth. Despite that, it presents an advantage of allowing the researcher to ponder whether it enables or obstructs understanding of the issue (Archer, 1998). Facts that create misrepresentation can be substituted with those that can increase objectivity. It also holds that meanings are always determined by the actor's facts (Saunders, Lewis and Thornhill, 2016). It is a branch of social sciences that deals with social phenomena which are often regarded as interpretivism (Saunders et al., 2016). Both objectivism and subjectivism have a few differing attributes that differentiate them as illustrated in Table 13:

Table 13: Comparison between subjectivism and objectivism.

Ontology	Objectivism	Subjectivism
Truth	Single Truth	There are many truths
Facts	Facts exists and can be revealed	Facts depend on viewpoint of observer

ADOPTED FROM EASTERBY-SMITH, THORPE, AND JACKSON (2015)

5.1.2. Epistemological Assumptions

Epistemology deals with the philosophical study of the nature of knowledge and how it relates to such notions as reality, belief, and validation (Steup, 2018). It is concerned with how we gathered knowledge on a particular subject matter (Grix, 2010). It is focused on how we gather facts and what makes up facts (Marsh and Furlong, 2010). There are five major

epistemological positions in business research namely positivism, critical realism, and interpretivism, postmodernism, and pragmatism (Saunders, Lewis and Thornhill, 2015).

1. Positivism: The positivist views the existing knowledge about the world as autonomous of knowledge of it (Marsh and Furlong, 2010: p. 190), therefore what determines the truth of the world is the perception of issues by people in a similar way. The followers of this school of thought frame propositions established from a theory that is then verified, reinforced, or improved based on empirical findings. The positivist philosophy formulates hypotheses developed from theory and these hypotheses are then tested and either supported or modified in the light of data analysis (Groff, 2004; Patton, 2014; Saunders, Lewis and Thornhill, 2015). The positivist approach tends explaining a phenomenon under investigation by demonstrating relationships between various variables in relation to a defined theory (Kelly, Dowling and Millar, 2018).

2. Critical realism: It is an epistemological stance known as Post-positivism which uses multiple methodologies (Morris et al., 2009). It acknowledges that the truth about the world cannot be wholly known. And it is subjective departing from completely objective stance espoused by the rational positivists (Patton, 2014). It has been critiqued of not being universal, as such it is an incomplete effort to contend with the castigation of positivism (Mertens, 2014). However, Henderson (2011) asserts that critical realism/post-positivism allows for finding meanings from individuals about their multiple opinions of reality which conventional positivist paradigms are usually not proficient in representing the nature and complexity reality. O’Leary (2017) also adds that it is perceptive, all-inclusive, inductive, and exploratory. The principal opinion is both positivism and post-positivism/critical realism are more often linked to empiricism. Further, this paradigm permits for the utilization of natural situations and circumstantial data and improves positive solutions to issues through utilisation of both quantitative and qualitative data (Henderson, 2011). Ryan (2006) adds the value of post-positivism/critical realism is that it presents a compelling story that harmonise individual and specialist realities and theoretical interpretations. The main future of this debate is that the ethos of the universe is illustrated by numerous persons whose understandings are interpreted by the researcher, which consequently gives an interpretation of facts that will be more objective than a purely positivist perspective (Grix, 2010).

3. Interpretivism: It is concerned with the disputability of objective observation of a phenomenon being examined. It is based on is focused on the insights of human subjects which can be interpreted and can form a novel idea in the form of theories. It recognizes the possibility of bias because interpretivism philosophy assumes that there is more possibility that individuals will be impacted by a certain incident which can make them behave in a random way (Saunders, Lewis and Thornhill, 2012). It recognizes the possibility of dual reality based on cultural stance and lived experience (Weaver and Olson, 2006). Because the objective reality people on the same issue will contrast because people are multifarious with varied experience and perception (Sullivan, 2016).

4. Postmodernism: It often questions the various assumption of rational interpretations. It is usually defined by an attitude of uncertainty, paradox, or denial of the perspectivism and principles of modernism (Kuntz, 2012). What counts as truth is informed by overriding beliefs (Saunders, Lewis and Thornhill, 2015). Postmodernist does not agree with the objectivity of truth and reality but rather that they are subjective. The researcher is radically spontaneous (Saunders, Lewis, and Thornhill, 2015).

5. Pragmatism: It seeks to identify the practical meaning of knowledge in a specific context. It considers expression and believes as the mechanism for forecasting, resolving issues and deeds, and discards the notion that the function of thought is to describe, characterise, or reflect truth (Saunders, Lewis and Thornhill, 2015). Pragmatism attempts to invent applied solutions to current difficulties faced by individuals and society (Giacobbi Jr, Poczwardowski and Hager, 2005). Pragmatists refute the notion that only a single reality exists. They believe reality can only emanate through dialogue where people have distinct characteristics within an environment. They choose methods and theories that are applicable in a specific context to solve real life issues rather than those that seek to expose facts about the essence of reality (Rorty, 1990). Pragmatists further distinguish the fact that logical inquiry is circumstantial and that its outcome is influenced by previous and present shared, antique, and political circumstances which can lead to an informed future practice as a contribution (Saunders, Lewis and Thornhill, 2015).

5.1.3. Axiological Assumptions

Axiology is the study of nature and types and criteria of value in research. It is what the researcher treasures and accepts as moral which are embedded in the research paradigm that guides the researcher's decision making (Henry and Foley, 2018). Different people have a perception of the value of an item differs from each other equally what motivates the other for an enhanced quality of life differs from another. This, in turn, shapes people's views due to lived experiences and backgrounds (Viega, 2016). It becomes important to establish a position of axiological philosophy the researcher takes in putting up his arguments from several lenses which include value-free, value-laden, value bound, value constituted, and value-driven (Colis & Hussey, 2003; Saunders, Lewis and Thornhill, 2015). Objective testing propositions thorough deductive and empiricists means are value-free and are aligned with the positivist epistemological stance (Nachmias et al., 1996). The postpositivist stance fosters strict separation of the knower while the critical realist accepts that truth is biased and tries to minimize it (Value laden). The value bound allows the researcher's contribution to be part of the key findings to research (interpretivism) in postmodernism both the researcher and the researched are rooted in the researched influence outcome (value constituted) while in pragmatism the research is driven by the researcher's reservations and opinions (value-driven). The researcher believes that the universal truth cannot be known. Therefore, he will go further to use both quantitative and qualitative means to enquire and interpret the truth to enhance validity, however, he will lay emphasis on practical solutions to his final theory and conclusion (Ellingson, 2009; Saunders, Lewis and Thornhill, 2015).

In this study, due to the fusion of quantitative and qualitative methods, the researcher's value will become in close relationship with the matter under investigation (Aliyu, Singhry, Adamu & Abubakar 2015). The researcher is not detached from the study. There is no separation between the scholar and the subject matter under investigation. The researcher searches for a strategy for stakeholder engagement in the delivery of PPP urban infrastructure projects in Nigeria. Following the argument presented above the study is inclined to Value laden axiological stance because the study is to a certain degree influenced by background beliefs experience and interest of the participants and the researcher.

5.1.4. Research Philosophy Underpinning the Study

In terms of ontology, this study inclined between objectivism and subjectivism. This study will develop a framework that aims to generate empirical evidence that is objective and testable. It will include getting views from participants concerning barriers to external SE in PPP urban infrastructure projects as well as exploring their views on the CSF for adopting SE in PPP urban Infrastructure project.

From the epistemological perspective, the study leans towards pragmatism. This is because pragmatic philosophies are flexible, allows for short-term expediency, and inform various types of studies. The pragmatists believe that any research carried out should be objective and evident phenomena based on independent opinions of respondents which can lead to important contributions to knowledge. It is commonly used in studies of governance, education, and other forms of societal development (Simpson,2017). This study investigates the key issues associated with the practice of SE in PPP urban infrastructure projects in Nigeria. Hence, the researcher interprets some important aspects of SE in PPP infrastructure project delivery acquired from the perception of experienced professionals and stakeholders in the field. Additionally, the research creates a framework to enhance the governance of SE in PPP urban infrastructure projects in Nigeria, as based on the findings from the qualitative and quantitative data collection.

5.2. Research Approach

The approach to research could be inductive, deductive, or abductive approach (Saunders, Lewis and Thornhill, 2015; Dudovski, 2018; Kurbanoglu et al., 2019). The discussion and choices of the research approach of this study are presented in the following subsection of the research. There are three main research approaches, namely deduction, induction, and abduction. Table 14 distinguishes between the three research approaches.

TABLE 14: THE MAJOR DIFFERENCES BETWEEN DEDUCTIVE, INDUCTIVE AND ABDUCTIVE APPROACHES

Deduction	Induction	Abduction
When the premises are true, the conclusion must also be true	Known premises are used to generate untested conclusions	Known premises are used to generate testable conclusions
Generalising from the general to the specific	Generalising from the specific to the general	Generalising from the interactions between the specific and the general
Data collection is used to evaluate hypotheses for an existing theory	Data collection is used to explore a phenomenon, identify themes and create a conceptual framework	Data collection is used to explore a phenomenon, identify themes, locate these in a conceptual framework and test the results through subsequent data collection
Theory falsification or verification	Theory generation and building	Theory generation or modification, using existing theory where appropriate, to build a new or modify existing theory

Adopted from Saunders et al. (2016)

5.2.1 Deductive Approach

A deductive approach usually begins with a hypothesis or a postulation which is tested generally through statistical means (Holzinger, 2010). It involves improving an existing theory that is subjected to a rigorous test (Trochim and Donnelly, 2008). The process is usually systemic and allows for testing hypothesis and the process should be replicable in other scenarios (Saunders, Lewis and Thornhill, 2009). The deductive approach seeks to establish causal relationships between variables (Saunders, Lewis, and Thornhill, 2015). The research findings of the approach should be generalizable therefore requires a large sample size (Sim et al., 2018). Collis and Hussey (2013) add that a sufficient sampling size is central to our understanding of the validity of quantitative research. As detailed in Figure 27, the deductive approach usually transits from theory to context specific data to reach an attainable conclusion (William, 2006; Wilson, 2014).

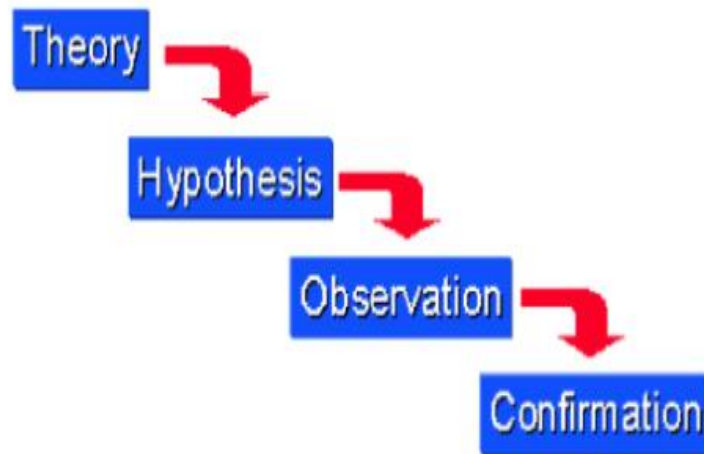


Figure 27: Deductive research approach (William, 2006)

5.2.2 Inductive Approach

The inductive approach generally begins with the use of research questions to streamline the area of focus of the research. It is subjective and it deals with the understanding of an individual's behaviour and the situation in which issues happen (Lewis and Ritchie, 2003). The inductive approach seeks to build a new theory from the analysis of analysed data (Jebreen, 2012). As detailed in Figure 28, it begins with an observation and the outcome of the research can lead to general theories or declarations (William, 2006; Saunders, Lewis and Thornhill, 2015).

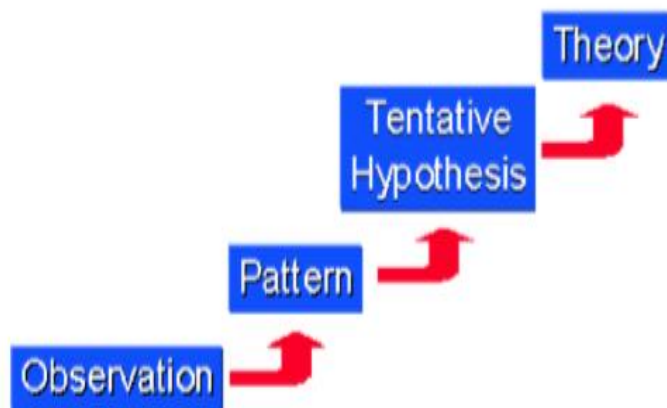


Figure 28: Inductive research approach (William, 2006)

5.2.3 Abductive Approach

The third alternative of the research approach is the abductive research approach which seeks to overcome the flaws of the deductive and inductive approach by adopting a combination (Kurbanoglu et al., 2019). It provides the researcher an opportunity to move from deductive to abductive reasoning and visa versa as illustrated in the “V” model in Figure 29 (William, 2006). The option allows the researcher to select the most suitable justification among several options to clarify ‘astonishing pieces of evidence through the application of numerical and cognitive reasoning (Dudovski, 2018).



Figure 29: Abductive research approach (William, 2006)

5.2.4 Research Approach Adopted

This research will employ a combination of deductive and inductive approaches (abductive research). The adductive approach allows for more fixability that the other research approaches. Again It supports the convergence of a large body of literature with few data findings from the real world to bring out new knowledge (Saunders et al 2016; William, 2006).

Through the use of literature and theory, the deductive approach will be utilised to develop a preliminary conceptual framework that identifies the key elements of SE that can impact its practice in PPP urban infrastructure projects. The inductive approach is also utilised to investigate the perspectives of stakeholders in PPP urban infrastructure projects in Nigeria on external stakeholder engagement in PPP urban infrastructure projects in Nigeria. The research will go further to review the initial framework developed based on empirical findings.

5.3 Research Strategy

It is the plan adopted by the researcher to answer the research questions (Saunders, Lewis and Thornhill, 2012, 2015). A research strategy guides a researcher in organising, implementing, and monitoring the study. It gives significant support on a high level, but it has to be complemented by a suitable research method that can guide the research at a more detailed level (Johannesson and Perjons, 2014). As highlighted in Table 15, the choice of a suitable research strategy should be based on research questions and objectives, the level of present information on the subject area to be researched, the volume of available resources, time available to conduct the research and the philosophy that underpins the research (Yin, 2009, 2014b). Also, Johannesson and Perjons (2014) postulate that to choose a suitable research strategy the following questions should be asked:

- I. Is it suitable for the research question?
- II. Is it feasible, considering the resources of the research project?
- III. Is it ethical, considering its possible effects on people, animals, and the environment?

TABLE 15: DIFFERENT TYPES OF RESEARCH STRATEGIES.

Research Strategy	Form Of Research Question	Control over behavioural events?	Focus on contemporary events?
Experiment	How, Why	Yes	Yes
Survey	Who, what ,where, how many, how much	No	Yes
Case Study	How, why	No	Yes
History	How, why	No	Yes
Archival research	Who, what, where, how many, how much	No	Yes/no

Adopted from Yin (2003, 2014)

As highlighted in Table 15, different research strategies are suitable for answering specific kinds of questions and objectives. The choice of a research strategy is also underpinned by the nature of the research approach. For this study, an abductive research approach is adopted. Hence the survey research strategy fits well into the choice of research philosophy and approach. It entails the use of qualitative (interviews) and quantitative (questionnaire) inquiry or a combination of both (De Vaus, 2013).

5.3.1 Selecting Survey Research Strategy as a Focused Strategy

Survey research can be quantitative, qualitative, or a combination of both methods (De Vaus, 2013). According to Converse (2009), the survey research method possesses two vital attributes. Firstly, it allows the researcher to ask respondents to directly state their personal opinions, feelings on an issue. Secondly, extensive consideration is given to the sample size to ensure generalisation (De Vaus, 2013). This implies that both questionnaires and interviews can be used in survey research because it is a method of qualitative research.

This study adopts both the interview survey and questionnaire survey within the same sample population. The literature review in Chapters 2, 3 and 4 of the study, formed the basis for the questionnaire survey and interviews as aligned with the objectives and research questions of the research. Bryman (2006) asserts that mixed methods enable researchers to have vigorous approaches to data gathering, analysis, and interpretation. Creswell & Clark (2017) stated that results from data collected through a single method are not as robust compared with mixed methods. Several other researchers have previously advocated the use of two or more sources for data collection, analysis, and interpretation within a study (Love et al., 2002; Creswell and Clark, 2011; Yin, 20014). Table 16 further justifies the reasons for adopting a mixed methods strategy in this study.

TABLE 16: REASONS FOR APPLYING A MIXED METHOD

Reasons	Description
Triangulation	Applying both quantitative and qualitative methods within a study to triangulate findings so that they may be mutually corroborated.
Credibility	Suggestions that are employing both approaches increase the findings credibility.
Different research questions	Refers to the argument that quantitative and qualitative can each answer different research questions.
Offset	It helps to offset weaknesses of both methods and allows the research to draw on the strength of both.
Instrument development	Refers to contexts in which qualitative research is employed to develop a questionnaire and scale items so that better wording or more comprehensive closed answers can be generated.
Utility or improving the usefulness of findings	Mixing the two approaches will be more useful to practitioners and others.
Enhancement or building upon quantitative and qualitative findings	Entails making more of or augmenting either quantitative or qualitative findings by gathering data using a qualitative or quantitative research approach.

Adapted from Creswell & Clark (2011).

A two-step approach as detailed in Figure 30 will be followed for the study

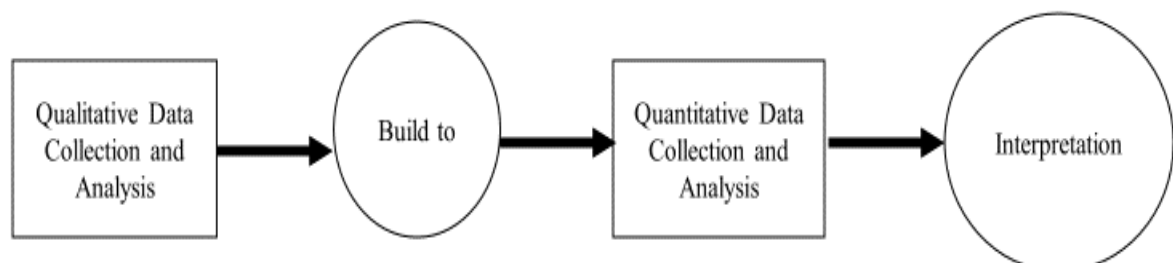


FIGURE 30: SEQUENCE OF EXPLORATORY RESEARCH DESIGN. ADOPTED FROM CRESWELL & CLARK (2011, 2017).

For the qualitative strategy, an expert survey is adopted firstly because it will allow the researcher to gain information from specialists to bridge the knowledge gained from the extensive literature review conducted and document in the sections 1-4 of the study in the field of stakeholder engagement in PPP urban infrastructure projects (Creswell & Clark, 2017). The findings of the interview phase will enable the researcher to improve his pre-existing questioner created based on the literature reviewed to suit the research context.

Following the improvement of questionnaires, the *researcher will administer it to a larger sample population within the study area.*

5. 4 Types of Research Study

There are three main types of research study, namely exploratory, descriptive, and explanatory (Saunders et al., 2016).

5. 4.1 Exploratory Studies

An exploratory study allows a researcher to gain insight into a particular phenomenon or issue that has not been thoroughly investigated in practice. Exploratory research does not offer a definite solution but assists in providing a clearer picture of issues. The researcher who adopts an exploratory study must be willing to change his direction based on empirical findings and new revelations (Saunders et al., 2012). It usually starts with a general idea and the outcomes of the study are adopted to investigate the issues relevant to the topic under investigation (Saunders et al., 2016). It influences the research design, sampling methodology and data collection methods (Edgar and Manz 2017)

5.4.2 Descriptive Studies

Descriptive studies describe the patterns of phenomena or issues, demography, place, and time. It is used to investigate single or multiple variables. However, the research is rigid and limits the researcher to manipulate data. It is most suitable to adopt a descriptive study when the objective is to establish attributes, rates of recurrence, patterns, and groups (Edgar and Manz, 2017). Descriptive research can be either quantitative or qualitative. It usually uses statistics to generate a report. It heavily relies on statistical tools to analyse data and make an inference (Gall and Borg, 2007).

5.4.3 Explanatory Studies

Explanatory research is carried out in studies that have not been initially well investigated, demands importance, produces operational characterisations and offers an improved examined model. (Stebbins, 2008). The study starts with a general idea which will lead to findings that will provide a basis for future research. Explanatory research seeks to uncover roots and explanations of issues or phenomena with proof that can prove or disprove

explanation or hypothesis. It is carried out to determine and report relationships that may exist among different aspects of the phenomenon under study (Grey, 2014).

5.4.4 Adopted Study Type

This research leans towards an exploratory approach. A review of the types of research study indicated that both descriptive and explanatory studies are not suitable. According to Babbie, (2007). An exploratory study explores a hypothetical or theoretical idea, especially in situations where a researcher has detected an issue or a phenomenon at its preliminary stage and he tries to find out more about it or propose a solution for it. This study is exploratory because it seeks to understand the issues surrounding SE in PPP urban infrastructure delivery in Nigeria. The concept of PPP is relatively new in Nigeria and has not made considerable progress in terms of implementation due to stakeholder related challenges. Shields and Tajalli (2008), adds that exploratory studies are inclined to theoretical frameworks that enable the researcher to explain the phenomena. Additionally, it is linked to the development of conceptual frameworks. This study is also guided by three existing theoretical frameworks namely Public Policy, Agency, and Corporate Social Responsibility theory. Again, the study seeks to develop a conceptual framework as its final objective.

5.5 Research Choices

The researcher's choice of methodology could be a single or mixed method (Saunders, Lewis and Thornhill, 2015). Mixed methods involve merging or integrating qualitative and quantitative research facts in the same study (Tashakkori and Teddlie, 2003). Qualitative data is usually open-ended without prearranged answers while quantitative data is closed-ended, it usually gives respondents options to choose from (Tashakkori and Teddlie, 2003; Saunders, Lewis and Thornhill, 2015). The mixed method generates both numerical data and the narrative data (Saunders et al., 2015).

A researcher must choose either to go for single or multiple methods of data inquiry see Figure 31 (Creswell & Clark, 2011; Saunders et al., 2015). This research will administer both questioners and interviews; therefore, the research choice adopted is mixed methods (see Figure 31).

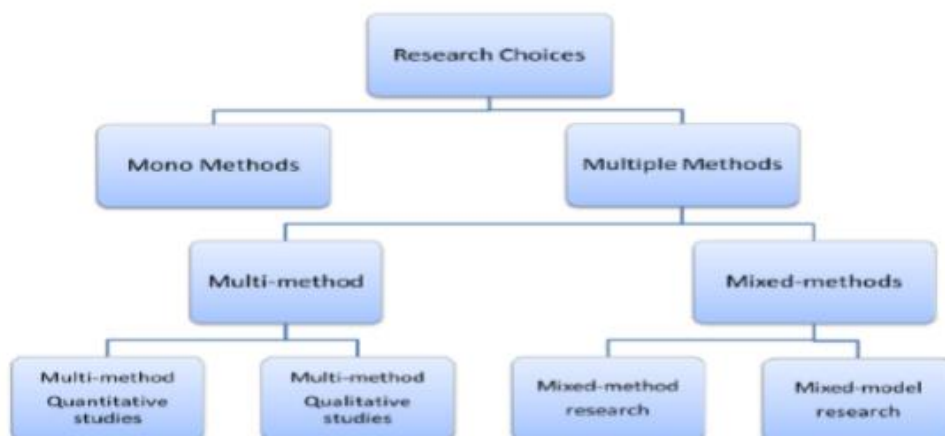


Figure 31: Research choices (Saunders et al., 2015)

5.5 Time Horizon

The time horizon could be longitudinal or cross-sectional. Longitudinal studies adopt repeated measures to study issues over a long period (Belle et al., 2004). Whereas a cross-sectional survey collects data to make interpretations about a population at a particular point in time. Cross-sectional surveys give a sample overview of a representative population studied (Lavrakas, 2008; Thelle and Laake, 2015). Due to time constrain the study shall adopt a cross-sectional tactic.

5.6 Techniques and Procedure for Data Collection

An important aspect of the research study is the collection of data about the subject matter being examined (Lavrakas, 2008). Data can be collected through two main methods which are primary and secondary data (Saunders et al., 2017). This study adopted both primary and secondary data collection methods. The primary data collection could be numeric (often called quantitative data), for example, several lines of code or number of search results. Another primary data type is non-numeric (often called qualitative data) which includes text, sound, images, and video (Johannesson and Perjons, 2014). This research will adopt both quantitative (numeric) and qualitative (non-numeric data) collection techniques. For the secondary data. It is often collected through secondary sources such as internet materials,

institutional and professional bodies' publications, journal articles, thesis reports, conference proceedings, government publications, archival records, textbooks, and company documents (Saunders, Lewis and Thornhill, 2015).

5.7 Data Collection and Management

Data collection is an essential requirement for fulfilling research objectives. It is a rigorous process constrained by participants' secrecy, resources, and duration. Data can be sourced in the field (a primary source) or in the course of the research, or from sources that did not emanate from the direct derivation of the researcher. In the latter case, the researcher relies on archival materials or secondary sources from previous studies, websites or supplementary information from company documents (Saunders, Lewis and Thornhill, 2015). This study utilised both primary and secondary sources for data collection. Interviews and questionnaires were administered to research participants to source for primary data while the secondary data came from secondary sources such as websites, company documents.

5.7.1 Interview

An interview is an effective instrument for sourcing evidence grounded on the experiences of the participants for acquiring rich information based on respondents' belief, understanding, desirability, and perspective (Curtis et al., 2000). Though some participants may not want to divulge certain information that could be important for the outcome of findings thus creating a restriction of richness of data (Levy, 2008). To examine the exploit and behaviour of participants there is a need to draw insight through interviews that can be administered in an unstructured, structured, or semi-structured manner (Yin, 2014a).

An unstructured interview allows researchers to access rich data because it is open-ended and allows respondents to give their story the way they choose. A structured interview is restricted in nature it has a standardised format and information with identical questions and answers that respondents will choose from. On the other hand, semi-structured interviews give guidance to the respondent. It allows the researcher who needs focused responses, to have reasonably relevant information from respondents (Saunders, Lewis and Thornhill, 2015). This research will utilise the semi-structured interview to firstly get an expert sample

view of the phenomena based on the research context and improve the questionnaire. Similarly, the development of a framework based on the outcome of the survey data analysis, a semi-structured interview will be adopted in the validation phase (see appendix 2 for qualitative interview questions).

5.8.2 Questionnaire

The questionnaire is a structure that includes a collection of questions that respondents are asked so that important information can be extracted from their views (Saunders et al., 2015). It is widely used in the field of education and business. A lot of researchers have knowledge of the use of the method for data inquiry (Martens and Carvalho, 2016). However, despite its popularity and wide use in research, it is recommended that multiple methods of data inquiry should be adopted in research (Timans, Wouters, and Heilbron, 2019).

A questionnaire should be set up clearly; they should provide clear guidelines on how to respond to questions, asking true-life inquiries, followed by free will inquiries and other different types of inquiries. He further asserted that the researcher should make sure that similar categories of questions are clustered together (Easterby-Smith, Thorpe, and Jackson, 2015). Hence, the response format is important. Robinson and Leonard (2018), assert that the response setup of a questionnaire could be designed in a structured or unstructured format. A structured format includes fill in the blanks, yes or no answers, and a Likert scale while unstructured format usually gives the respondent the flexibility to write his answers. This study adopts a combination of multiple designs for the questionnaire. Such as a Likert scale and multiple-choice format.

5.9 Study Population

This study is based on establishing views of the practice of stakeholder engagement from some stakeholders involved in the execution of PPP urban infrastructure projects in Nigeria. The main population is those that have experienced the execution of PPP projects at least from planning to the construction and use phase such as the primary and intermediate stakeholders (see Figure 13 in section 3.3 of this study). The target area for this study Federal Capital Territory (FCT) Abuja, the capital of Nigeria. The rationale for choosing the FCT metropolis as a study area includes the following rationale: Abuja is the new capital of

Nigeria and is witnessing increased urbanisation, and there is a substantial range of PPP experts available with experience of the type of PPP appropriate urban infrastructure projects. The target population includes public sector authorities and private sector organisations involved in PPP project delivery in the study area.

5.10 Sampling size and data collection

Sampling is the technique of choosing a representative portion of the study population to ascertain the criteria or attributes of the population of an entire area of study (Gentles, Charles, and Ploeg, 2015). A good sample size determines the extent to which the findings of the research can be generalised. data sampling could be probability/random and non-probability/non-random sampling (Gray, 2014). Kumar (2011) also adds mixed sampling as a third type of sampling technique as detailed in Figure 32.

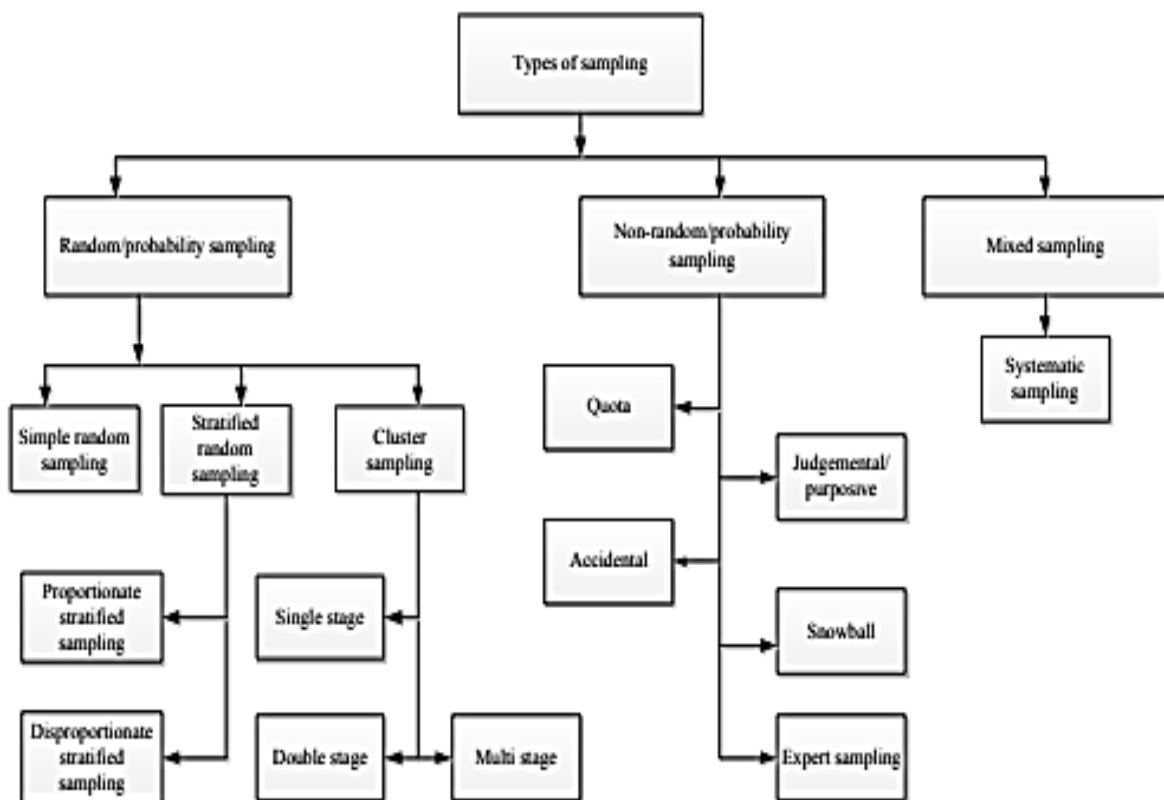


FIGURE 32: TYPES OF SAMPLING IN QUANTITATIVE RESEARCH (ADAPTED FROM KUMAR, 2011, P.198).

In a random/probability sample, the attributes of the population are demarcated, and all members have an equivalent probability to be selected. A variant of random sampling is stratified random sampling which allows subgroups to be examined comprehensively (Marshall, 1996).

5.1.1 Qualitative Data Sampling Size and Data Collection

For qualitative techniques, trying to anticipate and decide on sample size is a futile task especially for unique phenomenon such as PPP (Morse, 2010). However, the more definite the characteristics of the participants about the study aims, the smaller the sample size (Morse, 2000). Malterud, Siersma and Guassora (2016) add that the richer the discussion in the interviews, the smaller the sample size. The qualitative aspect of the study considers specific characteristics of participants such as experts in the field of PPP in Abuja Nigeria to be recruited in the interview process. Hence, purposive sampling of participants is adopted as a sampling technique. According to Gray (2014), purposeful sampling provides an avenue for important knowledge to be extracted from respondents that other sampling techniques do not provide. See appendix 1 for a copy of the questionnaire.

5.1.2 Quantitative data sampling size and data collection

Probability sampling designs are adopted for research that requires a large representation of pollution representation so that its outcome of the research can be generalised (Saunders, Lewis and Thornhill, 2012). The optimum sample size for a study also depends upon the parameters of the phenomenon under study, for example, the rarity of the event or the expected size of differences in outcome between the intervention and control groups (Morse, 2015). In this study, probability sampling will not be suitable because PPP is an evolving infrastructure delivery strategy in Nigeria. There is neither an official list nor standard database stipulating the number of stakeholders involved in PPP infrastructure projects in the country (Ibrahim, 2007; Babatunde et al., 2016). Li et al. (2005) also assert that PPP/PFI is growing, and the organizations, professionals and other stakeholders involved are still gaining experience which makes establishing the size of the population sample in the field difficult. Therefore, a non-probability sampling technique is also adopted for the qualitative survey. Specifically, a mixture of purposeful and snowball sampling techniques is adopted because it allows the researcher to select the sample that will provide the most relevant answer to the research questions. Through, purposeful sampling the researcher will identify

some key PPP project stakeholders and through those selected, other participants will be recruited (snowball sampling) (Marshall, 1996; Shoenberger, 2018).

However, to realise the objectives of a study in situations where sample size cannot be determined, at least 50 responses will be required (Iacobucci, 2010). Using an estimated response rate of 25% for the current study was determined as follows: $[(50 \times 100) \div 25] = 200$ (Saunders et al., 2009).

Two hundred questionnaires will be administered to 200 relevant stakeholders with substantial experience in PPP urban infrastructure projects in Nigeria. A survey link will be sent through emails, text messages, and social media platforms such as WhatsApp, LinkedIn, Twitter, and Facebook to recruit participants. See appendix 2 for the questionnaire.

5.11. Pilot Study

The pilot study permits the researcher to test the questions with a limited number of respondents before the final data collection process of administering the questionnaire to the sample size begins. De Vaus (2013) adds that the sampling process helps identify misconceptions that may arise due to the structuring of questions which may eventually lead to a wrong response by respondents. The sampling process involved four respondents with experience in the field of PPP who were given the questionnaire survey and a semi structured interview. Their feedback was used to adjust the final version that was subsequently sent to respondents in the study.

5.12 Data Analysis

Data analysis is a process of scrutinising, purifying, converting, and modelling data to determine valuable information, that can help the researcher reach conclusions on the key arguments that underlying arguments of the study. Data analysis has various pathways and concepts for data analysis under a variety of names, which are used and is used in different business, science, and social science domains (Mirkin 2010)

5.12.1 Qualitative Data Analysis (Interviews)

Interviews involve inquiry from a person or a few people about an issue or phenomena (Boyce and Neale, 2006). The information acquired through qualitative data in a study comes in the form of words which are often subjective, rich, and consist of in-depth information (Saunders et al., 2016). Analysing qualitative data involves interpretation of many transcripts watching for likenesses or variances, and subsequently discovering themes and developing categories. Saunders et al. (2016) found there is no typical way to analyse qualitative data. For this study, NVIVO software was used for the coding process because it allows for themes to be created and filters through nodes. Richardson and Morse (2007) advised that coding allows the researcher to categorise data based on themes or ideas which will lead to the creation of a pattern and development of a theory.

5.12.2 Quantitative data analysis (questionnaires)

Quantitative data analysis is usually conducted using statistical data analysis techniques. Commonly adopted techniques include factor analysis, correlation analysis, chi-square analysis, and regression analysis (De Vaus, 2013). According to Bergin (2018), most quantitative data analysis begins with graphic information to show various relationships in the data, hence it is appropriate to firstly probe the primary data patterns.

This study adopted graphical methods and percentage tables for descriptive analysis. The descriptive analysis shall conform with the structure of sections of the questions. The questionnaires shall adopt both multiple-choice questions and 5 points Likert scale. The following process will be adopted to establish the cell measurements for the Likert scoring: The minimum score range in scale was 1 and the maximum was 5. The number of cells is 5; consequently, dividing the range by the number of cells gives a cell length of 0.8 (5/4). Accordingly, the first cell length will be $1 + 0.8 = 1.8$ (see Table 17).

TABLE 17:LIKERT SCALE INTERPRETATION

POINT SCALE	MEAN	QUALITATIVE INTERPRETATION	LEVE LOF AGREEMENT
1	$1 > 1.8$	Strongly Agree	Very Low
2	$1.8 < 2.6$	Disagree	Low
3	$2.6 < 3.4$	Moderate	Moderate
4	$3.4 < 4.2$	Agree	High
5	$4.2 < 5$	Strogly Agree	VeryHigh

Adopted from Siti Rahaya & Salbiah (1996)

To analyse the different data sets, inferential statistics will be used to correlate relationships about the sample population. This will be achieved by examining relationships, trends, and differences within the numerical data. There are several ways in which relationships can be analysed. First, Linear Regression Analysis can be used to understand the relationship between two data sets - a dependable variable and independent variables (Rencher and William, 2012). The second Analysis of Variance can be used to test and examine the variances among two or more means from a data set (Gelman, 2005). Thr third, Analysis of Co-variance includes the use of a continuous co-variance in the calculations to examine the variances existing among the average values of dependent variables (Davis,2003). The fourth, Statistical Significance (T-Test) analysis is utilised to establish relationships between the means of two data sets to establish their similarities or dissimilarities (Fadem, 2012). Finally, the fifth is Correlation Analysis which is utilised to establish the level to which two data sets are dependent on one another (Field, 2013).

To accomplish the objectives of this study, the researcher needs to establish the relationship between the CSF of SE implementation in PPP urban infrastructure in Nigeria and the governance mechanism of SE. Additionally, the relationship between the barriers of SE implementation in PPP urban infrastructure projects in Nigeria and key governance mechanisms will be analysed. Hence the study adopts correlation analysis to establish these relationships. According to Field (2013), Spearman and Pearson correlation analysis are the two key forms in use. This study adopts the spearman correlation to analyse the relationships between the data sets. The study will adopt a spearman correlation to analyse the

relationships. This is because Spearman is most suitable for analysing data sets from ordinal scales such as the Likert scale (Dixit et al., 2019). According to Patrick et al. (2018), Spearman's correlation coefficient measures the strength and direction of the relationship between two ranked variables which could be positive or negative. When it indicates a relationship that falls within the margin of +1 or -1 it shows a significant relationship; however, when it shows 0 it indicates the absence of a relationship between data sets. Additionally, Excel and SPSS software programmes will largely be used for the data analysis procedures.

5.12.3 Triangulation

This is a rigorous process of utilising a combination of data collection methods to sourcing diverse views on a specific issue or phenomena under investigation. This enhances the *procedure* of investigation and to permit the emergence of diverse viewpoints (Gray, 2014). Triangulation compensates for weaknesses of the use of a single methodology by using multiple methods to measure similar attributes in a study (Flick, 2018). Yin (2014) also revealed that triangulation improves completeness and amalgamation of findings in a study. Hence it solidifies the arguments presented in the study. This study will employ triangulation for the analysis of the second and third objectives of the study. The objectives include the identification of CSF and barriers of SE in PPP urban infrastructure in Nigeria. For the interviews, NVIVO will be used to analyse the responses from interviews conducted while for the quantitative data, responses from the administered structured questions will be analysed using SPSS and other statistical tools. The finding that emanates from both the qualitative and quantitative data will be merged to improve arguments for the objectives.

5.13. Validity and reliability

For findings of research to be generalised, It is important to take appropriate steps that will ensure that the findings in relation to the data set are precise and consistent by ensuring the validity and reliability (Noble and Smith, 2015; Saunders et al., 2016). Validity refers to the level an idea is correctly analysed in a quantitative study (Heale and Twycross, 2015). There are three main types of validity as described in Table 18.

TABLE 18: TYPES OF VALIDITY

Type of validity	Description
Content validity	The extent to which a research instrument accurately measures all aspects of a construct
Construct validity	The extent to which a research instrument(or tool) measures the intended construct
Criterion validity	The extent to which a research instrument is related to other instruments that measure the same variables
Face validity	Face validity is the extent to which a test is subjectively viewed as covering the concept it purports to measure.

Adopted from Heale and Twycross (2015).

Reliability is inclined to the uniformity of a measure, such that if a questionnaire instrument is administered in another study under comparable situations the same or similar outcome will be realised (Heale and Twycross, 2015). It is the level to which a research process produces even and reliable results. According to Heale and Twycross (2015), reliability has some key attributes as detailed in Table 19.

TABLE 19: ATTRIBUTES OF RELIABILITY

Attributes of Reliability	Description
Homogeneity (or internal consistency)	The extent to which all the items on a scale measure one construct
Stability	The consistency of results using an instrument with repeated testing
Equivalence	Consistency among responses of multiple users of an instrument, or alternate forms of an instrument

Adopted from Heale and Twycross (2015).

In this study, the steps indicated in Figure 32 were taken to ensure the validity of the research findings. Face validity was achieved through discussion with the internal supervision team and research associates at the University of Salford to ascertain the appropriateness and clarity of the questionnaire relative to the study area. According to Parsian & Dunning (2009), a study meets validity conditions when it fits into the circumstances of the study area to the objectives and field. To determine content validity an extensive literature review was carried which formed the basis of the dimensions covered in the study. Salkind (2012) revealed that content validity should fully analyse the germane ideas of the phenomena without additional features. Subsequently, a trial questionnaire was designed and administered to four experts to ensure the relevance of the content of the questionnaire. For the reliability and consistency of results, Cronbach's alpha was adopted (Figure 33). According to Decoster (2005) claims Cronbach's alpha is one of the most useful tools to determine the reliability of results in a study.

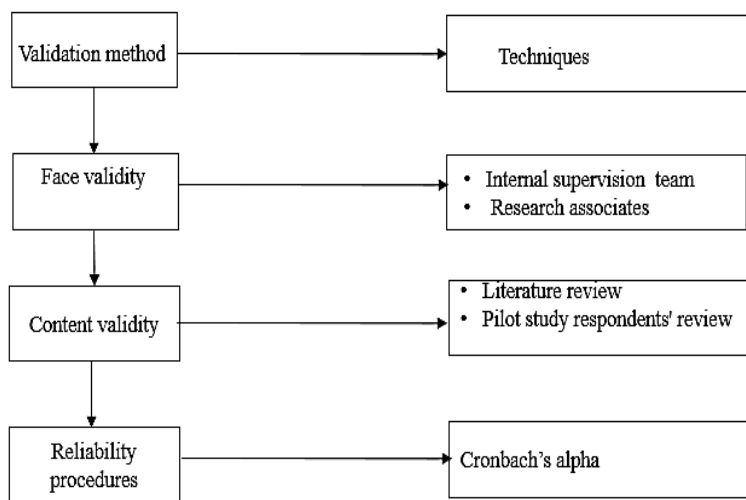


Figure 33: Procedures undertaken to validate the questionnaire for the pilot study

5.14. Validation of the Framework

The final framework, that will be created based on the findings of the study will be validated through a methodological process. The researcher will send an invitation letter and the questions (see Appendix 3) to three professionals that cut across the private and public sector to participate in the validation process of the revised framework via semi-structured

telephone interviews. Those persons included a person from the concessioner organizations, academia, government establishment coordinating PPP in the FCT, consultants in Abuja Nigeria. The criteria for consideration are broad knowledge and expertise and a minimum of 15 years of experience in the field of PPP and urban development.

5.15. Research Design and Process

Research design is the outline of methods and techniques research adopts to achieve the research aims and objectives by a researcher in a study (Creswell, 2014). The design enables the researcher to identify the research procedures that are appropriate for the focus of the study. It also allows the reader of the study to understand the procedures adopted for the study from a bird's eye view. The research design for this study is illustrated in Figure 34.

5.15 Chapter summary

This chapter gave a comprehensive overview of the methodology and methods adopted to attain the study outcome. It elaborated on why the choice of philosophy, research approach, and research strategy among others are discussed. It also gave an insight into the methodology adopted for data collection which was a combination of quantitative (survey), and the qualitative data collection approach is done through a sequential process using a multiple case methodology. The mixed method technique of data collection adopted as a choice to ensure the validity and reliability of the collected data. Also, this section of the research presented the statistical techniques used to analyse the quantitative and qualitative data collected. Will present the analysis of the qualitative data analysis and how it will contribute to the development of the conceptual framework of this study.

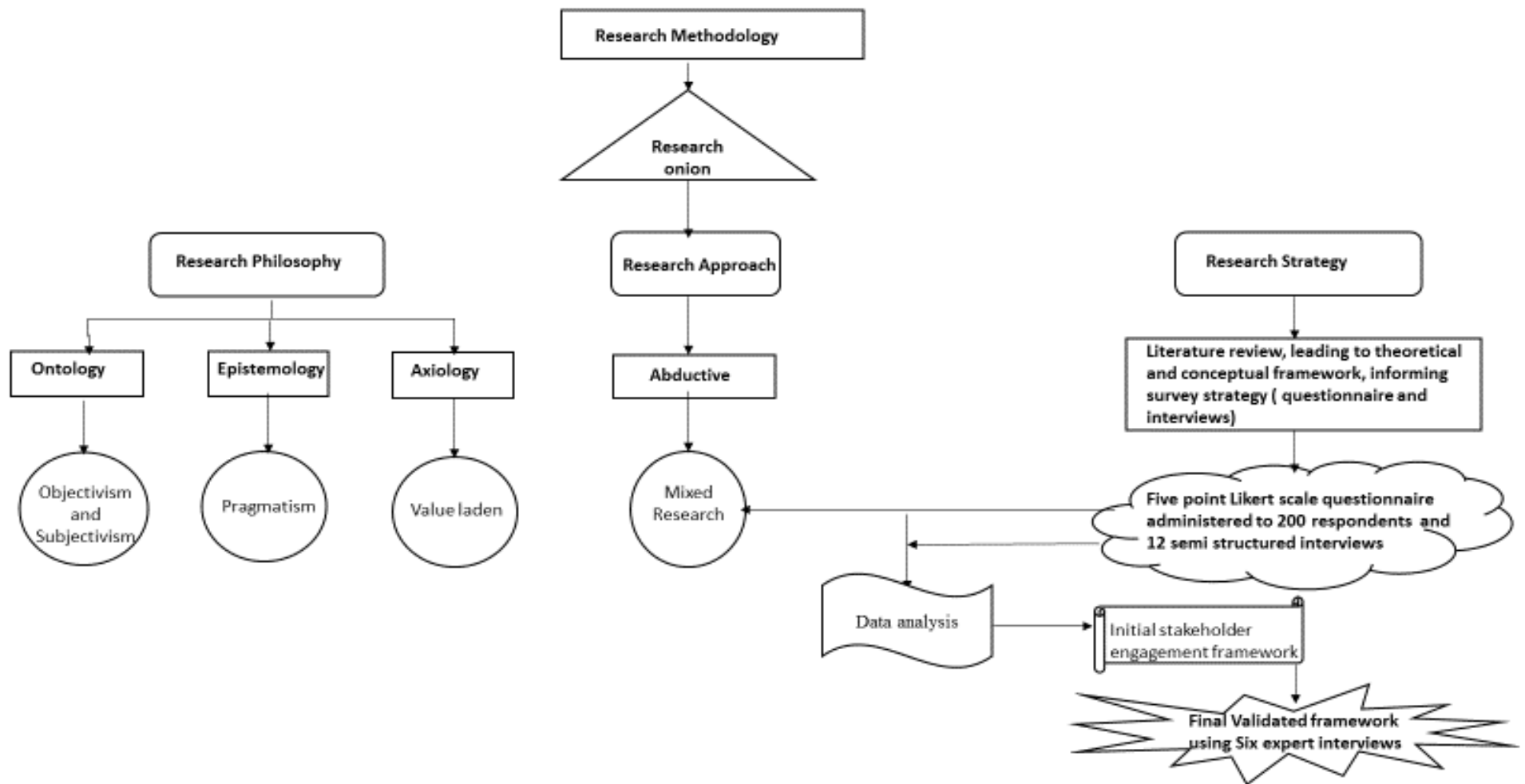


FIGURE 34: RESEARCH FRAMEWORK

CHAPTER 6 QUANTITATIVE DATA ANALYSIS

6.1. Introduction

This chapter presents the analysis of the data collected using the survey administration portal. A total of 74 responses were received and the characteristics of respondents ranged from individuals in junior management to executive management positions. The questions were tailored towards achieving the objectives of this study in designing a strategy for stakeholder engagement in PPP urban infrastructure project execution. The results of descriptive and inferential statistical analysis are as derived from the analysis carried out using the survey portal. Further computation was done using Excel where needed.

This chapter is structured into three parts; the first part focuses on respondents' profile; the second part presents an inferential data analysis on the current practice of stakeholder engagement in PPP urban infrastructure projects in Nigeria, the third part focused on tools and techniques adopted for engagement of external stakeholders in PPP urban infrastructure project delivery in Nigeria, the fourth part presented the results of data analysis regarding the key principles of stakeholder engagement in PPP urban infrastructure project delivery in Nigeria and the final part presents a summary of the findings of this study.

6.2. Respondent Profiles

This section presents the main characteristics of the respondents and their individual firms/organizations by means of tables and graphs.

6.2.1.1: Category of Firms/Organizations in PPP Urban Infrastructure Projects

Based on an examination of the category of PPP urban infrastructure projects in which respondents' organization falls into, majority (48.65%) of respondents stated that they work with private investors while 31.08% of the respondents (Table 20) work with public sector authorities (MDAs). By implication, the information provided by respondents comes from the private sector and public sector dimensions or views.

TABLE 20: CATEGORY OF FIRMS/ORGANIZATIONS IN PPP URBAN INFRASTRUCTURE PROJECTS

S/N	Option	Count (%)
1	Public Sector Authorities (MDAs)	23 (31.08)
2	Private Investor/Concessionaire	36 (48.65)
3	Lender/Financial (Bank)	7 (9.46)
4	Consultant	2 (2.70)
5	Contractor	6 (8.11)
6	NGO	0 (0.00)
Total		74 (100.00)

6.2.1.2: Years of industrial/ professional experience

With regards to the amount of work experience the respondents currently have, the findings presented in Table 21 shows that about 25.68% of the respondents have less than 6 years' experience and 24.32% have less than 11 years, while 29.73% have between 11 and 15 years' experience and 5.41% have between 16 and 20 years. Finally, 14.86% of the respondents have more than 20 years of work experience.

TABLE 21: YEARS OF INDUSTRIAL/ PROFESSIONAL EXPERIENCE

S/N	Option	Count (%)
1	From 1 to 5	19 (25.68)
2	From 6 to 10	18 (24.32)
3	From 11 to 15	22 (29.73)
4	From 16 to 20	4 (5.41)
5	From 21 and above	11 14.86)
Total		74 (100.00)

The results indicate that, most of the respondents have more than 5 years' period of work experience, which indicates a wider knowledge about the actual practices in their respective companies. The work experience of the employees influences their understanding and adoption of appropriate stakeholder engagement practices; this also help the organization at large to develop and improve on different initiatives around stakeholder engagement.

6.2.1.3: Highest Academic Qualification of Respondents.

Figure 35 illustrates the different levels of academic qualifications of respondents. The majority of respondents (44.6%) had a second degree (M. Tech/M.Sc./MBA) while 33.8% had a B.Tech or B.Sc degree. Also 12.2% had HND while 9.5% had a Doctorate degree in their field of practice.

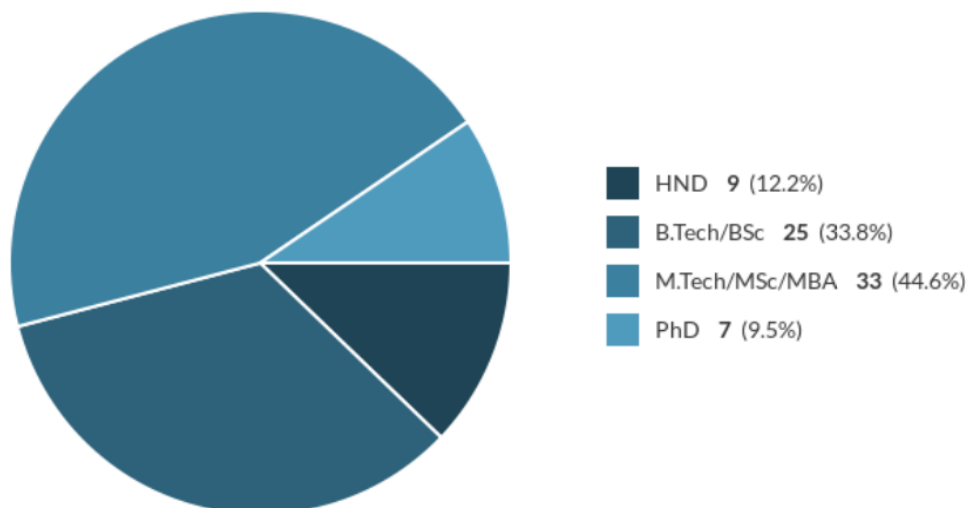


Figure 35: Highest academic qualification of respondents.

In appropriately implementing stakeholder engagement, it is required that employees possess a good level of education, training and skill in order to be able to understand project needs, requirements, risks, impacts, controls and the required inputs of every stakeholder as well as develop a good communication plan with the stakeholders involved. Therefore, the level of education is one of the most important indicators as to whether stakeholder engagement is being handled appropriately. Impliedly, with respect to the qualifications of the respondents presented above, the findings of this study are valuable.

6.2.1.4: Position of Respondents

In relation to the job position of respondents, Figure 36 reveals that, more than half of the respondents (59.4%) were middle level management staff while 21.7% were low level managers. Executive management staff accounted for 18.8% of the responses received.

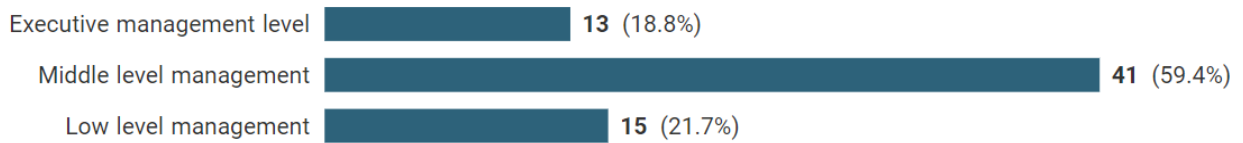


Figure 36: Respondent positions in their organizations

The role of middle level and low-level managers in stakeholder engagement is highly important as they serve as the interface between external stakeholders and the executive management while also ensuring that other staff abide by workplace ethics and stakeholder engagement best practices.

6.2.1.5: Number of PPP projects executed by firms/organizations

Regarding the volume of projects executed by firms of respondents sampled, 31.88% stated that their firms are involved in over 16 projects. Also, 30.43% and 28.99% (Table 22) of respondents indicated that their organization is involved in between 1 to 5 projects and 6 to 10 projects respectively.

TABLE 22: NUMBER OF PPP PROJECTS EXECUTED BY FIRMS/ORGANIZATIONS

S/N	Option	Count
1	1 - 5	20 (28.99)
2	6 - 10	21 (30.43)
3	11 - 15	6 (8.70)
4	16 and above	22 (31.88)
Total		69 (100.00)

This to a great extent indicates that majority of the respondents have experience working on multiple projects and that the information provided is based on experience gathered regarding the various projects they have participated in.

6.2.1.6: Type of Urban Infrastructure Project/Projects Previously Executed by Respondents' Firm/Company

Data collected based on the projects previously executed by respondents' firm revealed that most of the firms have been involved in more housing development projects in the past as this was stated by 55.41% of respondents (Table 23). Also, the development of commercial properties such as market (27.03%) and commercial complex/office spaces (2.70%) were also significant projects executed by respondents' firms. *able 23: Type of urban infrastructure project/projects previously executed by respondents' firm/company*

S/N	Option	Count
1	University hostel	3 (4.05)
2	Housing	41 (55.41)
5	Market	20 (27.03)
6	Commercial complex/offices	2 (2.70)
7	District infrastructure development	5 (6.76)
8	Hospital	3 (4.05)
Total		74 (100.00)

Different project type has different stakeholders involved which sometimes also requires a slightly different stakeholder engagement approach based on project peculiarities. In view of this, a study of the projects previously executed by respondents' organizations is key as it helps in finding out the type of urban infrastructure development carried out by respondents' organizations and the method adopted to engage stakeholders.

6.3: Current practice of stakeholder engagement in PPP urban infrastructure projects in Nigeria

This section focuses on the presentation of results of data analysis as it relates to the phase of PPP urban infrastructure respondents' organizations are involved in; the type of urban infrastructure project currently executed by respondents' firms; external stakeholders engaged in respondents' recent PPP urban infrastructure project; stakeholder interaction across project lifecycle; leaders of stakeholder engagement at the various stages of the PPP urban infrastructure project executed and who should lead stakeholder engagement in PPP Projects.

6.3.1: Phase of PPP urban infrastructure

There are three key phases in the Public-Private Partnership Project Process (Edward et.al, 2011). These are development, procurement, and implementation phase. Responses received regarding the phase of PPP respondents' firms (Figure 37) are involved in when carrying out urban infrastructure development reveals that majority of the firms adopt PPP in project development phase (48.6%) and implementation phase (41.9%)



Figure 37: Respondents' current involvement in the PPP urban infrastructure phase

A study of the project phase in which PPP is adopted enables the understanding of how stakeholders are engaged at these project phases. There are only few organizations who don't engage stakeholders at the phases identified by this study. This makes the findings of this study interesting.

6.3.2: Type of Urban Infrastructure Project Currently Executed by Respondents' Firms

As indicated by respondents, their firms are presently involved in more housing and market development projects. These accounts for 56.76% and 33.78% of responses received (Table 24). Other urban infrastructure projects presently executed include university hostels (4.05%), electricity (1.0%). While electricity, hospital development, district infrastructure development and commercial complex/offices all accounts for 1.0% each.

TABLE 24: TYPE OF URBAN INFRASTRUCTURE PROJECT CURRENTLY EXECUTED BY RESPONDENTS' FIRMS

S/N	Option	Count
1	University hostel	3 (4.05)
2	Housing	42 (56.76)
3	Electricity	1 (1.35)
4	Market	25 (33.78)
5	Commercial complex/offices	1 (1.35)
6	District infrastructure development	1 (1.35)
7	Hospital	1 (1.35)
Total		74 (100.00)

Having previous examined the urban infrastructure type previously developed by respondents' firms, it is also expedient to examine the urban infrastructure presently executed by those firms for knowledge update and to ensure that the information provided by respondents are based past and present experiences.

6.3.3: External Stakeholders Engaged In Respondents' Recent PPP Urban Infrastructure Projects

Based on the interaction of their organizations with different stakeholders in project execution, respondents stated that their organizations interacted more with customers and government agencies other than your direct government partner, this accounted for 28.74% of responses received (Table 25). Other important stakeholders interacted with include business owners in community and community members as indicated by 17.24% and 11.49% of respondents respectively.

TABLE 25: EXTERNAL STAKEHOLDERS ENGAGED IN RESPONDENTS' RECENT PPP URBAN INFRASTRUCTURE PROJECT

Rank value	Option	Count
1	Customers	25 (28.74)
2	Community Members	10 (11.49)
3	Civil Society	2 (2.30)
4	Government agencies other than your direct government partner	25 (28.74)
5	Unions	6 (6.90)
6	Media	3 (3.45)
7	Business owners in community	15 (17.24)
8	Did not engage any	1 (1.15)
Total		87*

6.3.4: Stakeholder Interaction Across the Project Lifecycle

The scope of this study is designed around the following stakeholders Customers, Community Members, Civil Society, Government agencies other than your direct government partner, Unions, Media and Business owners in community. Firms engage these stakeholders across the different phases of the project life cycle.

6.3.4.1 Interaction with Customers

As presented in Figure 37, 59.1% of respondents stated that their organizations interact with customers more during project development phase, 22.7% noted that their organization interacts with customers during project implementation phase while 18.2% of respondents indicated that their organization interacts with customers at the procurement stage. There is utmost need to interact with customers at various stages of the project life cycle.

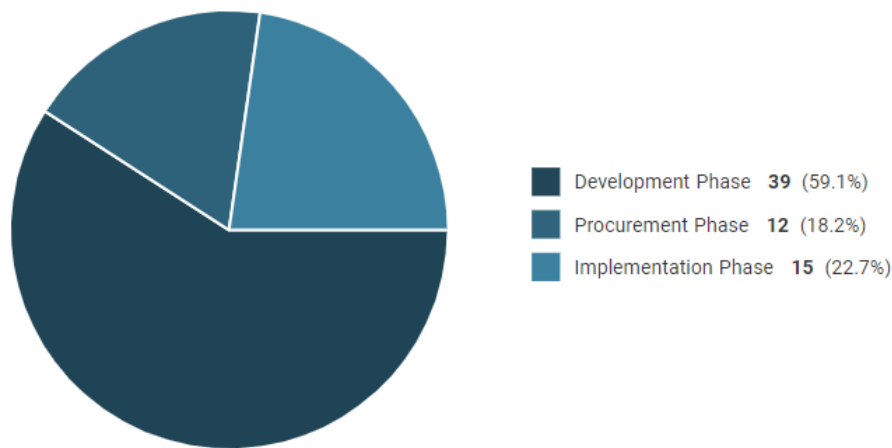


Figure 37: Interaction with customers

6.3.4.2: Interaction with Community Members

When questioned how organizations engage with community members, the majority (64.4%) of respondents noted that their firms engage more during the project development phase while 24.4% and 11.1% (Figure 38) stated that their firms' interaction with community members comes in the procurement and implementation phase respectively.

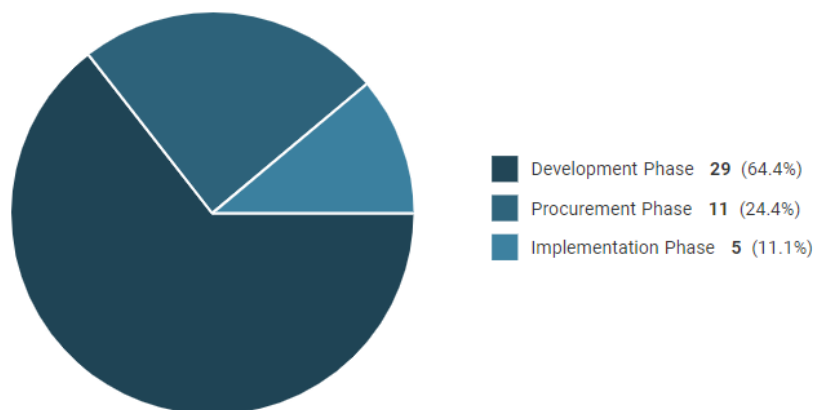


Figure 38: Interaction with community members

6.3.4.3: Civil Society

In interacting with members of a civil society, 39.5% respondents stated that such interaction usually occurs during the project development phase and 31.6% of respondents (Figure 39) indicated that their firms engage the civil society when the project reach the procurement phase. There is reduced interaction with the civil society during the implementation phase. This is as stated by 28.9% of respondents.



Figure 39: Interaction with civil society

6.3.4.4: Interaction with Government Agencies

Regarding their interaction with government agencies, 37.8% of respondents indicated that their organizations engage such agencies during the project implementation phase, 31.1% noted that they engage during the development phase while a further 31.1% (Figure 40) noted that they engage such government agencies during procurement phase.



Figure 40: Interaction with government agencies other than direct government partner

**Multiple responses allowed in this question.

6.3.4.5: Interaction with Unions

Furthermore, 51.2% and 34.1% of respondents indicated that engagement with unions occurs during the development and implementation phases respectively while 14.6% (Figure 41) noted that they engage unions during the procurement phase of the project.

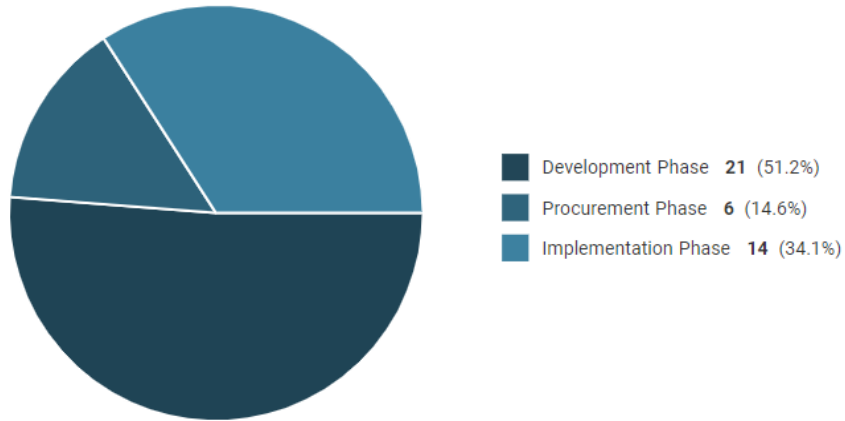


Figure 41: Interaction with unions

6.3.4.6: Interaction with Media

Based on how they engage with the media, 37.3% of respondents stated that they interact with the media during the project development phase, 32.8% stated that the engagement is done the procurement phase while 29.9% of respondents (Figure 42) stated that they engage the media in the project implementation phase.

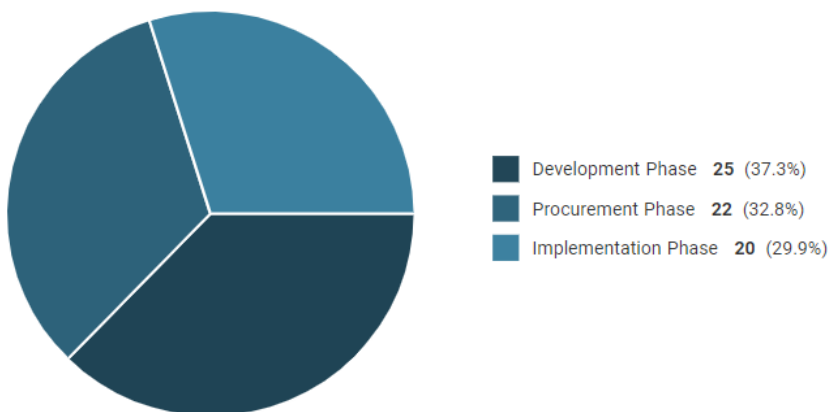


Figure 42: Interaction with media

6.3.4.7: Interaction with Business Owners in the Community

Business owners in the project location are also part of the stakeholders usually engaged during project execution. Based on how they interact with business owners domiciled in the community where the project is being executed, 39.3% of the respondents (Figure 43) stated that they engage such business owners during the project development phase, 33.9% stated that they interact with them during the implementation phase while 26.8% stated that the interaction occurs during the procurement phase.



Figure 43: Interaction with business owners in the community

6.3.5: Leaders of Stakeholder Engagement at the Various Stages of the PPP Urban Infrastructure Project Executed.

In considering the stakeholders who led SE during the three phases of PPP projects, it was deduced that during the development phase the project stakeholder engagement was led by public sector authorities (57.8%), consultants (56.1%) and private investors/concessionaires. During the procurement stage, stakeholder engagement was usually led by lenders or financial banks (44.4%) and contractors (47.5%). In the implementation phase, SE was led by contractors (35%) and consultants (31.7%). All results are illustrated in Figure 44.

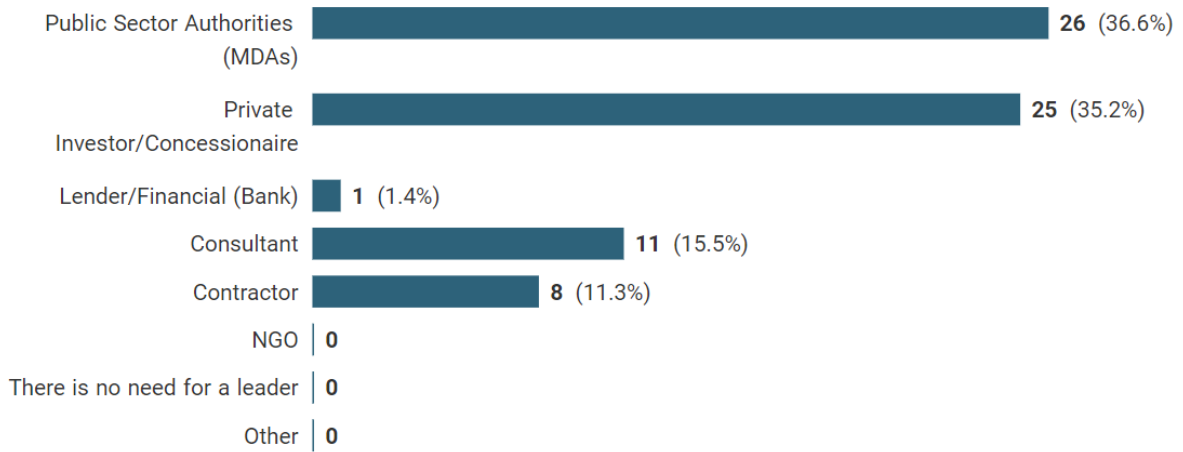


Figure 44: Interaction with business owners in the community

6.3.6: Stakeholder Engagement Leadership Responsibility in PPP Projects

Based on who should take leadership position for SE in PPP projects, 36.6% of respondents stated that stakeholder engagement should be led by Public Sector Authorities (MDAs) while 35.2% of respondents indicated that it should be led by Private Investors/Concessionaire. 15.5% of respondents stated that SE should be led by consultants while 11.3% (Figure 45) stated that contractors should lead stakeholder engagement.

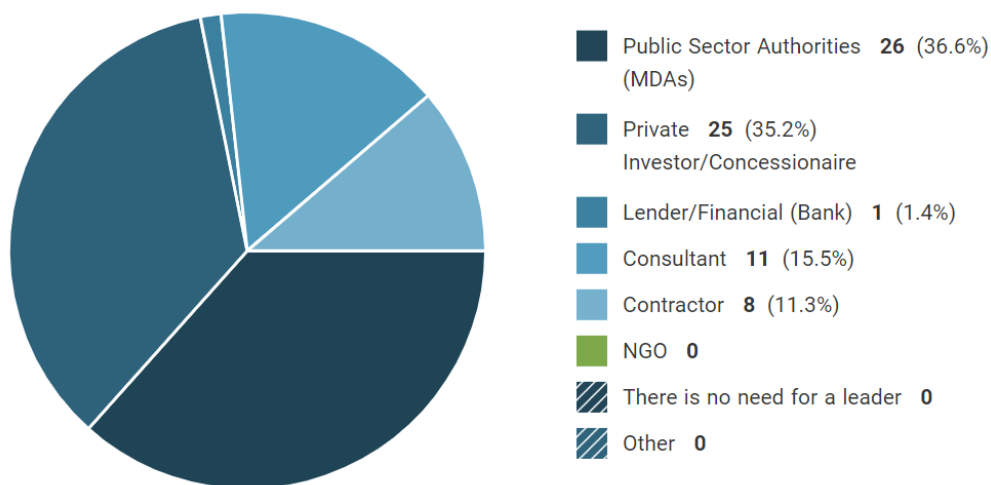


Figure 45: Stakeholder Engagement Leadership Responsibility in PPP Projects

6.4: Tools and Techniques Adopted for the Engagement of External Stakeholders in PPP Urban Infrastructure Project Delivery in Nigeria

As the objectives of this study include the development of a stakeholder engagement framework suitable for the PPP urban infrastructure delivery model in Nigeria, it is necessary to examine the different levels of engagement adopted and the tools and techniques used in SE. This subsection presents the results of the survey conducted in this aspect.

6.4.1: Level of Engagement Adopted for External Stakeholders while Executing PPP Projects.

Stakeholder engagement is conducted on five levels (L1 to L5), depending on the level of information or interaction an organization wants with a stakeholder. During this study the levels identified were captured as L1 – Inform, L2 – Consult, L3 – Involve, L4 – Collaborate and L5 – Empower. Stakeholder engagement was therefore examined as it relates to the five levels listed above.

6.4.1.1: Level of Engagement Adopted with Customers

Majority (69.0%) of respondents stated that they adopt the first level of engagement (Inform) while engaging customers during the execution of PPP projects. 20.7%, 27.6% and 29.3% of the respondents (Figure 46) further stated that they go ahead to consult, involve and collaborate with customers respectively while very few (3.4%) of respondents indicated that they adopt the 5th level of engagement (empower) in their interaction with customers while executing PPP projects.

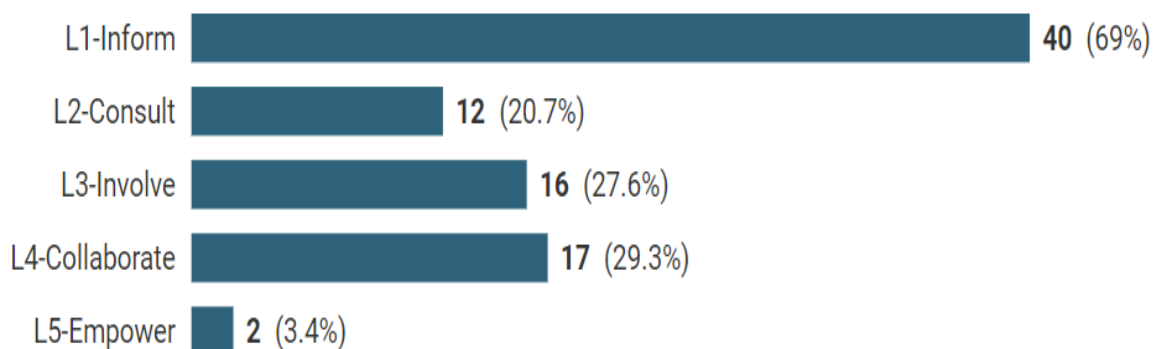


Figure 46: Level of Engagement Adopted with Customers

6.4.1.2: Level of Engagement Adopted with Community Members

In engaging community members, an appreciable number of respondents indicated that they engage community members adopting all the levels of engagement. 39.7% and 34.5% of respondents (Figure 47) stated that they inform and consult community members while executing PPP projects. Also, 44.8%, 19.0%, 17.2% stated that they further involve, collaborate and empower community members while executing PPP projects.

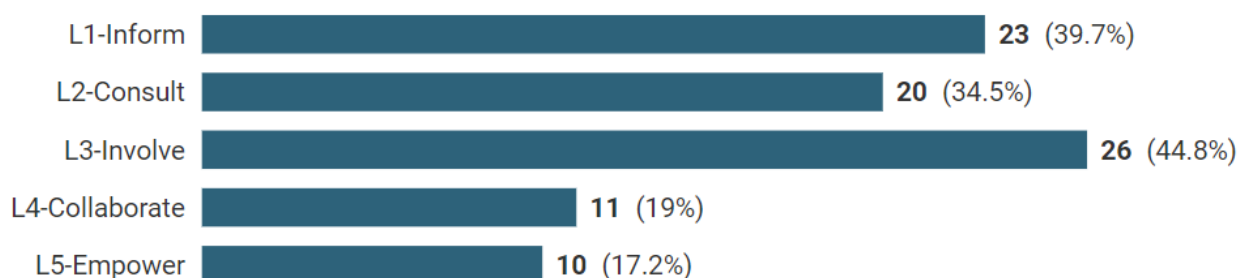


Figure 47: Level of Engagement Adopted with Community Members

6.4.1.3: Level of Engagement Adopted with Civil Society

When it comes to engaging the civil society, respondents noted that the major level of engagement adopted is inform (38.5%) and collaborate (36.5%). 21.2% and 26.9% of respondents further stated that they consult and involve the civil society in PPP project execution. Figure 48 presents further information on other levels.

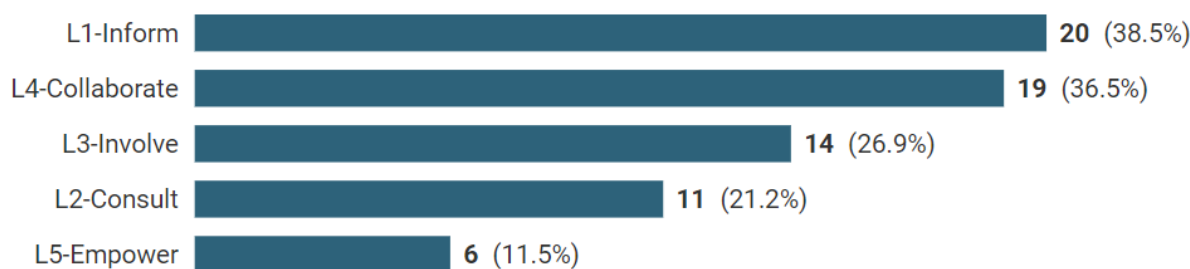


Figure 48: Level of Engagement Adopted with Civil Society

6.4.1.4: Level of Engagement Adopted with Government Agencies other than the Direct Government Partner

Regarding engaging government agencies other than direct government partners, the most commonly adopted level of engagement is to inform, collaborate and involve. This was stated by 38.5%, 36.5% and 26.9% of respondents respectively (Figure 49).

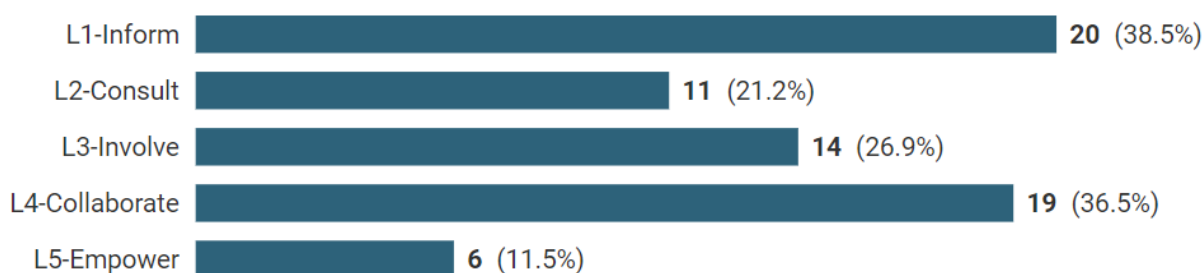


Figure 49: Level of Engagement Adopted with Government Agencies other than the Direct Government Partner

6.4.1.5: Level of Engagement Adopted with Unions

Majority of respondents (44.2%) stated that when engaging unions in PPP project execution they adopt the “inform” level of engagement. 21.2%, 25.0% stated that they further move on to consult and involve them while 26.9% (Figure 50) stated that they collaborate with unions during PPP project execution.

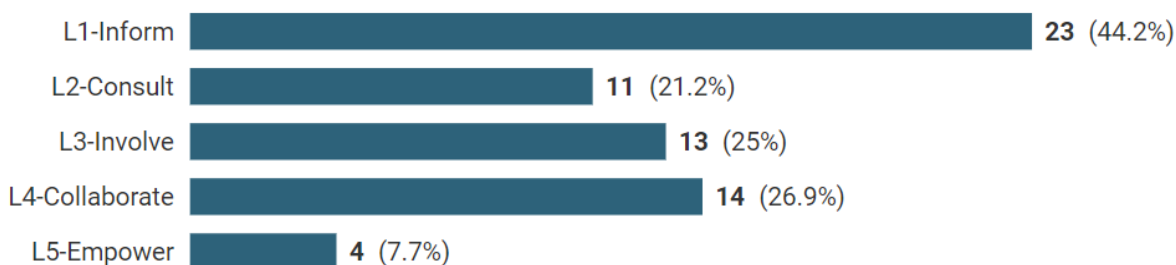


Figure 50: Level of Engagement Adopted with Unions

6.4.1.6: Level of engagement adopted with media

In their engagement with the media during PPP project execution, 48.1% of respondents stated that they inform, 25.9% stated that they collaborate, while 20.4% (Figure 51) stated that they involve them while executing the project.

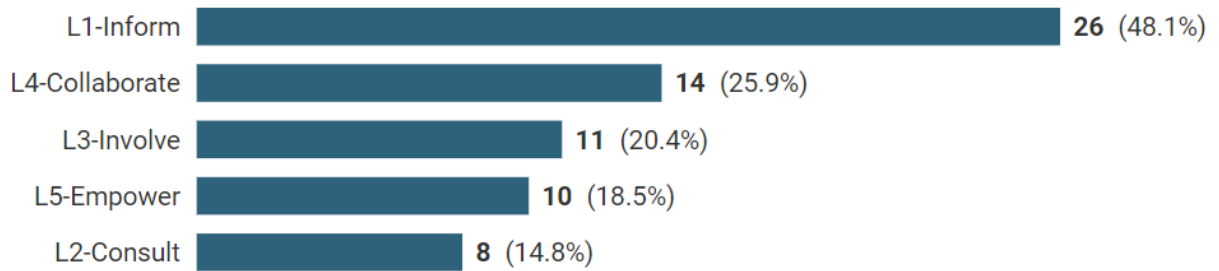


Figure 51: Level of Engagement Adopted with Media

6.4.1.7: Level of Engagement Adopted with Business Owners in the Community

While engaging business owners in the community, 35.8% of respondents stated that they informed business owners in the community during project execution. 26.4% stated that they consult business owners, 32.1% indicated that they involve them while 37.7% (Figure 52) stated that they collaborate with business owners in the community. Also, 11.3% of respondents stated that they empower the business owners in the project community during execution.

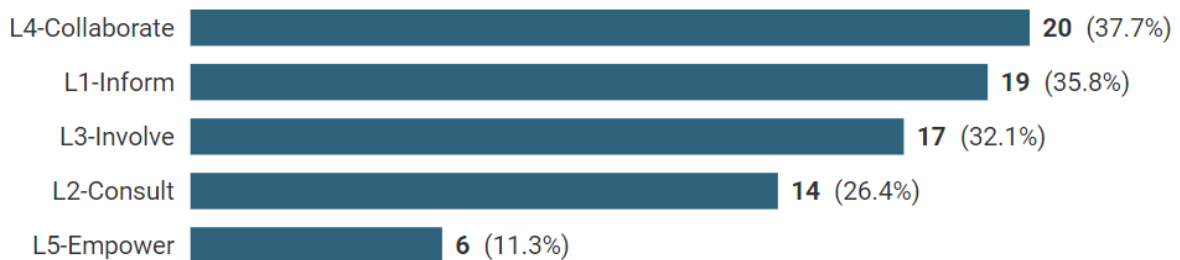


Figure 52: Level of engagement adopted with business owners in the community

This study reveals that the various stakeholders involved in PPP project are moderately engaged across the levels of engagement identified in literature. All the stakeholders are engaged more especially in the first level – inform (Table 26). This is relatively due to the need to communicate project implementation plan with all stakeholders that are either beneficiaries, sponsors, or regulators.

TABLE 26: LEVEL OF ENGAGEMENT ADOPTED WITH BUSINESS OWNERS IN THE COMMUNITY

	Customers	Community members	Civil society	Government agencies other than the direct government partner	Unions	Media	Business owners in the community
L1-Inform	69	39.7	38.5	36.8	44.2	48.1	35.8
L2-Consult	20.7	34.5	21.2	26.3	21.2	14.8	26.4
L3-Involve	27.6	44.8	26.9	36.8	25	20.4	32.1
L4-Collaborate	29.3	19	36.5	35.1	26.9	25.9	37.7
L5-Empower	3.4	17.2	11.5	12.3	7.7	18.5	11.3

As noted by respondents, the major levels of engagement adopted are inform (3.75%), involve (21.73%) and collaborate (21.40%). Moreover, 16.79% and 8.33% (Figure 53) of respondents further stated that they consult and empower external stakeholders respectively. The results of this study echo the 2020 survey results of the National Audit Office of Estonia (NAOE), which was conducted on Supreme Audit Institutions (SAIs) and showed that the majority of respondents preferred to adopt three levels of stakeholder engagement - consult, inform and involve. The survey further revealed that few respondents stated that they collaborate with stakeholders, while a further few respondents noted that they empower stakeholders.

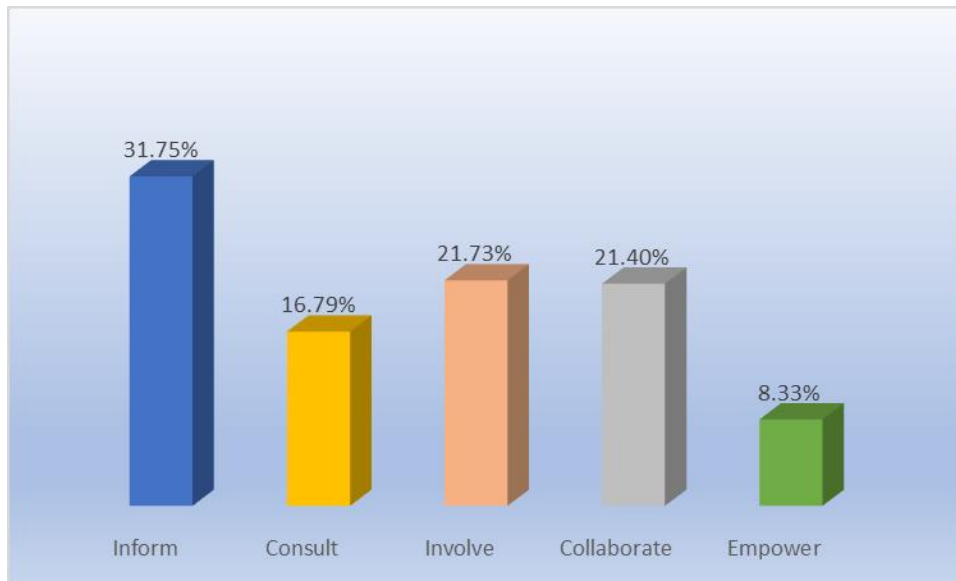


Figure 53: Level of Engagement Adopted with Business Owners in the Community

6.4.2: Stakeholder engagement tools and techniques used in various phases of PPP urban infrastructure project

Several tools and techniques were identified in the literature. The level of adoption of these tools and techniques was examined. The results are presented in the following sub-sections.

6.4.2.1: Public Meetings

In examining the level of utilization of public meetings as part of the tools and techniques utilized in stakeholder engagement, 47.9% of respondents stated that they mostly adopt this technique in the project development phase while 28.2% and 23.9% (Figure 54) of respondents respectively stated that they adopt these techniques during the procurement phase as well as the implementation phase.

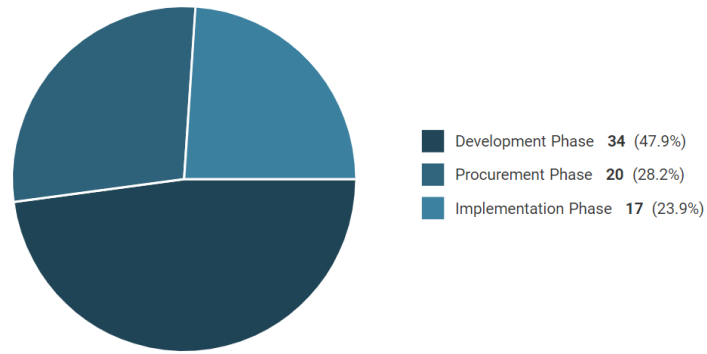


Figure 54: Public Meetings

6.4.2.2: Briefings

The adoption of briefing as a stakeholder engagement tool is more evident in the development phase of PPP projects, this is as stated by 50.7% of respondents. 25.3% and 24.0% of respondents respectively stated that they adopt briefing in the procurement and project implementation phase. This is further depicted in Figure 55.

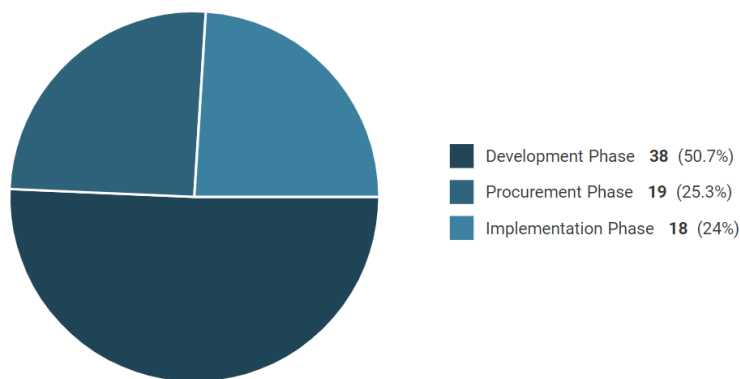


Figure 55: Briefings

6.4.2.3: News media

As presented in Figure 56, news media is utilized as a tool for stakeholder engagement in the project development phase. It also finds an appreciable adoption in the project implementation phase while it is less adopted in the procurement phase as stated by 36.8% and 22.8% of respondents respectively.

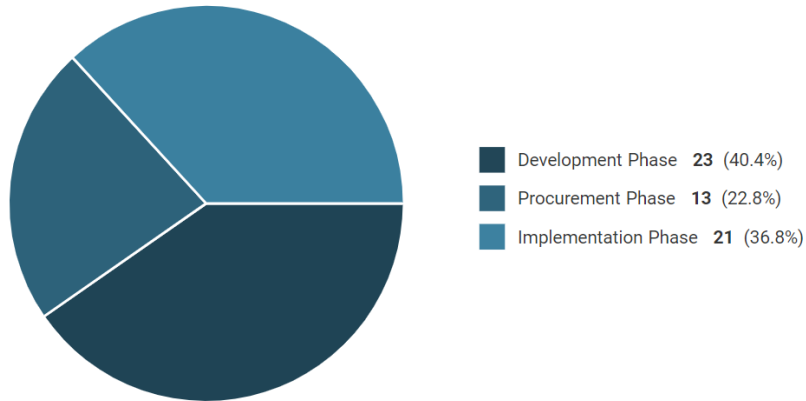


Figure 56: News Media

6.4.2.4: Public Presentations

Regarding the adoption of public presentation as a tool for stakeholder engagement, it was deduced that that public presentation is equally adopted in the procurement and implementation phase of PPP projects. This was stated by 31.7% and 31.7% of respondents respectively (Figure 57). However, 36.7% of respondents stated that it is utilized more in the project development phase.

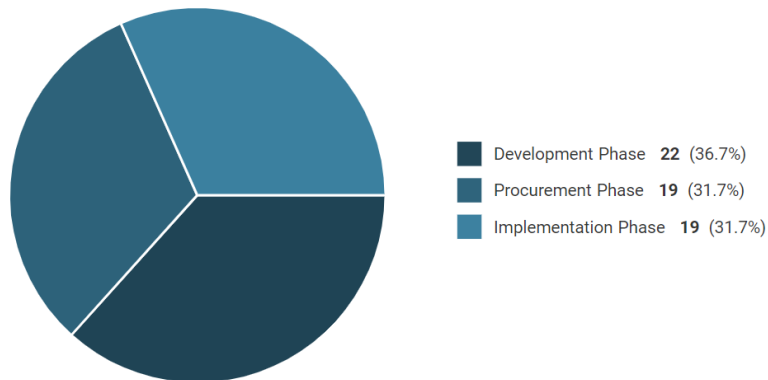


Figure 57: Public Presentations

6.4.2.5: Info Kiosks

As presented in Figure 6.24, 51.2% of respondents stated that info kiosks are deployed as SE tools during project development phase. 30.2% of the respondents (Figure 58) also stated that

info kiosks are used in to engage stakeholder in the procurement phase while only 18.6% stated that this tool is used during PPP project implementation phase.

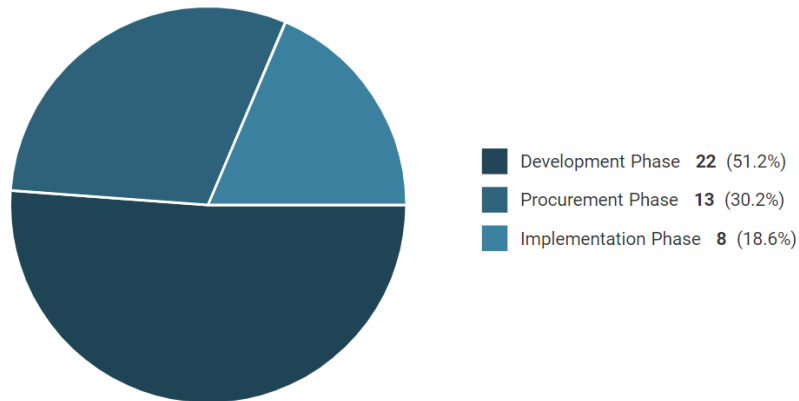


Figure 58: Info Kiosks

6.4.2.6: Hotlines

The adoption of hotlines as a tool for stakeholder engagement is more conspicuous in the project development and implementation phase. This is as indicated by 43.1% and 37.3% of respondents respectively (Figure 59). A further 19.6% of respondents stated that it is also adopted during the procurement phased of PPP urban infrastructure development projects.

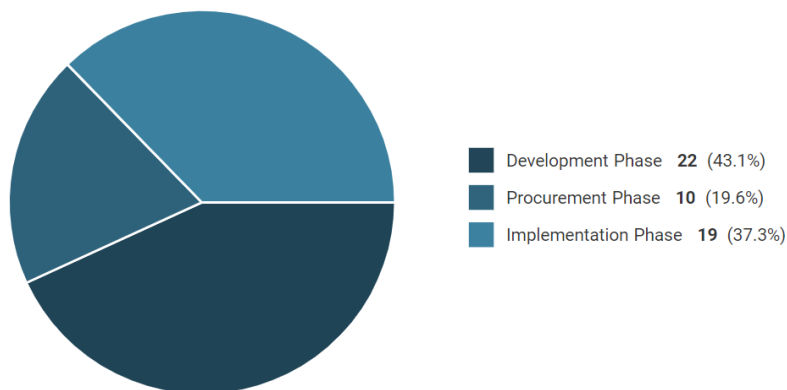


Figure 59: Hotlines

6.4.2.7: Newsletters

As presented Figure 60, 44.0% and 40.0% of respondents stated that newsletters find a great level of adoption in the project development and implementation phase respectively. In

addition, 19.6% of respondents stated that it is deployed in engaging stakeholders during the procurement phase.

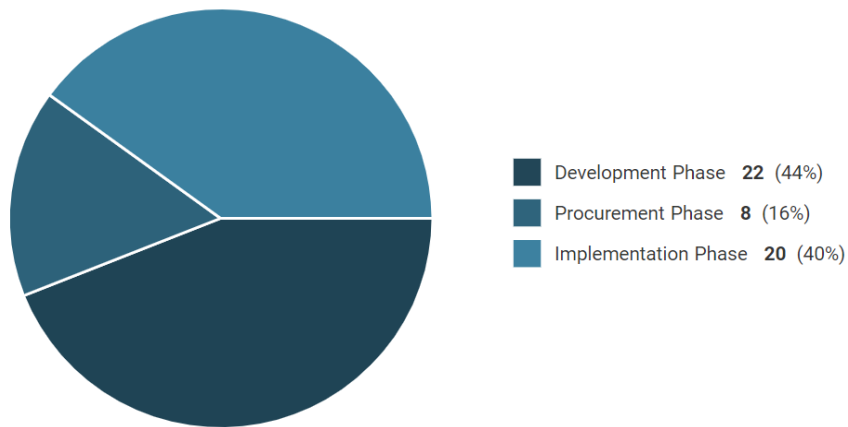


Figure 60: Newsletters

6.4.2.8: Bulletins

Regarding the adoption of bulletins as part of the tools and techniques for stakeholder engagement, it can be deduced that bulletins find fair adoption across the project life cycle. In addition, 55.7% of respondents stated that it is adopted in the procurement phase, while 32.1% and another 32.1% of respondents (Figure 61) stated that it is applied during project development and project implementation.

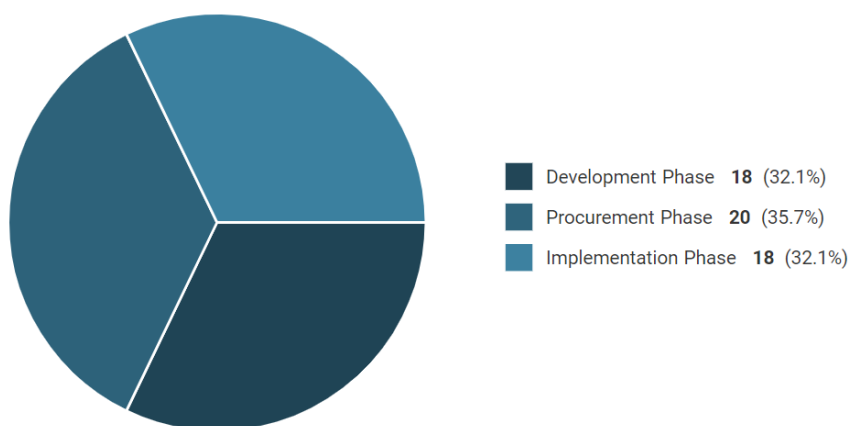


Figure 61: Bulletins

6.4.2.9: Social Media

The adoption of social media platforms as tools for stakeholder engagement is more evident in the project implementation and development phase. This is as stated by 38.6% and 37.1% of respondents and presented in Figure 62. A further 24.35 of respondents noted that social media is also adopted during procurement phase.

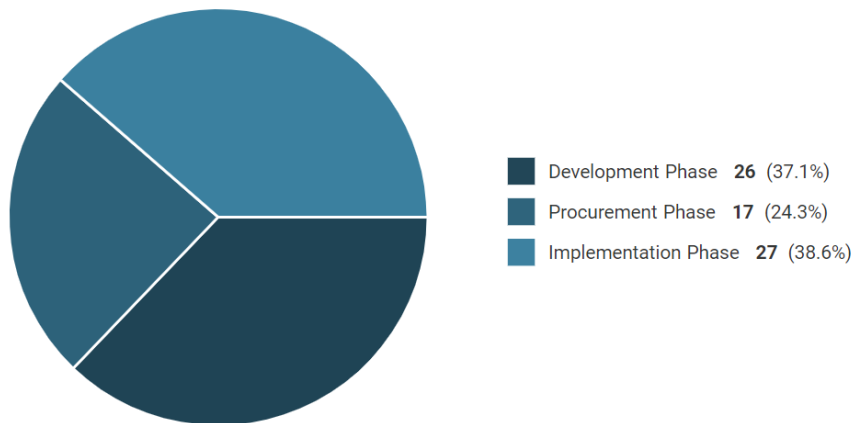


Figure 62: Social Media

6.4.2.10: Websites

When it comes to the adoption of websites as a tool for the implementation of stakeholder engagement during PPP project implementation, 40.0% of respondents indicated that SE is carried out on dedicated websites during project development phase. As further presented in Figure 63, 30.7% of respondents indicated that websites are also used to engage stakeholders during procurement phase while 29.3% of respondents stated that stakeholders are engaged over websites during the project implementation phase.

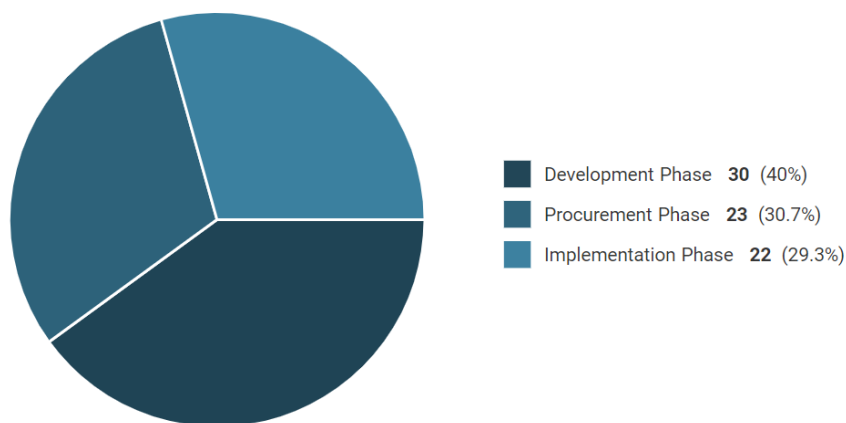


Figure 63: Websites

6.4.2.11: Fact sheets

Facts and sheets are more utilized during project development and implementation phase. As presented in Figure 64, 40.4% and 40.4% respectively attested to this.

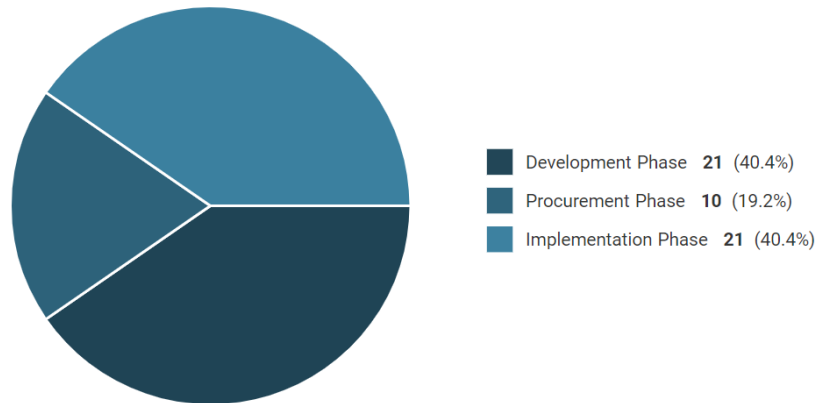


Figure 64: Fact Sheets

6.4.2.12: Arts and entertainment

As presented in Figure 65, arts and entertainment is usually deployed as a tool for stakeholder engagement during the project implementation phase. This as stated by 44.9% of respondents. Also, 28.65% of respondents indicated that they utilize arts and entertainment for stakeholder engagement at the procurement phase while 26.5% of respondents utilize the tool during project development phase.

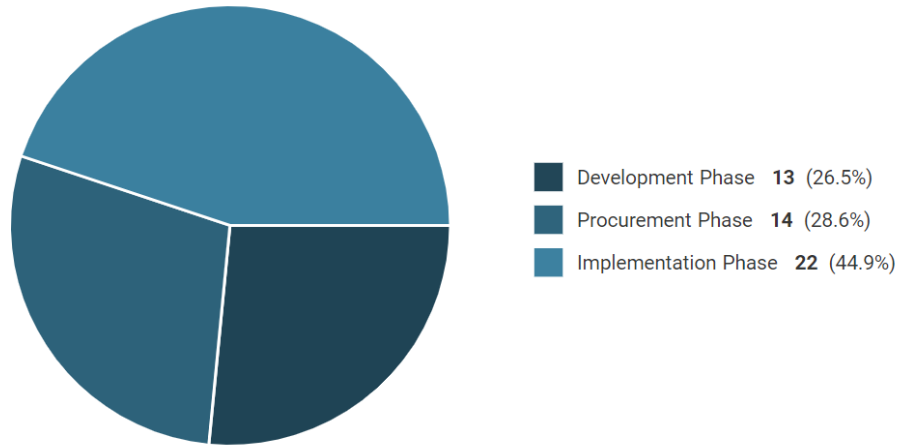


Figure 65: Arts and Entertainment

Majority of the tools and techniques identified above are adopted in the project development phase while news media, public presentations, hotlines, newsletter, bulletin, social media, facts sheet; arts and entertainment are all further applied in project implementation stage while website, bulletin, info kiosks, public presentation, public meetings are adopted more in the procurement phase of PPP urban infrastructure project execution.

6.5: Key Principles of Stakeholder Engagement in PPP Urban Infrastructure Project Delivery in Nigeria

In this section respondents' level of agreement to the key principles of stakeholder engagement in PPP urban infrastructure project delivery in Nigeria was examined. Eight principles were identified from literature, they are stakeholder identification and classification, information disclosure, stakeholder consultation, negotiation and partnerships, grievance management, stakeholder involvement in project monitoring, reporting to stakeholders and management functions. Respondents' level of agreement with importance of these principles was tested using 5-point Likert scale. The responses are as presented in Table 27.

For the first principle (Stakeholder Identification and Classification - P1), the mean value of agreement with this principle is 3.88, while the standard deviation stands at 1.19. The

percentage of respondents who strongly agreed with this principle stands at 37.70% while 33.30% agreed that the principle is key. Impliedly about 71.00% of the whole respondents to the survey agreed to the fact that stakeholder identification and classification is a key principle of stakeholder engagement in PPP urban infrastructure project delivery in Nigeria.

Regarding the second principle, Information Disclosure, 38.0% of respondents agreed while just 8.5% strongly agreed that the principle is key or stakeholder engagement. The mean score was 3.42 while the standard deviation was 0.85. for principle 3 (Stakeholder consultation), 51.5% and 20.6% of respondents agreed and strongly agreed respectively with the opinion that it is key to stakeholder engagement. The mean score for this principle was 3.74 while the standard deviation was 1.05.

TABLE 27: KEY PRINCIPLE OF STAKEHOLDER ENGAGEMENT IN PPP URBAN INFRASTRUCTURE PROJECT DELIVERY IN NIGERIA

Principles	Code	Strongly		Neutral	Strongly		Mean	SD	Rank
		Disagree	Disagree		Agree	Agree			
Negotiation and Partnerships	P4	5.8	2.9	14.5	50.7	26.1	3.88	1.01	1
Stakeholder Identification and Classification	P1	7.2	5.8	15.9	33.3	37.7	3.88	1.19	1
Grievance Management	P5	4.5	7.6	21.2	33.3	33.3	3.83	1.11	3
Stakeholder Consultation	P3	5.9	7.4	14.7	51.5	20.6	3.74	1.05	4
Stakeholder Involvement in Project Monitoring	P6	4.3	10.1	23.2	39.1	23.2	3.67	1.07	5
Management Functions	P8	4.4	11.8	22.1	47.1	14.7	3.56	1.02	6
Information Disclosure	P2	2.8	7	43.7	38	8.5	3.42	0.85	7
Reporting to Stakeholders	P7	4.4	11.8	38.2	29.4	16.2	3.41	1.03	8

Negotiation and partnerships are key principles of stakeholder engagement in PPP project delivery in Nigeria, as stated by 50.7% of respondents and a further 26.1% who strongly agreed. The mean score for this principle is 3.88 while the standard deviation is 1.01. For the fifth principle (Grievance Management – P5), 33.3% of respondent and a further 33.3% agreed and strongly agreed respectively that it is key to stakeholder engagement. Other results are as presented in Table 27.

The mean score for the principles ranged from 3.41 to 3.88 on a scale of 0 to 5, indicating that respondents agreed that they are key to successful stakeholder engagement in PPP urban infrastructure delivery in Nigeria. Ranking the principles based on their mean score, it was deduced that Negotiation and Partnerships; Stakeholder Identification and Classification; Grievance Management; Stakeholder Consultation and Stakeholder Involvement in Project Monitoring are the top five key principles of stakeholder engagement in PPP urban infrastructure project delivery in Nigeria.

6.6: Major Barriers to Stakeholder Engagement in the Process of PPP Urban Infrastructure Project Delivery in Nigeria

Table 28 reveals the ranks of each of the 12 identified barriers across the five identified respondent category groups, public sector authorities (MDAs), private investor/concessionaire, lender/financial (bank), consultant and contractors. Barriers with the same mean scores were assigned the same rank. Thus, the analysis of the ranking in terms of the overall or total mean score values for the 12 identified barriers ranged from 3.04 to 3.67 on a scale of 0 to 5.

TABLE 28: MAJOR BARRIERS TO STAKEHOLDER ENGAGEMENT IN THE PROCESS OF PPP URBAN INFRASTRUCTURE PROJECT DELIVERY IN NIGERIA

Barriers	Code	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	Mean	SD	Rank
Conflicting agendas	B1	10	1.4	17.1	54.3	17.1	3.67	1.09	1
Hidden intents (lack of trust)	B5	7.4	10.3	16.2	47.1	19.1	3.6	1.13	2
Passive stakeholder involvement	B7		7.4	38.2	47.1	7.4	3.54	0.74	3
Scarce resources	B2	7.5	13.4	16.4	53.7	9	3.43	1.07	4
Resistance to change	B4	2.9	19.1	25	38.2	14.7	3.43	1.05	4
Power conflicts	B3	2.9	11.8	38.2	36.8	10.3	3.4	0.93	6

Absence of legal requirements for engagement	B12	5.9	19.1	25	32.4	17.6	3.37	1.15	7
Subversive stakeholders	B8	3	4.5	53.7	29.9	9	3.37	0.83	7
Lack of extensive client participation	B6	1.5	14.4	47.8	29.9	7.5	3.28	0.84	9
Lack of leadership	B10	9.1	27.3	12.1	40.9	10.6	3.17	1.2	10
Lack of technical capacity	B11	13.2	29.4	10.3	30.9	16.2	3.07	1.33	11
Low turnout in meetings	B9	4.5	23.9	34.3	37.3		3.04	0.89	12

This shows that all the identified barriers were judged to have somewhat serious influence on stakeholder engagement when it comes to PPP projects implementation in Nigeria. Table 29 further shows that the top three identified barriers based on mean score values are: conflicting agendas, hidden intents (lack of trust) and passive stakeholder involvement with mean score values of 3.67, 3.6 and 3.54 respectively. The remaining seemingly important barriers to take caution against scored mean values between 3.28 and 3.43. They include scarce resources, resistance to change power conflicts, absence of legal requirements for engagement, subversive stakeholders, and a lack of extensive client participation.

6.7: Important Governance Mechanisms for External Stakeholder Engagement in PPP Urban Infrastructure Project Delivery in Nigeria

Regarding the governance mechanism adopted for external stakeholder engagement in PPP urban infrastructure project delivery in Nigeria, analysis of responses received revealed that all identified mechanisms are important as the mean score ranged from 3.58 to 4.1 on a scale of 1 to 5. In addition, 44.3% of respondents stated that corruption control is very important while 40.0% strongly agreed with that fact. The need to build trust in stakeholders is judged to be important by 38.6% who agreed and 42.9% of the respondents who strongly agreed to that notion.

In terms of government effectiveness, 46.4% of respondents (Table 29) agreed that this governance mechanism is highly important in achieving a successful SE during project

delivery while a further 34.4% strongly agreed to this fact. The use of rule of law as a mechanism for stakeholder engagement in PPP urban infrastructure project delivery in Nigeria is stated to be important by respondents. 45.6% and 32.4% of respondents agreed and strongly agreed respectively to this.

Table 29: Important Governance Mechanism for External Stakeholder Engagement in PPP Urban Infrastructure Project Delivery in Nigeria

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	Mean	SD	Rank
Corruption control	7.1		8.6	44.3	40	4.1	1.06	1
Trust	7.1	5.7	5.7	38.6	42.9	4.04	1.16	2
Government effectiveness	8.7	2.9	7.2	46.4	34.8	3.96	1.15	3
Rule of law	7.4	1.5	143.2	45.6	32.4	3.94	1.08	4
Regulation quality	5.7	2.9	10	54.3	27.1	3.94	1	4
Accountability	8.7	4.3	11.6	36.2	39.1	3.93	1.21	6
Reputation	7.2	7.2	10.1	52.2	23.2	3.77	1.11	7
No violence	12.5	9.7	12.5	37.5	27.8	3.58	1.32	8

6.8. Descriptive Statistics of Elements of Stakeholder Engagement Framework

This section presents the descriptive analysis of the elements of the stakeholder engagement framework to be developed in this study. The descriptive statistics examined include mean, standard deviation, skewness and kurtosis.

According to Brown (1997), the statistical assumption of whether a distribution is normal must always be assessed when conducting inferential statistics with continuous outcomes. This assessment is deduced using skewness and kurtosis. Skewness or kurtosis help in understanding the general characteristics of a data distribution, value of less than -1.0 or greater than +1.0 is a non-normal distribution (Hair et al., 2017).

TABLE 30: DESCRIPTIVE STATISTICS FOR THE STUDY VARIABLES

		Statistic	SE
Governance mechanisms	Mean	1.1156	.11909
	Std. Deviation	.99641	
	Skewness	1.649	.287
	Kurtosis	2.489	.566
Challenges	Mean	1.5995	.08358
	Std. Deviation	.69929	
	Skewness	.385	.287
	Kurtosis	.020	.566
Principles and Barriers of External Stakeholder Engagement	Mean	1.3270	.09590
	Std. Deviation	.80235	
	Skewness	1.166	.287
	Kurtosis	1.493	.566
Stakeholders engaged at the various stages of the project lifecycle	Mean	.2619	.01856
	Std. Deviation	.15526	
	Skewness	.307	.287
	Kurtosis	-.205	.566
Stakeholder engagement at the various stages of the PPP	Mean	.2254	.01586
	Std. Deviation	.13272	
	Skewness	.443	.287
	Kurtosis	.421	.566
Tools and techniques for engagement	Mean	.2204	.01904
	Std. Deviation	.15928	
	Skewness	1.521	.287
	Kurtosis	2.620	.566

Table 30 shows the descriptive statistics for the study variables. The factor tools and techniques for engagement has high in mean of 0.22 with SD of 0.16 while compared to challenges of stakeholder engagement which has a low mean of 1.60 with SD of 0.70. It can be deduced that the distribution of responses provided by respondents for tools and

techniques of engagement and governance mechanisms are too peaked as both have kurtosis values greater than +2.0, i.e. 2.620 and 2.489 respectively. Other factors have fair levels of flatness and short tails which indicates the distributions tends towards normal distribution. The factors considered have Standard Error of Skewness values of 0.287 and Standard Error of Kurtosis of 0.566. The Standard Error of Kurtosis (0.566) and Standard Error of Skewness (0.287) depicts the normality of the responses given by respondents. Normality is accepted since the values are less than +2 and greater than -2.

6.9 Other Statistical Analysis

Further analysis was conducted on the six components used to develop a stakeholder engagement framework in this study. The results are presented below.

6.9.1 Analysis of Variance (ANOVA)

ANOVA analysis was conducted on the six variables that speaks to the stakeholder engagement framework to be developed and the various stages of PPP project execution as well as the number of PPP projects that has been executed by respondents. This was necessary to understand the relationship between the variables.

TABLE 31: DIFFERENCE IN MEANS OF ELEMENTS VS PPP PROJECT PHASES

		Mean	SD	F value	p value
Tools and techniques for engagement	Development phase	0.14	0.10	1.102	0.354
	Procurement phase	0.21	0.14		
	Implementation phase	0.34	0.29		

	None of the above	0.20	0.17		
	Development phase	3.00	1.73		
	Procurement phase	0.93	0.84		
Governance mechanisms	Implementation phase	0.92	0.45	4.599	0.005**
	None of the above	1.13	0.96		
	Development phase	2.33	1.15		
	Procurement phase	1.54	0.68		
Challenges	Implementation phase	1.88	1.19	1.455	0.235
	None of the above	1.57	0.60		
	Development phase	2.75	1.52		
	Procurement phase	1.18	0.58		
Principles and Barriers of External Stakeholder Engagement	Implementation phase	1.66	1.32	4.338	0.007**
	None of the above	1.29	0.73		
	Development phase	0.22	0.19		
	Procurement phase	0.26	0.14		
Engaged at the various stages of the project lifecycle	Implementation phase	0.27	0.18	0.198	0.898
	None of the above	0.24	0.18		
	Development phase	0.22	0.19		
Stakeholder engagement at the various stages of the PPP	Procurement phase	0.19	0.13	1.895	0.138

Implementation phase	0.36	0.06
None of the above	0.22	0.13

****p<0.01**

Table 31 depicts the difference in means of governance mechanisms, tools and techniques adopted for the engagement, challenges, principles and barriers of external stakeholder engagement, stakeholders engaged at the various stages of the project lifecycle and stakeholder engagement at the various stages of the PPP across the three phases of PPP urban infrastructure using ANOVA test. The p values for the factors governance mechanisms (p = 0.005) and the principles and barriers of external stakeholder engagement (p = 0.007) are less than 0.01 significant levels. Hence, there is significant difference in means of governance mechanisms and principles and barriers of external stakeholder engagement between current phases of PPP urban infrastructure. For other factors, there is no significant difference in the means as the p values are greater than the adopted level of significance for this study.

TABLE 32: DIFFERENCE IN MEANS OF FACTORS AGAINST THE NUMBER OF PPP PROJECTS THE FIRM/ORGANIZATION HAS BEEN INVOLVED IN

	Number of PPP projects has firm/organization been involved in?	Mean	SD	F value	p value
Governance mechanisms	1-5	1.11	1.23	0.388	0.762
	6-10	0.67	1.21		
	11-15	1.17	0.61		
	15 and above	1.13	1.10		
Challenges	1-5	1.83	0.55	1.621	0.194
	6-10	1.19	1.12		
	11-15	1.61	0.76		
	15 and above	1.49	0.65		
Principles and Barriers of External Stakeholder Engagement	1-5	1.28	0.62	1.454	0.236
	6-10	0.71	0.60		
	11-15	1.28	0.72		

	15 and above	1.49	1.05		
	1-5	0.26	0.18		
Engaged at the various stages of the project lifecycle	6-10	0.17	0.12	0.649	0.586
	11-15	0.23	0.16		
	15 and above	0.27	0.16		
	1-5	0.18	0.12		
Stakeholder engagement at the various stages of the PPP	6-10	0.17	0.18	1.068	0.369
	11-15	0.24	0.16		
	15 and above	0.24	0.11		
	1-5	0.22	0.17		
Tools and techniques for engagement	6-10	0.22	0.21	1.787	0.158
	11-15	0.15	0.11		
	15 and above	0.27	0.19		

****p<0.01**

Table 32 presents the results of the ANOVA analysis carried out to deduce the level of significance of the relationship between the factors for stakeholder engagement framework and the number of PPP projects that firm/organization of respondents have been involved in. As observed in the result of the analysis, the p values of the variables measured are all greater than 0.05 this indicates there is no significant relationship between the variables for stakeholder engagement framework and the number of PPP urban infrastructure projects that have been carried out by firms.

6.9.2 Reliability Analysis

Reliability refers to the extent to which a scale produces consistent results, if the measurements are repeated a number of times. The analysis of reliability is called reliability

analysis. Reliability analysis is determined by obtaining the quantity of systematic variation on a scale, which can be done by determining the association between the scores obtained from different administrations of the scale.

Based on the Cronbach’s alpha value, we concluded the following about the data:

- If $\alpha \geq 0.9$ – Excellent
- If $0.7 \leq \alpha < 0.9$ – Good
- If $0.6 \leq \alpha < 0.7$ – Acceptable
- If $0.5 \leq \alpha < 0.6$ – Poor
- If $\alpha < 0.5$ – Unacceptable

TABLE 33: RELIABILITY ANALYSIS FOR THE STUDY VARIABLES

	No. of items	Mean	SD	Cronbach’s Alpha
Engaged at the various stages of the project lifecycle	7	0.25	0.16	0.705
Stakeholder engagement at the various stages of the PPP	6	0.22	0.14	0.855
Tools and Techniques Adopted for the Engagement of External Stakeholders in PPP	7	0.21	0.16	0.835
Governance Mechanisms of External Stakeholder Engagement	8	1.11	0.99	0.958
Major barrier to stakeholder engagement	12	1.61	0.70	0.881
Principles and Barriers of External Stakeholder Engagement	8	1.32	0.80	0.895

Cronbach’s alpha technique is used in the study for evaluating the internal consistency of data within each factor. Table 33 presents the reliability analysis reports along with descriptive statistical measures for Risk Acceptance. Cronbach’s alpha value ranged from 0.705 to 0.958, which indicates that the strong internal consistency occurs among each and every statement.

6.9.3 Factor Analysis

Factor analysis is used to extract the factors from independent variables. Generally, this analysis is used to develop questionnaires. Suppose the data contains so many variables. That situation we could use this analysis to reduce the number of variables from the data. This analysis groups variables with similar features together.

TABLE 34: FACTOR ANALYSIS FOR THE STUDY VARIABLES

	Factor		
	1	2	3
Government effectiveness	.867		
Rule of law	.853		
Accountability	.801		
Corruption control	.759		
No violence	.746		
Information Disclosure	.714		
Conflicting agendas	.691		
Regulation quality	.666		
Reputation	.662		
Scarce resources	.622		
Trust	.609		
Hidden intents (lack of trust)	.564		
Subversive stakeholders	.513		
Power conflicts	.497		
Stakeholder Involvement in Project Monitoring		.840	
Negotiation and Partnerships		.795	
Reporting to Stakeholders		.744	
Stakeholder Consultation		.717	
Grievance Management		.657	
Low turnout in meetings		.642	

Stakeholder Identification and Classification	.574
Management Functions	.502
Lack of technical capacity	.866
Lack of leadership	.739
Lack of extensive client participation	.733
Absence of legal requirements for engagement	.700
Resistance to change	.678
Passive stakeholder involvement	.471

Table 34 reveals the factor analysis for the study variables. Twenty-eight statements were taken into consideration for the factor analysis. Based on the principal component analysis conducted, the total twenty-eight variables measured were reduced to three factors. The three factors are governance mechanisms, challenges and principles and barriers of external stakeholder engagement. But the items are not grouped under each factor. These factors serve as the items on the stakeholder engagement framework to be developed in this study as stated in objectives 3 and 4 of this study.

6.9.4 Correlation Analysis

The strength and direction of association between two variables are measured by Pearson correlation coefficient. The two variables must be measured on a continuous (interval) scale (Srmuniv, 2018). The correlation coefficient ranges from -1 to 1. Based on the sign of the correlation coefficient we may conclude the following manner (Gogtay & Thatte, 2017):

- When r is -1 , we say there is a perfect negative correlation.
- When r is a value between -1 and 0 , we say that there is a negative correlation
- When r is 0 , we say there is no correlation
- When r is a value between 0 and 1 , we say there is a positive correlation
- When r is 1 , we say there is a perfect positive correlation

TABLE 35: CORRELATION BETWEEN ENGAGEMENT AT THE VARIOUS STAGES OF THE PROJECT LIFECYCLE, STAKEHOLDER ENGAGEMENT AT VARIOUS STAGES OF THE PPP, TOOLS AND TECHNIQUES FOR THE ENGAGEMENT, GOVERNANCE MECHANISMS, CHALLENGES AND PRINCIPLES AND BARRIERS OF EXTERNAL STAKEHOLDER ENGAGEMENT

	Engagement at various stages of the project lifecycle	Stakeholder engagement at the various stages of the PPP	Tools and Techniques for the Engagement	Governance Mechanisms	Challenges	Principles and Barriers of External Stakeholder Engagement
Engaged at the various stages of the project lifecycle	1					
Stakeholder engagement at the various stages of the PPP	.648**	1				
Tools and Techniques for the Engagement	.570**	.453**	1			
Governance Mechanisms	.078	.053	-.190	1		
Challenges	.157	.107	-.074	.534**	1	
Principles and Barriers of External Stakeholder Engagement	-.005	.118	-.132	.565**	.662**	1

****p<0.01, *p<0.05**

Table 35 reveals the correlation between the five factors considered in this study which are the stakeholders engaged at the various stages of the project lifecycle, stakeholder engagement at the various stages of the PPP, tools and techniques for the engagement, governance mechanisms, challenges and principles and barriers of external stakeholder engagement. The factor stakeholders engaged at the various stages of the project lifecycle has positive significant relationship with stakeholder engagement at the various stages of the PPP ($r=0.648$, $p<0.01$) as well as tools and techniques for stakeholder engagement ($r=0.570$, $p<0.01$). Similarly, the factor stakeholder engagement at the various stages of the PPP has positive significant relationship with tools and techniques for the stakeholder engagement ($r=0.453$, $p<0.01$). The factor governance mechanisms has a positive significant relationship with challenges ($r=0.534$, $p<0.01$) and principles and barriers of external stakeholder engagement ($r=0.565$, $p<0.01$) and principles and barriers of external stakeholder engagement is positive relationship with challenges ($r=0.662$, $p<0.01$) as well as a negative but less significant relationship with tools and techniques of stakeholder engagement.

CHAPTER 7: QUALITATIVE ANALYSIS

7.1. Introduction

The aim of this chapter is to analyze and discuss the qualitative results from the face-to-face semi-structured interviews that were conducted on 8 Interviewees in the construction sector who have participated in PPP urban infrastructure provision projects in Abuja, Nigeria. As stated by Saunders et al. (2009), conducting qualitative interviews enable researchers to have a deeper understand and a clear picture of the phenomenon being studied.

Based on this, the consent of the contacted Interviewee was sort having explained to them the significance of this study and how the information they provide will be used in developing an external stakeholder engagement framework. Eight semi-structured interviews were conducted with different senior employees of different organizations both in private practice and public sector in order to gain deeper insight into the variables and factors measured in this study and complement the findings of the quantitative approach. A brief information on the interviewees is presented below.

The interviewees are distributed across organizations involved in commercial property development, housing development, real estate/property development and government agency. All the respondents have been in practice for a minimum of 11 years and have a minimum of second degree i.e., M.Sc. Interviewees are professionals in the infrastructure provision space involving building engineering, architecture, project management/coordination, investment promotion, quantity surveying, technical co-ordination, and public administration (Table 36).

TABLE 36. INTERVIEWEE INFORMATION

Code	Type of firm	Years of experience	Highest academic qualification	Profession	Position
IP-1	Commercial property development	15	M.Sc	Building Engineering	Head of business development
IP-2	Housing Development	12	Ph.D	Architect/Project manager	GM Project & Portfolio
IP-3	Real estate development	11	M.Sc	Architect/Project manager	Head of technical
IP-4		14	Ph.D	Public Administration	Project Manager
IP-5	Government agency	12	M.Sc	Investment promotion	Team Lead - Economic infrastructure
IP-6	Construction	15	HND	Quantity Surveying	Project Coordinator
IP-7	Real estate development	21	Ph.D	Quantity Surveying/Certified PM	MD
IP-8	Real estate Development	35	HND	Building Engineering	Technical Coordinator/Project Manager

7.2. External Stakeholders Engaged During PPP Projects

In this section of the interview, interviewees were asked to indicate the type of stakeholders they engaged in while carrying out PPP projects.

The question posed to the interviewees was:

“External Stakeholders are individuals or groups outside a business or project, who can affect or be affected by the business or project. Which stakeholders did you engage in your recent PPP urban infrastructure project?”

Interviewee 1 (IP-1) stated that members of the project community i.e., those residing in the project area who are likely to be impacted by the project such as transport companies and major residents are engaged along with government agencies, market women and the media.

Interviewee 2 (IP-2) indicated that government agencies such as the Ministry of Finance, Federal Road Safety Commission (FRSC), Federal Mortgage Bank (FMB) and Standards Organization of Nigeria (SON), project community, prospective offtakers and market women (Adashe women scheme) are the major stakeholders they engage while working on PPP projects. The interviewee further noted that these stakeholders are mostly engaged at the predevelopment stage. While other stakeholders such as artisans, security agencies and the media are engaged during project development stage.

As stated by Interviewee 3 (IP-3), the major external stakeholders engaged during the execution of PPP projects are Government Agencies which include the Abuja Development Control Unit, suppliers, the media, and market associations which are mostly engaged at the implementation stage of the PPP project.

When responding to the question posed, Interviewee 4 (IP-4) noted that they engage market women and government organizations such as regulators of site conditions and approval agencies are mostly. Interviewee 5 (IP-5) stated that the external stakeholder engaged are communities i.e., original inhabitants of the project area, further stating that these community members have the capabilities to make or mar the project, therefore there is need to engage them on the plan and the benefits of the project and what is to be achieved with it. Other stakeholders such as the media and government agencies are as well engaged in order to create awareness for the general public and for approval purposes respectively.

In replying to the question asked in this question, Interviewee 6 (IP-6) noted that Government, and communities are the stakeholders they engage in their PPP projects. The interviewee further stated these external stakeholders are usually engaged at the inception stage. For Interviewee 7 (IP-7), his organization engage the project area communities such as farmers as well as end users. This engagement is usually implemented at the planning and project implementation stage of the PPP projects being carried out.

Interviewee 8 (IP-8) stated the external stakeholders they engage while carrying out PPP projects are sub-contractors, offtakers, communities and government agencies. These

stakeholders are usually engaged during pre-construction and the implementation stages of the various projects in their portfolio.

In conclusion as indicated by interviewees, all external stakeholders identified in literature in this study are engaged during PPP projects. However, the level of engagement differs from company to companies while some organizations engage the same stakeholders across the different project phase, other organizations have different stakeholders they engage across the three project stages. These results will further be discussed and compared with the documentations of other studies in subsequent section of this research work.

7.3. Tools and Techniques Engaged in Communicating with Stakeholders.

In this sub-section, the interviewees provided information on the tools and techniques adopted by their different organizations in carrying out stakeholder engagement.

The question posed to interviewees was:

“To achieve information sharing as a level 1 (L1) external stakeholder engagement, certain tools and techniques are adopted. Please indicate from the stakeholder engagement tools and techniques you used in the various phases of the PPP urban infrastructure project you are currently involved in”.

IP-1 stated that in the organization he belongs to, the major tools used in engaging stakeholders are media, Newspaper and TV adverts, radio jingles and billboards. He further stated that these tools are basically used to give stakeholders the knowledge of the advantages of carrying out or executing the projects. The tools mentioned are usually used during project initiation to create public awareness and during execution emails and text messages are further utilized. The respondent also noted that they have an in-house tool or solution for interacting with investors. This tool sends monthly reminders to investors about the project and the status of the contract agreement signed between the parties.

According to IP-2, his organization engage stakeholders via face-to-face meetings in their localities. Before conducting the meeting, radio jingles, TV adverts and other promotional activities are being utilized to attract attention to the face-to-face meetings. He further stated

that this engagement is usually done at the project development stage. He also noted that they utilize media, radio jingle, sponsorship when need be and that that they incorporate SE into their project budgeting to ensure adequate fund is made available for successful stakeholder engagement. He however explained that prints media (newspapers) are not utilized because this tool is no more as effective as it used to be.

IP- 3 explained that emails, adverts on billboards and radio jingles are the most utilized tools for stakeholder engagement and these tools are used across all the three project phases. As stated by IP-4, while carrying out PPP projects, they engage stakeholders via advertisements, email, radio jingles and newspapers. These tools and techniques are deployed at the development, procurement and the implementation phase of the projects executed.

IP-5 noted that while engaging stakeholders, they segregate stakeholders into buckets and identify the appropriate tool/technique to use in communicating with them. They then conduct town hall meetings with the project communities first. In doing this, they employ the services of community relations consultants in engaging stakeholders who are community residents as these consultants tend to know the stakeholders more. The interviewee further stated that they then utilize emails, physical meetings, symposiums and calls to further engage stakeholders. These tools and techniques are adopted across the three stages of the PPP projects.

In responding to the question posed, IP-6 stated that the tool his organization use in stakeholder engagement are basically physical meetings, letters, newspaper adverts and radio jingles. According to IP-7, the stakeholder engagement tolls/techniques utilized in his organization include community gathering, social media adverts and radio jingles. The interviewee further stated that stakeholder engagement in his organization is carried out in stages. His statement: *“We use stakeholder meetings first to identify stakeholders, then analyze the stakeholders and categorize the identified stakeholders into groups to identify ‘which’ of them to inform at ‘what’ stage of the PPP project.* In comparison, IP- 8 stated that stakeholder engagement in his organization is done using emails, direct contact, and meetings. This is usually used across all the stages of the PPP project executed by the firm.

7.4. Most Important External Stakeholders to Engage

After identifying the tools and techniques used for stakeholder engagement in their respective organizations, interviewees were asked questions relating to the most important external stakeholders to engage while carrying out PPP projects.

“Please indicate the most important stakeholder to engage at the various stages of the project lifecycle.”

IP-1 stated that the most important stakeholder they engaged on the PPP project were Market unions, this was so due to the fact that the organization is more involved in commercial development. In comparison, IP-2 stated that off-takers are the most important external stakeholders to engage while carrying out PPP projects. IP-3, IP-4 and IP-5 in their similar opinion stated that the most important external stakeholder to engage in the delivery of PPP urban infrastructure projects are customers i.e., the end users of the project. In addition, IP-6 stated that the government and its approval agencies are the most important stakeholders to engage in any PPP project. IP-7 stated that the residents of the project communities or localities and end users are the most important stakeholders to engage. Finally, IP-8 noted that the government especially the development control agencies are usually invited to certify all project stages, this activity makes them the most important stakeholders to engage.

7.5. Leaders of Stakeholder Engagement

Interviewees were required to indicate the stakeholder that led stakeholder engagement conducted during the PPP projects executed. This was necessary to identify the level of engagement and participation of stakeholders in the SE activity. The responses gathered is presented below.

The question posed to the interviewees was:

“Please indicate who led stakeholder engagement at the various stages of the PPP urban infrastructure project you were involved in.”

IP-1 stated that stakeholder engagement was led by project consultants/contractors who are in charge of publicity. Also, market unions request for more meetings or engagements for update on the impacts of the project. As indicated by IP- 2, obligors/developers were the ones who handled stakeholder engagement in the PPP project the was executed. IP-3 however stated that his firm/organization handle stakeholder engagement in all the PPP projects he has participated in.

In contrast, there was a noticeable alignment in the experience of IP-4, IP-5, IP-6 and IP-7 as they all stated that various government agencies handled stakeholder engagement in the PPP project they participated in. The reason stated by all the interviewees was that these government agencies have interacted with most of the stakeholders in the past and are used to all of the stakeholders. Similar to the response of IP-2, developers were in charge of stakeholder engagement for the PPP projects he participated in. His response was: *“Developers were the one who handled stakeholder engagement being the producers of the buildings.”*

7.6. Key Objectives of the Practice of SE

Regarding the objectives of the stakeholder engagement that was carried out on the various PPP projects that interviewees participated in. IP-1 stated the stakeholder engagement was carried out for the purpose of considering areas that are usually overlooked in PPP project execution and to clearly define what is required of all stakeholders involved in the project. He asserted that *“stakeholder engagement was carried out in order to look at areas and issues not normally considered in the construction project, so stakeholders state the requirements of end users.”* IP-2 listed two basic objectives that guided the execution of stakeholder engagement programs on PPP projects: *“1. To rally around the off-taking process. 2. To make sure that every member of the community has clear information about the project.”*

According to IP-3 stakeholder engagement was necessary for getting the required statutory approvals from government agencies and for commercial reasons i.e., to create product awareness and generate sales when the housing units are completed. The opinion of IP- 4 is

similar to that of Interviewee as he noted that SE is a good way to generate sales and acquire customers for the housing units that are being constructed. IP-5 stated that the objective of carrying out stakeholder engagement was to carry all stakeholders along in all the three stages of the PPP project execution.

According to IP-6, stakeholder engagement is critical to the success of PPP projects. This is reflected in his response to the question stating that *“stakeholder engagement gives a hitch free project and ensure that projects come out successful at the end of the day.”* Similar to the response of interviewee 1 is that of IP-7 who noted that the objective of the stakeholder engagement carried out was basically to inform the various stakeholders about the project plans and inform them about their responsibilities across project stages. Finally, IP-8 added a new dimension to the objectives earlier documented as stated by other interviewees stating that stakeholder engagement was carried out to actualize project specifications and communicate the PPP project’s quality to every participating stakeholder.

7.7. Governance Mechanisms that Affect SE

Respondents were asked to indicate if there are governance mechanisms or policies that influences the execution of stakeholder engagement while carrying out PPP projects. The question posed to interviewees was:

“Governance policies are commonly adopted policies or tactics to reduce the risk of hazards and improve relationships with stakeholders through formal control processes. What governance mechanism affected the process of stakeholder engagement in the project.”

In responding to this question, IP-1 stated that the Federal Capital Territory (FCT) administration has a policy of putting human face to any redevelopment projects. This policy mandates the need to engage residents of project areas (as important external stakeholders) for appropriate relocation/compensation before the project can stand or be approved. This ensure that project community residents who will be highly impacted by the projects are well catered for and not just displaced from their settlements. His response was:

“The FCT administration then had a policy to add human face to any redevelopment, even though the stakeholders were predominantly tenants that could have been served notices to vacate were urged by the government policy to engage them before the project can start to make sure they were appropriately relocated or compensated or given an opportunity of first refusal.”

IP-2 noted that his organization has a mission to develop/build houses to reduce the present housing deficit and create job opportunities. In achieving that mission there is utmost need to create awareness and engage all stakeholders involved. His response was as follows.

“Building houses and creating job opportunities are the basic mandates of this organization. This mandate also informs the need to engage stakeholders in order to ensure all stakeholders are carried along with the project execution.”

He further stated that other governance policies and control mechanisms such as Local Development Agencies, National Directorate for Environment, Land Use Act etc., give regards to the community and ensuring the community is carried along in any development activity that that have impact on the environment.

According to IP-3, there are governance polices and mechanisms that mandate the need to conduct stakeholder engagement. However, he could not specifically state the mandate offhand. Furthermore, IP-4 noted that, the development of district markets in selected areas is part of the policy of governments to ensure infrastructural development. He further stated that the policy influences stakeholder engagement giving instructions on the need to carry out SE.

According to IP-5, FCT has a policy that states that a report of stakeholder engagement conducted should be presented before carrying out projects. This policy therefore emphasizes the need to conduct stakeholder engagement before a project is implemented. Not carrying

out stakeholder engagement could prevent the project from being approved in some cases. IP-6 however stated that he is not aware of any governance policy that states the influences stakeholder engagement or states the need to conduct such activity.

Similar to the feedback given by IP-5, IP-7 also stated that FCT has a policy that states that a report of SE should be presented before carrying out projects. He however further indicated that the major barrier to the implementation, enforcement and public adherence to the policy is bureaucracy. IP-8 stated that Government has standards that states that projects must be supervised to ensure quality and part of ensuring project quality is to carry out effective stakeholder engagement that will make sure that every external stakeholder are well carried along in the project execution.

In summary, interviewees presented enough information as to the availability of governance mechanisms that have substantial effect on the execution of stakeholder engagement programs as part of the project execution elements.

7.8. Conditions in Contract that Mandate SE

This research examined the presence of aspects/conditions of the project contract that states the need to conduct stakeholder engagement. This is important to identify if project contractors and internal stakeholders give stakeholder engagement a high priority as part of the conditions to ensure project success. Interviewees were asked:

“What are the conditions of contract that informs stakeholder engagement in the project?”

According to IP-1, his organization treats stakeholders and off takers alike, having 1000 off takers required a high level of engagement, there is always the need to sign a tripartite agreement between stakeholders, developers and government before the project could commence. IP-2 stated that his organization has a policy framework called EMSF (Environmental and Social Mandate Framework) which is a policy document mandating every contractor to adopt the stakeholder engagement framework. Impliedly in the contract

document, all parties agree to conducting and participating in the stakeholder engagement program organized.

IP-3 however stated that they do not have stakeholder engagement captured in the contractual agreement signed by the different parties. IP-4 noted that stakeholder engagement is usually captured as part of the scope of the project, and this is clearly stated in the contract signed by parties involved in the project execution.

According to IP-5, there is a part of the contract that states what the stakeholders are to do for the project community in terms of compensation/resettling as well as the need to carry all stakeholder along by conducting a stakeholder engagement program. This is needed to create proper awareness and communicate appropriately the goals and benefits of the project. His response was:

“There is a part of the project agreement/contract that talks about what the investors need to do for the community and in the course of the project the investors are already aware that they will settle the cost of resettling these residents.”

IP-6 in a similar response to IP-3 stated they do not have stakeholder engagement captured in the contractual agreement signed by the parties involved in the PPP project. IP-7 also stated all internal stakeholders agree to conducting stakeholder engagement, this is contained in the PPP project contract signed by them.

While answering the interview questions, IP-8 noted that stakeholder engagement must be done to prevent wastage of materials and resources. He further reiterated that SE is required to be done at the initial stage of PPP projects to ensure that every stakeholder participates and make every possible input required of them for the successful completion of the project. This is contained in the contract agreement signed for the project.

7.9 Organizational Policies that Mandate Stakeholder Engagement

As a follow-up question to the need to carry out stakeholder engagement as part of the contract agreement signed by stakeholders, interviewees were as well asked to state if there are organizational policies such as visions, missions or project execution tenets that states the need to conduct stakeholder's engagement while carrying out PPP projects. The question posed to respondents was:

What are the organizational policies that informs stakeholder engagement in the project.?

IP-1 stated that there are no organizational policies that indicates the need to carry out stakeholder engagement other than the conditions of contract. According to IP-2, the EMSF is an environmental and social development framework which also serves as an organizational policy that ensures the organization (Family Homes Funds Integrated Scheme Development Program) ensures every partner in the PPP project are very stakeholder sensitive. The document specifies guidelines on grievance management and role assignment.

IP-3 stated that there are no organizational policies that states the need to conduct stakeholder engagement while carrying out PPP projects just as there are no conditions of contracts that mandates stakeholder engagement. IP-5 noted that there is a national policy on PPP that states that SE must be carried out on any PPP project.

As stated by IP-6, there is an organizational policy that ensures the organization carries every stakeholder along in the process of executing the PPP project and this is expected to be tidied up from the beginning of the project and necessary follow-up is to be done along the line. Moreover, IP-7 reiterated that the organization has a policy that ensures stakeholder engagement is carried out on any PPP project. He further noted that the organization make plans available for managing cost, scope, risk, time, and stakeholder engagement.

Finally, IP-8 stated that the organization is quality driven and primary to that is getting all inputs from all stakeholders. Doing this will ensure the project is executed successfully.

Therefore, the organization's drive to ensure success captures the need to engage all stakeholders involved in the PPP project. Quality

7.10. Challenges/Barriers to Stakeholder Engagement

This study also examined the various barriers or challenges that affects the success and execution of stakeholder engagement activity while working on PPP projects. Respondents were asked to indicate the challenges they faced in the course of engaging stakeholders. The feedback given is presented below.

IP-1 stated that the major barrier to SE experienced was government interference. IP-2 reiterated that the major challenge they faced while conducting stakeholder engagement was the issue of financing, stating that SE can be costly and requires funding and since the scheme (i.e., the project being executed) is for low-cost housing, having funds available sometimes becomes challenging.

IP-3 noted that getting the required and adequate response from stakeholders may be challenging. Working with a lot of people requires developing a schedule that will enable adequate participation, getting all stakeholders to participate actively may be handy. Similar to the response given by IP-3, IP-4 stated that the major challenge experienced during PPP project execution was the issue of time. He stated that getting a convenient time for all stakeholders to participate equally may be hard.

IP-5 noted that external stakeholders such as project community residents do not trust the government, they believed government do promise and fail and therefore cannot be trusted in their words. Since these projects are part of the campaign promises of government, to enhance adequate participation form communities, consultants are usually engaged to lead the process of stakeholder engagement.

According to IP-6, the major barrier to stakeholder engagement as experienced during PPP project execution was disagreement with project plans. Based oOn the impact of the project

and the need to get inputs from stakeholders, it was a bit difficult to convince stakeholders that the plans were the best. Stakeholders argued and disagreed with the project plans on several occasions. As stated by IP-7, getting stakeholders in the public sector aspect of PPP projects to be fully committed to stakeholder engagement and fully participate can be a serious barrier. He stated that they do not have time to participate and make inputs.

Finally, IP-8 stated that sometimes because of the nature of the sites, stakeholders prefer a season favourable to them. He noted that carrying out stakeholder engagement for projects being executed in rainy seasons can be tasking as stakeholder participation is often hard to get.

7.11. Solution to the Barriers/Challenges of Stakeholder Engagement

In ensuring that this study does not only identify the challenges or barriers to stakeholder engagement, but interviewees were also asked to provide solutions or measures that can be applied in order to mitigate against the identified barriers in future PPP projects. Having stated that government interference was a major barrier to stakeholder engagement, IP-1 stated that government should play more of a third-party role giving the other two parties (investors and developers) the freedom of communication. In solving issues relating to the availability of funds or finances, IP-2 noted that, international financing organizations can be contacted in making funds available for successful stakeholder engagement and project implementation.

When asked about the critical success factors for stakeholder engagement, the interviewee reiterated the need to have a policy document that guides the execution of stakeholder engagement programs. He stated that “having always a policy document that will guide through and be deliberate about it to ensure and mandate the execution of stakeholder engagement should be made available in all construction firms”. He as well reiterated the need for institutions and organizations to be effective in their tasks.

IP-3 stated that streamlining responsibilities and functions is a good solution to the issue nonparticipation or stakeholders in the engagement activity. IP-5 stated that government needs to be responsible and fulfil promises made during campaigns as well as honour their

words. This will build trust and as well enable external stakeholders especially community dwellers participate more in PPP projects stakeholder engagement.

According to IP-6, in order to ensure that stakeholders participate effectively in SE programs on PPP projects, adequate dialogue should be carried out. Stakeholders should be made to know and understand the benefits of the project to be executed. IP-7 noted that stakeholders in the private sector should lead stakeholder engagement activities stating that they are more serious and goal-oriented when it comes to project execution. Finally, IP-8 stated the need to properly align the project and commence stakeholder engagement at the inception stage of the project. Also, developers should ensure they create access for stakeholders to participate in the engagement process.

7.12. Lessons Learnt while Conducting Stakeholder Engagement

Finally, interviewees were asked questions on the lessons they have learned while conducting stakeholder engagement on the PPP project they worked on. IP-1 stated that there is a strong connection between stakeholder engagement and project success. According to IP-1:

“there is a positive force in revenue generation and progress success if stakeholder engagement is properly handled. However, if not well organized and executed, stakeholders could also stall the project as they may revolt and protest.”

IP-2 stated the “the buy in” as a positive lesson gained from the execution of stakeholder engagement programs. He noted that communities will buy-in and provide the necessary support once the developers engage them actively. IP-3 stated that he learned about the need to get timing right. Stakeholders need to reach a compromise on the time to carry out the engagement activity since arriving at a time that will be comfortable for all may not be feasible.

According to IP-5 stakeholder engagement will determine the success or failure of the project. He stated that stakeholder engagement was wrongly handled in one of the projects he

worked on, and the community revolted against it leading to delay in the project. IP-6 noted that every stakeholder has different ideas. Stakeholder engagement enables the project team to come up with ideas that cuts across every opinion.

As indicated by IP-7, stakeholder engagement must be done at the initial stage of PPP project execution. He further stated that lack of stakeholder engagement at this point may lead to stoppage citing example when projects was stalled. Furthermore, IP-8 reiterated that stakeholders have served as external auditors, engaging them helps save resources and ensure projects are completed to date which also enhance the improvement of project profitability.

CHAPTER 8: DISCUSSION OF RESEARCH FINDINGS

8.1. Introduction

This chapter presents the key findings of this study based on the analysis of data derived from both the qualitative and quantitative research carried out as presented in the preceding chapters go this. The findings are discussed in sections with relevance to the main aim and objectives of this study. The following objectives were addressed using the questionnaire administered as well as the semi-structured survey conducted.

2. To identify the critical success factors in the stakeholder engagement processes in PPP projects in Nigeria.
3. To establish a theoretical framework regarding stakeholder engagement and barriers to engagement in PPP projects.
4. To develop a stakeholder engagement framework suitable for the PPP urban infrastructure delivery model in Nigeria, identifying governance mechanisms that can enhance stakeholder engagement

8.2 Critical Success Factors in the Stakeholder Engagement Processes in PPP Projects in Nigeria.

As earlier discussed in the literature review section of this study, critical success factors are steps that must be taken or policies that must be adhered to for the success of stakeholder engagement program for PPP urban infrastructure provision in Nigeria. While conducting this research, the following principles were examined: Stakeholder identification and classification, information disclosure, stakeholder consultation, negotiation and partnerships, grievance management, stakeholder involvement in project monitoring, reporting to stakeholders and management functions.

Negotiation and partnerships is a key principle of stakeholder engagement in PPP project delivery in Nigeria, this is as stated by 50.7% of respondents who agreed to this notion and a further 26.1% who strongly agreed. The mean score for this principle is 3.88 while the standard deviation is 1.01. For the fifth principle (Grievance Management – P5), 33.3% of respondent and a further 33.3% agreed and strongly agreed respectively that it is key to stakeholder engagement. Other results are as presented in Table 29.

The mean score for the principles ranged from 3.41 to 3.88 on a scale of 0 to 5, indicating that respondents agreed that they are key to successful stakeholder engagement in PPP urban infrastructure delivery in Nigeria. Ranking the principles based on their mean score, it was deduced that Negotiation and Partnerships; Stakeholder Identification and Classification; Grievance Management; Stakeholder Consultation and Stakeholder Involvement in Project Monitoring are the top five key principles of stakeholder engagement in PPP urban infrastructure project delivery in Nigeria.

8.2.1.1 Stakeholder Identification and Classification

According to the findings of this study as earlier presented, when it comes to stakeholder engagement, the first principle to adopt or step to take is stakeholder identification and classification/analysis. This involves determining who the stakeholders for the project are and then classifying them into groups and subgroups based on their connection to the project and the influence they have on project execution and success. This is further iterated by International Finance Corporation (2007) which documented that stakeholder identification and classification also covers stakeholder analysis which involves taking a deep dive into the interests of every stakeholder group or subgroup, how the influence or are being influenced by the project as well as the degree of influence they have on the project.

8.2.1.2 Information Disclosure

Information disclosure involves communicating to stakeholders every information about project objectives and benefits in a manner that is understandable easily translatable. Proper and adequate disclosure of the right information will lead to the success of policies such as

consultation, partnership, negotiation and grievance resolution (European Investment Bank, 2020). As discovered in this study based on responses received in the questionnaire and interviews conducted, all external stakeholders need appropriate information to enable them to understand the purpose of the project and participate as expected.

8.2.1.3 Stakeholder consultation

Consultation is a two-way process of dialogue between the project company and its stakeholders. For projects such as urban infrastructure provision which usually have great environmental and social impacts, conducting adequate external stakeholder consultation provides the organizations handling the project a series of opportunities to create awareness about the project. This study earlier documented that the feedback received during stakeholder consultation activities can be a valuable source of information and innovation that can improve project design and the final product also assisting the construction firms and developers to identify and control external risks such as revolt which may lead to project delay or stoppage. Respondents as well noted that the consultation exercise usually creates a basis for collaboration and partnerships especially during procurement and development stage of the project. Kvam (2017) noted that external stakeholders should be accorded the privilege to make inputs and contributions to the proposed project design and implementation arrangements as it influences them, also how best to design and execute grievance management to address their pain points and concerns.

8.2.1.4 Negotiation and Partnerships

In executing PPP projects, negotiation is required especially in urban infrastructure provision. This is important in cases where an agreement is required to be met with external stakeholders such as community residents or land users on getting access to land and other resources. International Finance Corporation (2007) stated that whenever there is need for compulsory land acquisition and involuntary resettlement, construction organizations need to negotiate appropriately. This provides them the opportunity to arrive at a reasonable middle point without having to go through legal proceedings in order to determine what compensation should be paid.

8.2.1.5 Grievance Management

Grievance management is key to the success of any project involving external stakeholders. Respondents noted that aggrieved residents of project community would usually revolt and disrupt project execution, destroy resources and riot in few cases. This calls for the development of adequate grievance management plan that deals with issue of resettlement, compensation, and measures to mitigate other risks that may be faced. An appropriate grievance management process should enhance assure external stakeholders that their agitations, requests, and complaints will be given adequate attention as soon as possible (International Finance Corporation, 2007).

8.3 Barriers to Stakeholder Engagement in PPP Projects.

This section of this research discusses the barriers of stakeholder engagement in PPP urban infrastructure provision in Nigeria. This is meant to achieve part of the third objective of this study which is to develop a theoretical framework regarding stakeholder engagement and barriers to engagement in PPP projects.

As identified in existing literature, this study examined barriers to SE which include conflicting agendas, hidden intents (lack of trust), passive stakeholder involvement, scarce resources, resistance to change among other. This study revealed that all the identified barriers have somewhat serious influence on stakeholder engagement when it comes to PPP projects implementation in Nigeria. Table 29 further shows that the top 3 identified barriers based on mean score values are: conflicting agendas, hidden intents (lack of trust) and passive stakeholder involvement with mean score values of 3.67, 3.6 and 3.54, respectively.

8.3.1 Conflicting Agendas

A deep dive into results presented in section 6.93 shows that conflicting agendas is a major barrier especially when interacting with government agencies other than direct government partners as well as customers especially during project development phase.

8.3.2 Hidden Intentions (Lack of Trust)

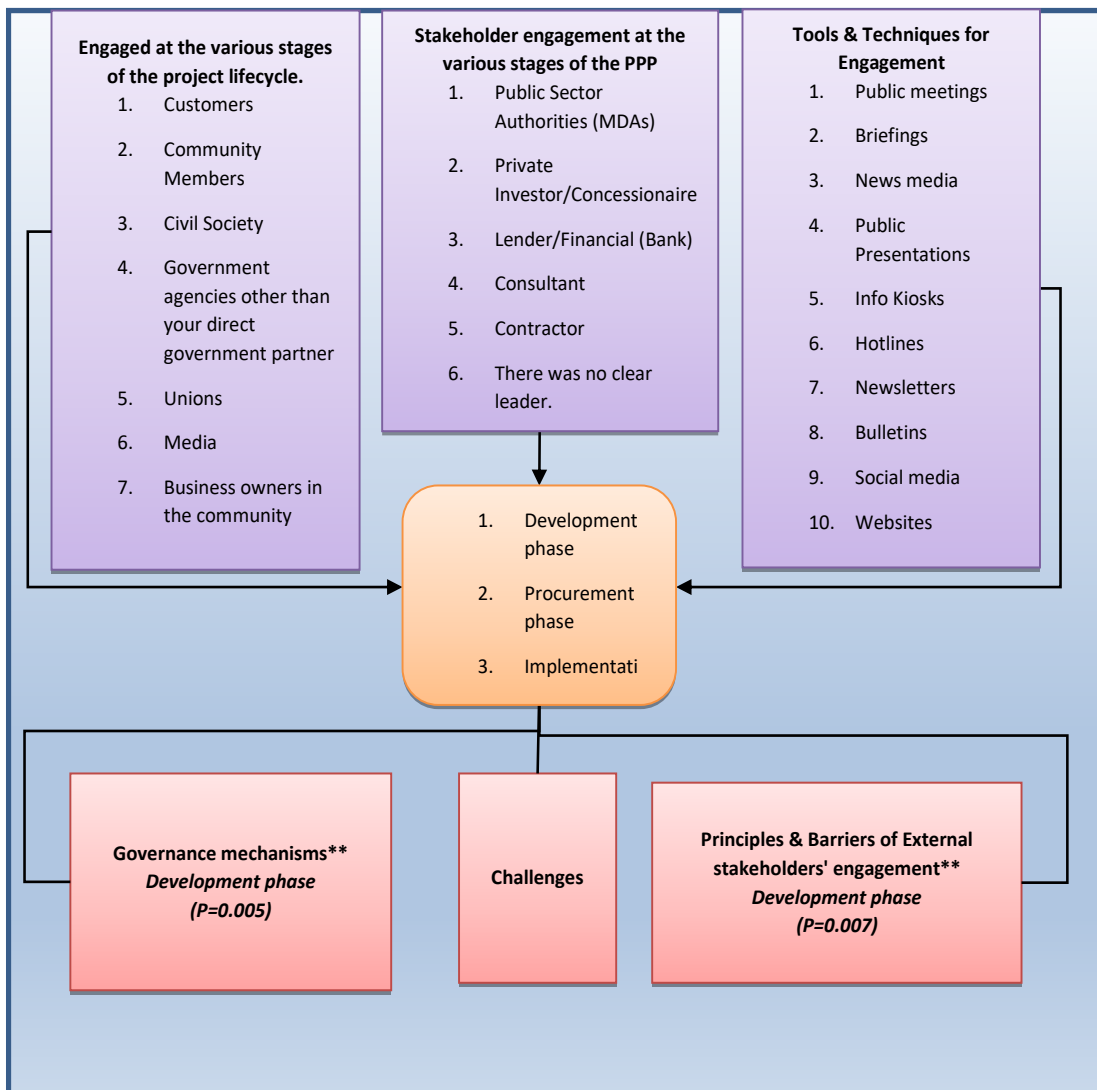
This is a major barrier in interacting with governments agencies other than direct government partners, customers, and business owners. In interacting with customers, it is a barrier in the project development as well as the implementation phase. In engaging government agencies, it is more of a barrier when it comes to the procurement and implementation phase while with business owners, it's more conspicuous in the project development phase. 8.3.3 Passive Stakeholder Involvement

This is not only a barrier in engaging customers, government agencies and business owners alone but also in engaging community members. As indicated by respondents, passive stakeholder involvement is a major barrier when engaging customers in the project development phase, while it is a barrier in engaging government agencies across the three phases. It is also a barrier in engaging business owners more in the implementation and development phase while when engaging community members, it is a barrier more in the project development and procurement phase.

The remaining seemingly important barriers to take caution against include scarce resources, resistance to change power conflicts, absence of legal requirements for engagement, subversive stakeholders, and lack of extensive stakeholder participation. Other studies also documented similar barriers to stakeholder engagement. For instance, Babatunde et. Al (2015), while examining the barriers to public private partnership projects in developing countries using Nigeria as a case study identified potential conflicts of interests among the stakeholders; politicization of the concessions or political interference in procurement process; uncertainty of political environment or political instability; lack of transparency and accountability and so on; KPMG (2010) identified lack of competition; and procurement inefficiencies as barriers to PPPs in Australia. El-Gohary et al. (2006) identified public opposition as a barrier to PPPs among other. It can therefore be concluded that there are more barriers influencing stakeholder engagement PPP projects implementation in Nigeria.

8.4 Stakeholder Engagement Framework Suitable for the PPP Urban Infrastructure Delivery Model in Nigeria

This subsection discusses the research findings tailored at achieving the fourth objective of this study. Figure 66 presents an external stakeholder engagement framework that was designed using the findings of this study regarding all the six variables that were examined. A discussion of the variables is presented in subsequent sections of this study.



** Denotes Governance mechanisms and Principles & Barriers of external stakeholders' engagement are significant at Development phase.

Figure 66: External Stakeholder Engagement Framework

8.4.1 Stakeholders Engaged at Various Stages of the Project Cycle

The need to examine the type of stakeholders engaged by respondents is key to developing a successful and adequate stakeholder engagement model. As different projects have their peculiarities so do stakeholders. Different stakeholders usually require a slightly different mode and frequency of engagement based on their needs, interests, and level of control. This study documents that organizations interact more with customers and government agencies (other than direct government partner) while carrying out PPP urban infrastructure provision in Nigeria. This accounted for 28.74% of responses received. Construction organizations also engage other stakeholders such as business owners in community and community members. As stated by interviewees, external stakeholders engaged while carrying out PPP urban infrastructure projects include project community, government agencies such as the Ministry of Finance, Federal Road Safety Commission (FRSC), Federal Mortgage Bank (FMB), Development Control Unit and Standards Organization of Nigeria (SON); prospective off takers, market women/associations, suppliers, and the media. All these stakeholders are engaged right from the project initiation stage till implementation stage.

This study therefore further agrees with the documentation of PMI (2013) which listed project customers, competitors, suppliers, government officials and concerned citizens as external stakeholders that are either involved in the project execution or are affected by activities in the project. Also, this study aligns with the findings of Mashali, Motawa and Elshikh (2019) that classified residents and local landowners as private external stakeholders and government and regulatory agencies as public external stakeholders engaged in the execution of PPP urban infrastructure provision projects.

8.4.2 Stakeholder Engagement at the Various Stages of the PPP

Having examined the stakeholders usually engaged in PPP projects, this study further assessed stakeholder interaction across the three stages of project execution viz a viz development, procurement and implementation stage. Stakeholders such as customers, community members, government agencies and the media have more profound engagement at the project development stage. This is required as major activities around project initiation, land acquisition, project approval and awareness are carried out in this stage, and it is

required that enough level of cooperation is achieved at this stage as not doing so may lead to project disruption on the long run.

At the procurement stage, the major stakeholders to engage are customers, civil society, government agencies, media and business owners in the project area. This is due to the fact that activities in the procurement stage involve the purchase of building/construction materials, it is required that all materials are of standard by implication the need to engage SON cannot be over emphasized, also procurement.

8.4.3 Level of Engagement Adopted for External Stakeholders while Executing a PPP Project.

This sub-section presents a discussion of the findings relating to the level of engagement adopted by organizations of respondents and interviewees based on variables identified in literature.

8.4.3.1 Inform

While examining the levels of engagement adopted by organizations while executing PPP projects, this study revealed that organizations start by informing all stakeholders with interest or influence on the project in order to create awareness about the purpose and benefits of the project. Stakeholders usually engaged in this level include customers, community members, civil society, government agencies, unions, media, and business owners in the community. This engagement is usually done via the use of media releases, printed materials, websites, community briefings, letters etc. As stated by interviewees, if necessary, awareness is not created regarding the project, the success of the project cannot be guaranteed as some stakeholders such as community members may revolt which may lead to a delayed execution. Durham et. al. (2014) further stressed that informing stakeholders will lead to improved dissemination of vital information, enhance the impact of the project, and increase the support for project.

8.4.3.2 Consult

Upon raising sufficient awareness of the project, it is expected that organizations move on to the second level which involves making necessary consultations to get ideas on how the project can best be executed, seeking public opinions on the alternative methods of execution or solutions to certain challenges that may occur during the project timeline. This would lead to improved trust, as well as develop in stakeholders the sense of inclusion and involvement (Durham et. al, 2014) in PPP project execution. The important external stakeholders to engage at this level include community members and business owners in the community. Tools like posters/art/photos, conference and community meetings are being utilized at this stage (Table 37).

TABLE 37: LEVEL OF ENGAGEMENT ADOPTED FOR EXTERNAL STAKEHOLDERS WHILE EXECUTING PPP PROJECTS.

	Stakeholder Engagement Goal	Stakeholders to engage	Tools and Techniques
L1-Inform	To create well defined awareness or information that will assist stakeholders in understanding the objective and benefits of the project.	Customers, Community Members Civil Society Government agencies, Unions Media, Business owners in the community	Media releases Printed materials. Websites Briefings Displays Letters to stakeholders
L2-Consult	To obtain feedback on ideas, alternatives, and proposals to inform decision-making.	Community Members Business owners in the community	Poster/art/photo Conference Community meetings
L3-Involve	To identify and understand issues, agitations and pain points of stakeholder and proffer necessary solution.	Customers, Community Members Civil Society, Government agencies Unions Business owners in the community	Workshop Cultural displays Public meetings
L4-Collaborate	To work together in order to understand all interests, issues, pain points and develop alternative	Customers, Civil Society Government agencies	Online forums Consensus conference

	solutions	Unions, Media Business owners in the community	Info kiosk, meetings
L5- Empower	To equip stakeholders with adequate knowledge or enlighten them on responsibilities and inputs needed from them regarding decision and the need to participate.	Community Members	Community meetings.

Source: Author's findings

8.4.3.3 Involve

The next level after consultation is to involve external stakeholders. The need to involve stakeholders especially community members is born out of the fact that they would likely be displaced during the execution of the project. This stage is where their agitations about compensations and resettlement is being identified and given necessary solutions to to assure them that appropriate consideration is being given to them. The usually to for engagement at this level is workshop and public meetings which may also include cultural displays.

8.4.3.4 Collaborate

Involving external stakeholders then lead to the need for collaboration. This is required to ensure that stakeholders are carried along and provide inputs in designing alternative plans and solutions to their agitations and pain points. This level involves the engagement of customers, civil society, government agencies, unions, media and business owners in the community using tools such as online forums, conferences, info kiosk and meetings.

8.4.3.5 Empower

The final level of engagement is empowerment. This is basically tailored at community members and entails equipping them with adequate knowledge about the necessary inputs needed from them. This gives community members sense of responsibility and accountability

regarding the project knowing fully well that they are being considered and held of high esteem for the success of the project.

8.4.4 Tools and Techniques for Stakeholder Engagement

Regarding the tools/techniques for conducting stakeholder engagement, there are several tools identified from literature which were examined in this study across the three stages of PPP projects. stakeholder engagement.

1. Tools for engaging stakeholders in the project development phase

During the development phase respondents stated that they utilize public meeting, briefings, news media, public presentation, info kiosk, hotlines, newsletters, bulletins, social media, website and fact sheets to engage external stakeholders (Table 9.3). These tools enhance easy information disclosure/sharing as well as seamless creation of awareness further leading to improved participation of stakeholders.

2. Tools for engaging stakeholders in the procurement phase

For the procurement stage which basically does not require much external stakeholder participation other than customers, business owners in the project environment as well as few government agencies, the preferable tools as earlier presented in this study are public presentation, bulletins, website and public meeting. According to Willis (2016) some of the activities in the procurement phase which require some level of stakeholder participation or input include preparation of specifications, identification of potential suppliers, development of the procurement plan, conducting solicitation, negotiation and preparation of contracts. A level of communication is required for this to be successful, and these tools are useful in this case.

3. Tools for engaging stakeholders in the project implementation phase

Regarding the tools for stakeholder engagement at the project implementation stage, news media, public presentation, hotlines, newsletters, bulletins, social media, website, factsheets

as well as arts and entertainment are preferred to other tools (Table 38). The basic activity at the implementation stage includes evaluating and monitoring project progress, reporting activities as well as communicating the project achievement to stakeholders (European Union Project management Handbook, 2015). The tools identified in this framework will ensure that project achievements are communicated to the relevant stakeholders adequately.

TABLE 38: TOOLS AND TECHNIQUES FOR STAKEHOLDER ENGAGEMENT

Project Phase	Tools/Techniques
Development	Public meeting, Briefings, News media, Public presentation Info kiosk, Hotlines, Newsletters, Bulletins, Social media Website, Fact sheets
Procurement	Public presentation, Bulletins, Website, Public meeting
Implementation	News media, Public presentation, Hotlines, Newsletters Bulletins, Social media, Website, Factsheets Arts and Entertainment

8.4.5 Governance Mechanism for SE

Regarding the governance mechanism adopted for external stakeholder engagement in PPP urban infrastructure project delivery in Nigeria, analysis of responses received revealed that all identified mechanisms are important as the mean score ranged from 3.58 to 4.1 on a scale of 1 to 5.

8.4.5.1 Corruption Control

As indicated by respondents, the governance mechanism with the highest mean score is corruption control. 44.3% of respondents stated that corruption control should be a very important component of any governance mechanism for stakeholder engagement, while 40.0% strongly agreed with that fact. According to Kaufmann, Kraay and Mastruzzi (2010), corruption control as a key governance mechanism involves getting to know the extent to which leaders utilize the power attached to the position they hold for personal benefits or

interest. Stakeholder engagement should be free from all forms of corrupt practices that may threaten participation and the success of the engagement process.

8.4.5.2 Trust

The need to build trust in stakeholders is judged to be important by 38.6% who agreed and 42.9% of the respondents who strongly agreed to that notion. There is utmost importance attached to building trust while engaging stakeholders. Stakeholder participation is sometimes tied to the trust they have in developers and project organizers. There is much benefit an organization can get if it has a policy for building trust, this can lead to increased stakeholder loyalty giving such organization the benefit of the doubt in project execution (Beslin and Reddin, 2004). Trust must be earned over time by paying attention to stakeholder interests and agitations as well as standing on all promises made to stakeholders during the inform level of engagement, this is required because stakeholders are becoming more doubtful (Karlsen, Græe, & Massaoud, 2008).

8.4.5.3 Government Effectiveness

In terms of government effectiveness, 46.4% of respondents agreed that this governance mechanism is highly important in achieving a successful SE during project delivery while a further 34.4% strongly agreed to this fact. Government as a key external stakeholder in PPP project must ensure the provision of quality of public services and quality civil service. Government should also ensure its input or activities in the stakeholder engagement process must be free from political undertones while ensure a credible commitment to the project execution process (Kaufmann, Kraay and Mastruzzi, 2010). All these must be well captured in the stakeholder engagement policies adopted by the government as well as the project development organizations.

8.4.5.4 Rule of Law

Another very important component of governance mechanism/policy for stakeholder engagement in PPP urban infrastructure provision project is rule of law. This is as noted by

45.6% and 32.4% of respondents agreed and strongly agreed respectively to this. This aspect of the mechanism should capture the need for the stakeholder engagement process to take into consideration and ensure strict adherence to existing rules and regulations in the society. Such rules include those pertaining to contract enforcement, human rights, property rights (Kaufmann, Kraay and Mastruzzi, 2010), involvement of the police and court, issues that could contravene provisions of the laws of the nation regarding construction, environmental safety, construction waste management, environmental impact assessment, building codes and so on.

To test the availability and the adoption of governance mechanisms in organization, interviewees stated that their organizations have some of the discussed items in the existing governance mechanisms while others stated that they adopt those provided by the government or existing in contract agreements. They further stated that the adoption of these mechanisms lead to a successful execution of stakeholder engagement programs.

8.4.6 Challenges of Stakeholder Engagement

Having examined the various challenges that affects the success and execution of stakeholder engagement activity while working on PPP projects. Respondents were asked to indicate the challenges they faced in the course of engaging stakeholders. The feedback given is presented below. This study did not only examine the barriers to stakeholder engagement, but it also presented solutions to the barriers identified. The challenges identified by respondents are discussed below.

8.4.6.1 Government Interference

Respondents stated that government agencies have deep rooted tentacles in project delivery activities. Though government is trying to ensure project are well executed to standards for safety of end users and the environment at large, however, participating at all levels of stakeholder engagement and some of their other activities most times lead to interference which could stall project success and effectiveness of stakeholder. It is therefore advised that

government should play more of a third-party role giving the other two parties (investors and developers) the freedom of communication.

8.4.6.2 Inadequate Financing

SE can be costly and requires funding and since the scheme (i.e., the project being executed) is for low-cost housing, having funds available sometimes becomes challenging. In solving this issue, interviewees stated that international financing organizations can be contacted in making funds available for successful stakeholder engagement and project implementation.

8.4.6.3 Disjointed Plans

Due to varying interest and influence of the different external stakeholders involved PPP project execution, there is usually the case of disagreement with project plans. Getting stakeholders to agree on the best way forward or alternatives may prolong the engagement process as working with a lot of people requires developing a plan that will enable effective stakeholder engagement. It is therefore advised that construction firms streamline external stakeholders' responsibilities, functions, interests and influences to enable alignment of thoughts, innovations thereby achieving a uniform plan.

8.4.6.4 Scheduling and Participation

Getting a convenient time to engage all stakeholders and achieve great participation may be hard. Stakeholder commitment and involvement in the engagement process is important however, based on circumstances such as site condition, weather condition, timing may make high level participation unachievable. Interviewees noted that carrying out stakeholder engagement for projects being executed in rainy seasons can be tasking. Stakeholders' inability to participate in engagement activities, lack of required involvement (TeyeBuerthey et al., 2016) that will lead to alignment of thoughts and plans is usually due to lack of knowledge and lack of capacities to make meaningful contributions during engagement activities. This study recommends that adequate information disclosure be carried out. Stakeholders should be made to know and understand the benefits of the project to be executed.

8.4.6.5 Lack of Trust

External stakeholders such as project community residents do not trust the government, owing to the fact that government has failed in the fulfilment of past promises. This actually leads to reduced level of participation in engagement activities especially for project involving the government. Lack of trust on the part of stakeholders usually leads to failure to recognize or cooperate with other stakeholders and stakeholder neglect (Chinyio and Olomolaiye, 2015). In overcoming this challenge, government need to be responsible and fulfil promises made during campaigns as well as honour their words. This will build trust and as well enable external stakeholders especially community dwellers participate more in PPP projects stakeholder.

8.5. Validation and Amendment of the Findings Related to the Conceptual Framework

This subsection presents the validation exercise and amendment of the framework established based on the findings gotten from the semi-structured interviews and questionnaire survey analyses relative to the literature review. The framework aims to facilitate Stakeholder engagement in PPP urban infrastructure projects in Nigeria.

The researcher designed and distributed a questionnaire to facilitate the verification exercise. A letter of invitation (see Appendix C) was sent to four key persons to take part in the validation exercise. The process of validation was carried out using emails and phone interviews. The conceptual framework developed from the study was emailed to each participant and a telephone interview was scheduled to extract their views through a semi-structured.

The attributes of the participants are detailed in Table 39. The participants included an academic, A government official that works in an agency of a government engaged in a PPP project and staff of a private sector organization engaged in a PPP project

TABLE 39: CHARACTERISTICS OF THE PARTICIPANTS IN THE FRAMEWORK VALIDATION EXERCISE

S/N	Type of organization	Position	Participation in research
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1	University	Academic	No
2	Private sector organisation	Manager	Yes
3	Government sector organisation	Head of PPP	Yes

Consent to participate in the exercise was first obtained from each participant. A summary of the study was attached to the consent form. The summary captured the aims and objectives of the study and findings of the study, research method and key finds of the study. The summary also captured the conceptual framework for stakeholder engagement in PPP urban infrastructure in Nigeria.

The validation exercise asked for a frank view about the developed framework and their appraisal of its suitability for use in stakeholder engagement in PPP urban infrastructure projects in Nigeria. The criteria of the choice of academic participants were based on their previous contributions in the field of PPP and stakeholder engagement. While the public and private sector officials that participated in the exercise were chosen based on their experience in executing PPP projects.

A preliminary interview was held by telephone with two participants before the final validation exercise to identify ambiguous questions. After adjustments to the questions, the main interview session was carried out through a telephone call. The participants and the researcher collectively agreed on an appropriate time to conduct the interview. The interview took about 20 to 30 minutes to conclude. The responses were recorded in an audio file with each respondent given a unique identity code

8.5.1 Validation of the Revised Conceptual Framework

The validation exercise started by asking the background of the respondents. After the introductory aspect, the first question was premeditated to provoke respondents view on the ease of understanding of the framework. They all agreed that the framework is simple. However, one of the respondents stated that there is a little ambiguity in the headings his words were: *the headings in the framework design relevant to stakeholder types is a little confusing. There will be a need to clearly differentiate them for clearer understating of the framework.* Another respondent stated that: *there is need to introduce arrows in the bottom part of the framework to improve clarity.*

On the second question relevant to how the framework can be improved, one of the respondents said that: *to improve the framework the headings for the different stakeholders can be separated by grouping them into three names such as direct stakeholders, indirect stakeholders, and sacrosanct stakeholders.*

The third question was to elicit the opinion of the respondents on the structure of the framework. All respondents agreed that the structure was simple however one of the respondents stated that: *the structure should also capture the sacrosanct stakeholders as a subset of direct and indirect stakeholders.*

In respect of the fourth question that sought to understand the views of respondents on the usefulness of the framework in implementing stakeholder engagement in PPP UIP. All the respondents agreed that the framework will have a significant positive impact on how stakeholder engagement is carried out in PPP urban infrastructure projects in Nigeria.

Underlisted below are the key suggestions by the respondents that were adopted to improve the framework developed to improve stakeholder engagement in PPP UIP IN the study.

- I. Clearly delineate the different stakeholder groups into direct, indirect, and sacrosanct stakeholders
- II. Introduction of sacrosanct stakeholders as subset of both direct and indirect stakeholders
- III. Introduction of arrows to show the direction of relationship of each component of the framework.
- IV. Renaming the framework to reflect PPP projects in the urban context

Figure 8.3 illustrates the final version of the PPP UIP stakeholder engagement framework developed in this study

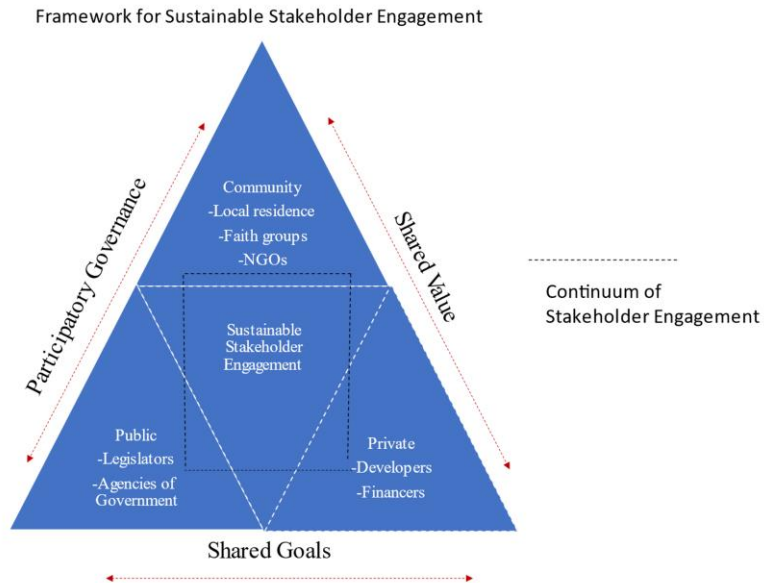


FIGURE 67: FINAL VERSION OF THE STAKEHOLDER ENGAGEMENT FRAMEWORK FOR PPP URBAN INFRASTRUCTURE PROJECTS IN NIGERIA

The following questions were asked of each participant who were encouraged to give as much detail as they wished in their responses:

- I. Do you think the framework is easy to understand?
- II. Do you have suggestions on how to improve it?
- III. What is your opinion about the structure of the framework? Why?
- IV. How useful do you think the framework will be in its current structure for implementing stakeholder engagement in PPP urban infrastructure in Nigeria? Can it be enhanced in any way?
- V. What is your view regarding the various components of the framework?
- VI. Do you have any suggestions?

The inputs and observations of the reviewers were considered and the framework adjusted.

CHAPTER 9 CONCLUSION

9.1. Introduction

The preceding chapter to this presented a discussion of the research findings based on the results obtained through data analysis compared to the documentation of other studies or existing literature. It also included the discussion of the framework for stakeholder engagement developed in this study in order to arrive at a more reformed and all-encompassing framework. The main findings were exhaustively discussed and presented based on the results obtained from questionnaire administered and semi-structured survey conducted.

This chapter therefore presents a conclusion of this research in relation to the key findings earlier discussed as it leads to the achievement of the objectives of this study. The chapter is structured as follows:

1. Research findings in relation to research objectives
2. Contribution to knowledge.
3. Limitations of the study.
4. Recommendations for further research.

9.2 Research Findings in Relation to the Research Objectives

The aim of this research was to develop a framework to improve stakeholder engagement in the delivery of PPP urban infrastructure projects in Nigeria.

9.2.1 Objective 1: To conduct an extensive literature review on PPP as a form of procurement for infrastructure projects.

This study conducted extensive literature review on studies that relate to PPP urban infrastructure provision starting by presenting previous studies on urbanization (section 2.2)

and the relationship between urbanization, infrastructure, and sustainable development (section 2.2.1). This study documented that urbanisation is a product of social, economic, and demographic evolution that concentrates the population in large towns and cities, changing land cover/use, social lifestyle and relations, and economic structure.

This study as well presented earlier scholarly documentations on urban infrastructure (section 2.3), categorisation of urban infrastructure (section 2.3.1), urban infrastructure procurement systems (section 2.3.3) reiterating the findings of Ali, Stephenson & Griffith (2011) which stated that a variety of procurement systems exist with different arrangements that differ in terms of how responsibility is apportioned, the sequence of activity, processes, procedures, and the organisational approach in project delivery.

This study did not fail to examine literature on Public-Private Partnership (PPP) in section 2.4, the six forms of PPP (section 2.4.1) and reviewing the global experiences and challenges of PPP in U.K, U.S, Australia, China, India and South Africa and of course the study area Nigeria. The study presented a list of some major PPP projects that has been executed in the country as well as the existing framework for PPP project execution in Nigeria stating that government of Nigeria, at both federal and state levels, is adopting PPP procurement strategies by partnering with the private sector to bridge infrastructure deficit.

In Chapter 3 of this study, the importance of external stakeholder engagement in PPP procurement was established. This study reiterated that external stakeholder engagement is an important instrument of accountability that must have a “clear purpose” and be aimed at achieving “agreed outcomes” (Accountability, 2018). This study as well reviewed the factors that determines PPP project success making adaptations from Robertson et al., (2014) while also documenting the corporate objectives of external stakeholder engagement which include improvement of public awareness, increased quality of decisions, social learning and developing a shared understanding of the problem dimensions, prevention of litigation, among others.

9.2.2 Objective 2: To identify the critical success factors in the stakeholder engagement processes in PPP projects in Nigeria.

Upon reviewing existing literature regarding stakeholder engagement this study identified some critical success factors for stakeholder engagement. This includes stakeholder identification and classification, information disclosure, stakeholder consultation, negotiation and partnerships, grievance management, stakeholder involvement in project monitoring and reporting as well as stakeholders and management functions.

This study documented that stakeholder consultation, negotiation and partnerships, and management functions are the top three key principles being adopted for stakeholder engagement. It was stated in this study that stakeholder consultation is necessary for the establishment and maintenance of a constructive communication between the project sponsors, residents of the project community and other interested parties throughout the development, procurement, and implementation stages of PPP project life cycle in order to improve project outcomes and sustainability. When it comes to negotiation and partnership, in situation where there is controversies and complexities while engaging stakeholders, it is expected that organizations negotiate appreciably well in a way that ensures the interest of all parties are satisfied to a considerable extent. Strategic partnerships should be formed in a way that adds value to all stakeholders.

Regarding management functions, it is expected that organizations develop and maintain enough capacity during stakeholder engagement while tracking commitments and providing adequate feedback or report on the progress of work. It is also required that organizations put a lot of investment (time) into stakeholder identification and categorization of stakeholders based on their interest, concerns, agitations, and level of influence on the project. This will enable the organization to manage every stakeholder appropriately.

This study as well stated that it is expedient that organizations communicate the necessary information to all stakeholders as at when due especially in the decision-making process using tools that will enhance better understanding of goals, objectives, and benefits of the project. All these factors are critical to the success of the stakeholder engagement process.

9.2.3 Objective 3: To establish a theoretical framework regarding stakeholder engagement and barriers to engagement in PPP projects.

In achieving this objective, this study analysed responses provided by respondents as well as feedbacks given by interviewees regarding the barriers they experienced while conducting stakeholder engagement activities. The identified barriers include thought not limited to conflicting agendas, hidden intents (lack of trust), passive stakeholder involvement, scarce resources, and resistance to change. These barriers were discussed in relation to the stakeholder involved. For instance, conflicting was discovered to be a barrier when engaging with government agencies other than direct government partners as well as customers especially during project development phase. Hidden intent (lack of trust) on the other hand is a major barrier in interacting with governments agencies other than direct government partners, customers, and business owner while passive stakeholder involvement is not only a barrier in engaging customers, government agencies and business owners alone but also in engaging community members. These barriers are experienced on different levels across the three stages of PPP projects.

Other barriers with less effect compared to the earlier mentioned three which also require appropriate caution include scarce resources, resistance to change power conflicts, absence of legal requirements for engagement, subversive stakeholders, and lack of extensive stakeholder participation. This objective coupled with objective four were used to develop a robust stakeholder engagement framework.

9.2.4 Objective 4: To develop a stakeholder engagement framework suitable for the PPP urban infrastructure delivery model in Nigeria, identifying governance mechanisms that can enhance stakeholder engagement.

This object was achieved by examining the different elements that were used to develop an all-inclusive stakeholder engagement framework which are stakeholders being engaged and those that should be engaged in PPP project, tools and techniques for stakeholder

engagement, levels of engagement, governance mechanisms and the challenges of stakeholder engagement.

There are different stakeholders currently engaged during stakeholder engagement for PPP projects, these include customers and government agencies (other than direct government partner) such as Ministry of Finance, Federal Road Safety Commission (FRSC), Federal Mortgage Bank (FMB), Development Control Unit and Standards Organization of Nigeria (SON), business owners in community and community members, market women/associations, suppliers, and the media. All these stakeholders are engaged right from the project initiation stage till implementation stage. This study further documented that, stakeholders such as customers, community members, government agencies and the media are usually engaged at the project development stage. Stakeholders such as customers, civil society, government agencies, media and business owners in the project area are engaged at the procurement stage.

There are five levels of engagement identified in literature, they include inform consult, involve, collaborate, and empower. The goal of the first level of engagement – inform is required to create well defined awareness or information that will assist stakeholders in understanding the objective and benefits of the project. The second level – consult is needed to obtain feedback on ideas, alternatives, and proposals to inform decision-making while the third level – involve leads to the identification and understanding of issues, agitations and pain points of stakeholder and proffer necessary solution. The fourth level – collaborate involves working together to understand all interests, issues, pain points and develop alternative solutions and the last level – empower is required to equip stakeholders with adequate knowledge or enlighten them on responsibilities and inputs needed from them regarding decision and the need to participate.

After discussing the levels of external stakeholder engagement, this study discussed the findings on the tools used for stakeholder engagement in relation to the PPP project stage. During the project development phase respondents stated that they utilize public meeting, briefings, news media, public presentation, info kiosk, hotlines, newsletters, bulletins, social media, website and fact sheets to engage external stakeholders. For the procurement stage

fewer stakeholders are engaged. They include customers, business owners in the project environment as well as few government agencies using tools such as public presentation, bulletins, website, and public meeting. At project implementation stage, news media, public presentation, hotlines, newsletters, bulletins, social media, website, factsheets as well as arts and entertainment are preferred to other tools.

This study then goes ahead to discuss the next item on the framework. Corruption control, trust, rule of law, government effectiveness were identified as the major governance mechanism for stakeholder engagement in PPP urban infrastructure provision in Nigeria. However, interviewees stated that some of these mechanisms are either contained in the contract agreement signed between project sponsors and development or contained in government policies for project execution. This study recommends that organization in the construction section develop policies that include governance mechanisms for stakeholder engagement as this will lead to a more effective and productive stakeholder engagement process.

The last item on the framework is the challenges of stakeholder engagement. This was developed based on the responses gathered from qualitative analysis of interviewees responses. Based on the information provided by interviewees, the challenges of stakeholder engagement in PPP urban infrastructure provision are government interference, it was gathered that government agencies try to exercise their powers thereby preventing easy stakeholder engagement. It was therefore recommended that government give stakeholders ability to participate more by reducing the influence government agencies have in such engagement. Inadequate financing, disjointed plans, scheduling, and participation issues as well as lack of trust were identified as challenges to stakeholder engagement. These challenges require the formation of adequate measures that can mitigate them and achieve a great stakeholder engagement program. Some solutions were proffered in this study.

9.3 Contribution to Knowledge

This study provided some key contribution to both academic studies and the practice of stakeholder engagement.

1. This study presents explanation of critical success factors that are important to the accomplishment of a successful stakeholder engagement in PPP urban infrastructure provision. Having identified CSFs in literature, this study will serve as an addition to existing reference materials and help other scholars to better understand the CSFs for stakeholder engagement.
2. This study developed a robust framework that will serve as a guide for organizations looking to conduct stakeholder engagement appropriately. This study identified stakeholders to engage at different phases of PPP projects, it also identified the levels of engagement involved and presented the tools that should be adopted for stakeholder engagement at the different levels.
3. This study also identified the challenges and the barriers to stakeholder engagement. The results presented and discussions made in this study will add to existing literature for better understanding the challenges as well as the barriers of stakeholder engagement coupled with steps that can be taken to prevent these challenges or barriers from negatively influence the stakeholder engagement process.
4. The governance mechanism presented in this study will not only serve as guide to construction organizations but other organizations including government agencies who seek to develop a governance mechanism for conducting stakeholder engagement at any phase of PPP project.

9.4. Limitations of the Study

1. Firstly, this study only examined organizations in the capital territory (Abuja). Due to the peculiarity of the city and the level of importance attached to adherence to construction standards, building codes and the likes, the validity of the findings of this study may not be applicable to all cities especially in places where adequate monitoring is not well practiced. However, the findings of this study still remain applicable to every PPP project especially those involving the provision of urban infrastructure.

2. Secondly, this study only examined three phases of PPP project. Other classification of project execution stages such as initiation, project planning, implementation, monitoring, and closure were not examined. Though the focus of this research was to examine the three phases earlier mentioned. It is believed that more work could still be done in examining other classification of project stages.
3. While the purpose of this research work is to examines stakeholder engagement as it relates to PPP urban infrastructure projects, the applicability of the framework developed in this study when conducting stakeholder engagement in other project types is yet to be tested. Different projects have their peculiarities and differences, these could influence some aspects of the framework such as the policies and governance mechanisms as well the challenges and barriers which the recommended solutions and critical success factors presented in this study might not have captured.
4. Finally, this study focused on external stakeholders, this presents a little difficulty in generalizing the findings of this research, which are stakeholder specific, to other stakeholder category which is internal stakeholders. There is need to carry out study on developing framework for internal stakeholder engagement.

9.5. Recommendations for Further Research

Based on the limitations of this research which were discussed in the previous section, some recommendations were made to resolve issues identified and further improve on the findings of this study. These recommendations are presented as follows:

1. Further research should widen the scope to examine the practice of stakeholder engagement in other cities not as developed as Abuja especially in semi-urban centres which are presently undergoing rapid development.
2. It is required that other research works examine the stakeholder engagement as it relates to other categorization of project stages such as initiation, planning,

implementation, monitoring and closure. This will lead to the discovery of how stakeholder engagement should be executed at every of the phases mentioned.

3. There are other project execution methodologies other than PPP, such as private projects, and public projects. Other studies should be conducted to understand how stakeholders are being engaged on these projects and what framework best suited the engagement of stakeholders while working on these projects.
4. The need to examine the applicability of the framework developed in this study to internal stakeholder engagement cannot be over-emphasized. Internal stakeholders have different interest and level of influence compared to external stakeholders. There is need to examine if a different framework is required or the framework presented in this study would fly based on the peculiarities of internal stakeholders.

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APPENDIX 1 SEMI-STRUCTURED INTERVIEW

Semi-structured interview (invitation letter and questions)

Dear Madam/Sir,

My name is Bello Nagogo Usman I am a Ph.D. student at the School of the Built Environment, The University of Salford, UK.

As part of data collection for my Ph.D. study, you are kindly invited to participate in this study

by providing information that might be valuable to my Ph.D. study. My research titled “A Strategy for Stakeholder Engagement in Urban Infrastructure Provision in Nigeria. The research aims to develop a framework that can improve stakeholder engagement PPP urban infrastructure projects in Nigeria

I am requesting for your kind support in giving your time, experience, and views by answering my questions during the interview. The outcome of this study will benefit both academia and practice of PPP in Nigeria and globally.

Thank you very much for your participation

Bello Nagogo Usman

PhD research student

School of Science, Engineering, and Environment

University of Salford, UK

A Strategy for Stakeholder Engagement in Urban Infrastructure Provision in Nigeria

Interview Questions

SECTION A: Respondents Profile

1. Please state your Name
2. What is the Category of your firm and Are you a contractor, PPP project sponsor or consultant?
3. Please indicate your years of industrial/ professional experience.
4. Highest academic qualification(s) of the respondent.
5. Please indicate your profession (field of work)
6. Please indicate your position in your organisation

SECTION B: Current practice of stakeholder engagement in PPP urban infrastructure projects in Nigeria

1. How many PPP projects have you or your firm/organisation been involved in?
2. Which of the following PPP projects have you or your firm/organisation been involved in?
3. External Stakeholders are individuals or groups outside a business or project, who can affect or be affected by the business or project. Please mention the type of PPP urban infrastructure project you were recently involved in that has reached at least the construction phase.
4. Who are the external stakeholders you engaged in your recent project? Who is the most important external stakeholder in the project?
5. PPP lifecycle is executed in phases namely; Preliminaries Phase, Development Phase, Procurement Phase, and Implementation Phase In what phase of the project do you carry out external stakeholder engagement in the Project Lifecycle?
6. Within the phases of the project lifecycle, which of the stakeholder organisation lead the external stakeholder engagement process?
7. How did you engage the various external stakeholders within the project lifecycle? Was the engagement uniform for all stakeholders? Did you use the same strategies at the various phases of the project lifecycle?

8. What was the key objective of the practice of external stakeholder engagement in the project?
9. What are the required set of activities to put in place to ensure successful external SE in PPP UIP in Nigeria?
10. What are the key policies or tactics that can improve relationship between government and its citizens in PPP UIP in Nigeria?
11. What are the key policies or tactics within the conditions of contract that can improve relationship between government and its private Sector partners in PPP UIP in Nigeria?
12. What are the key organisational policies or tactics that can improve relationship between private sector partners and the community at the implementation level of PPP UIP in Nigeria?

Optional question in 13 for 9,11,12

13. Governance mechanisms are commonly adopted policies or tactics to reduce the risk of hazards and improve relationships with stakeholders through formal control processes. What governance mechanisms affected the process of external stakeholder engagement in the project? Laws and
 - A. What are the government policy that inform SE in your project
 - B. What are the conditions of contracts that informed SE in the projects
 - C. What are the organisational policies that inform SE in the PPP projects
14. What were the major challenges or barriers to external stakeholder engagement in the project?
15. What do you think can overcome those challenges
16. What key experience would you like to share regarding the role of governance mechanisms and the practice of external stakeholder engagement in PPP urban infrastructure projects in Nigeria?
 - A. What are the government policy that inform SE in your project
 - B. What are the conditions of contracts that informed SE in the projects
 - C. What are the organisational policies that inform SE in the PPP projects

External Stakeholder Engagement in PPP UIP in Nigeria

Page 1: Introduction Letter

The University of Salford,
School of Science, Engineering and Environment,
The Crescent,
Salford, M5 4WT,
United Kingdom.

Dear Sir/Madam,

A Strategy for Stakeholder Engagement in Urban Infrastructure Provision in Nigeria

The above research aims to develop a stakeholder engagement framework that can enhance external stakeholder engagement in PPP urban infrastructure project delivery in Nigeria.

Kindly assist in completing this questionnaire to the best of your knowledge to facilitate the attainment of the research objectives.

You have my full assurance that your responses shall be kept as confidential. Should you be interested in the outcome of the research, please put down your email when you finish completing the questionnaire.

Thank you in anticipation of your response to the questionnaire

Yours Sincerely,

Signed: Bello Nagogo Usman (PhD Research Student)

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Gregory Watts
(Supervisor)

Anthony Higham
(Supervisor)

Page 2: SECTION A: Respondents Profile

1. What is the category of your firm/organisation in Public-Private Partnership urban infrastructure projects:

- Public Sector Authorities (MDAs)
- Private Investor/Concessionaire
- Lender/Financial (Bank)
- Consultant
- Contractor
- NGO

2. Please indicate your years of industrial/ professional experience

- From 1 to 5
- From 6 to 10
- From 11 to 15
- From 16 to 20
- From 21 and above

3. Highest academic qualification of the respondent.

- HND
- B.Tech/BSc
- M.Tech/MSc/MBA
- PhD

4. Please indicate your profession (field of work)

5. Please indicate your position in your organisation

- Executive management level
- Middle level management
- Low level management

6. How many PPP projects have your firm/organisation been involved in?

- 1-5
- 6-10
- 11-15
- 15 and above

7. From the list below, what type of urban infrastructure project/projects have your firm/ company participated in?

- University Hostel
- Housing
- Water
- Electricity
- Market
- Comercial complex/ offices
- District infrastructure developement

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-
- Hospital

Page 3: Section B: Current Practice of Stakeholder Engagement in PPP Urban Infrastructure Projects in Nigeria

8. What is the current phase of PPP urban infrastructure you are involved in? *

Required

- Development phase
- Procurement phase
- Implementation phase
- None of the above

9. What type of urban infrastructure project are you currently involved in?

- University Hostel
- Housing
- Water
- Electricity
- Market
- Commercial complex/ offices
- District infrastructure development
- Hospital

10. External Stakeholders are individuals or groups outside a business or project, who can affect or be affected by the business or project. Which of the following did you engage in your recent PPP urban infrastructure project?

- Customers
- Community Members
- Civil Society

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- Government agencies other than your direct government partner
- Unions
- Media
- Business owners in community
- Did not engage any

11. Please indicate by ticking from the list below all who you engaged at the various stages of the project lifecycle

	Development Phase	Procurement Phase	Implementation Phase
Customers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Community Members	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Civil Society	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Government agencies other than your direct government partner	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Unions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Media	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Business owners in the community	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

12. Please indicate who led stakeholder engagement at the various stages of the PPP urban infrastructure project you were involved in.

	Development Phase	Procurement Phase	Implementation Phase
Public Sector Authorities (MDAs)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Private Investor/Concessionaire	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lender/Financial (Bank)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Consultant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Contractor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
There was no clear leader	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

13. Who do you think is best suitable to lead stakeholder engagement at the various stages in PPP urban infrastructure projects?

- Public Sector Authorities (MDAs)
- Private Investor/Concessionaire
- Lender/Financial (Bank)
- Consultant
- Contractor
- NGO
- There is no need for a leader
- Other

13.a. If you selected Other, please specify:

Page 4: Section C: This Section Intends to Evaluate the Tools and Techniques Adopted for the Engagement of External Stakeholders in PPP Urban Infrastructure Project Delivery in Nigeria

14. Stakeholder engagement is done on five levels (L1 to L5), depending on the level of information or interaction an organisation wants with a particular stakeholder. Please indicate by ticking one or more level of engagement you adopted for the following listed external stakeholders while executing the PPP project.

	L1- Inform	L2- Consult	L3- Involve	L4- Collaborate	L5- Empower
Customers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Community Members	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Civil Society	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Government agencies other than your direct government partner	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Unions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Media	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Business owners in the community	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

15. To achieve information sharing as a level 1 (L1) external stakeholder engagement, certain tools and techniques are adopted. Please indicate from the list below the stakeholder engagement tools and techniques you used in the various phases of the PPP urban infrastructure project you are currently involved in. (Please tick the phases that apply to your current project)

	Development Phase	Procurement Phase	Implementation Phase
Public meetings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Briefings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
News media	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Public Presentations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Info Kiosks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Hotlines	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Newsletters	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bulletins	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Social media	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Websites	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fact sheets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Arts and entertainment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Page 5: SECTION E: Principles and Barriers of External Stakeholder Engagement

This section is meant to identify the key principles that drive external stakeholder engagement and the key barriers that inhibit external stakeholder engagement in PPP Urban infrastructure delivery in Nigeria.

16. To what extent do you agree that the following is a key principle of stakeholder engagement in PPP urban infrastructure project delivery in Nigeria?

Please don't select more than 1 answer(s) per row.

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
P1 Stakeholder Identification and Classification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
P2 Information Disclosure	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
P3 Stakeholder Consultation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
P4 Negotiation and Partnerships	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
P5 Grievance Management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
P6 Stakeholder Involvement in Project Monitoring	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
P7 Reporting to Stakeholders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
P8 Management Functions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

17. To what extent do you agree that the following is a major barrier to stakeholder engagement in the process of PPP urban infrastructure project delivery in Nigeria?

Please don't select more than 1 answer(s) per row.

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
B1 Conflicting agendas	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B2 Scarce resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B3 Power conflicts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B4 Resistance to change	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B5 Hidden intents (lack of trust)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B6 Lack of extensive client participation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B7 Passive stakeholder involvement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B8 Subversive stakeholders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B9 Low turnout in meetings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B10 Lack of leadership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B11 Lack of technical capacity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B12 Absence of legal requirements for engagement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Page 6: SECTION F: Governance Mechanisms of External Stakeholder Engagement

Governance mechanisms are controls, policies and guidelines that drive organizations to achieve their objectives while also satisfying stakeholders' needs.

The following questions are meant to evaluate the impact of governance mechanisms in the delivery of PPP UIP in Nigeria.

18. To what extent do you agree that the following is an important governance mechanism for external stakeholder engagement in PPP urban infrastructure project delivery in Nigeria?

Please don't select more than 1 answer(s) per row.

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
No violence	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Accountability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Rule of law	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Corruption control	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trust	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Reputation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Regulation quality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Government effectiveness	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

19. Please indicate your email address if you are interested in having feedback on the outcome of this research.

FRAMEWORK VALIDATION QUESTIONS

Background Information on Respondent

- A. Type of organization.....
- B. Position of your firm.....
- C. Your highest academic qualification.....
- D. How many years of professional experience do you have?
- E. How many years of professional experience do you have in PPP project implementation?

The following questions aim to get your candid remarks about the framework for the effective engagement of external stakeholders in PPP urban infrastructure projects in Nigeria (please find framework attached). The main objective of the framework is to improve effective stakeholder engagement in PPP urban infrastructure projects in Nigeria, by identifying the key governance mechanisms that can curtail external stakeholder engagement and facilitate the realisation of key components of external stakeholder engagement

1. What is your opinion on the entire relationship of the variables within the framework?
The relationships between Barriers of external SE, CSF/ key components of external SE and the governance mechanisms of external SE
2. Do you think the framework is easy to understand?
3. Do you have suggestions on how to improve it?
4. What is your opinion about the structure of the framework? Why?
5. How useful do you think the framework will be in its current structure for implementing Stakeholder engagement in PPP urban infrastructure in Nigeria? Can it be enhanced in any way?
6. What is your view regarding the various components of the framework?
7. Do you have any suggestions?