

Participation in bus concession procurement: An institutional analysis

Master Thesis

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Preface

In front of you is my master thesis about stakeholder participation in the procurement of bus concessions. This thesis is the last assignment of the master Civil Engineering and Management at the University of Twente. I did my internship at MuConsult in Amersfoort, a consultancy firm often involved in bus concession procurement processes.

Unfortunately, the COVID-19 pandemic caused me to have to do the whole research from home. Therefore I did not get the chance to get to know the company from the inside. The pandemic brought along the difficulty that I had to work a lot on my own. Luckily, I have friends and colleague students in which I could find sparring partners and who gave me tips.

In this period I learned a lot, also about myself. This master thesis is the first big assignment in the master program I had to carry out by myself. During the master, I especially learned to work together in teams. Working individually, I learned to take initiative, to go for something and to make decisions. The experiences I have gained give me confidence for the future.

I would like to thank all people who made it possible to successfully finish this thesis. Firstly my supervisors, for all their help. Especially Joanne Vinke-de Kruijf, who also had an eye for my personal matters next to her supervision on the content. I would like to thank Edward Rosbergen and Jaap Sytsma for guiding me and handing me insights on the procurement of bus concessions. You managed to stimulate me and made me think. I would also like to thank Karst Geurs for his feedback and for helping me find a suitable assignment. In addition, I would like to thank everyone who participated in this research by being available for an interview or attending the focus group session. Finally, I would like to thank my friends and family for their trust and support.

Enjoy reading my master thesis!

Ramon Kamphuis

January 2022, Utrecht

Summary

Transport authorities are experimenting with involving stakeholders and the public in new ways within the existing institutional context of developing public bus transport. There is already a 20-year practice of procuring concessions in which formal and informal ways exist to influence the process. Within this practice, new forms of collaboration and involvement of stakeholders and the public have emerged. Three developments can be distinguished. Firstly, more stakeholders are being involved and more often. Secondly, project teams responsible for the procurement process are starting to use new participation methods. Thirdly, the role of stakeholder manager is added to some project teams. However, knowledge is lacking on how participation should be used and organised. The role of informal institutions in public transport governance is understudied. When participation is applied in the procurement process this will likely be institutionalised through informal rules as an addition to the existing formal rules. The problem of how participation should be applied within the institutional context of public transport procurement has not been researched.

The research objective is:

To assess participation in bus concession procurement and to analyse the influence of the institutional context on participation.

A conceptual framework was developed to assess participation and to analyse the institutional context. Since literature is lacking on participation in bus concession procurement, the research is based on broader literature.

In this research, participation is about the involvement of stakeholders and the public in a procurement process. To assess participation, six participation dimensions are used. Breadth is about who is involved. Intensity is about how participants are involved. Influence is about the power participants have in the process. Openness is about the degree to which decisions are still open for discussion. Transparency is about access to relevant information. Equality is about the opportunities for stakeholders to take part. Together, the participation dimensions describe the used or possible degree of participation in a process.

The context in which decision-making, and thus procurement, takes place is shaped by institutions. Institutions can be formal (e.g. the law) or informal (e.g. customs and cultural norms). If participation is applied by the procurement team it will likely be an addition to the existing formal structures in the form of informal institutions. Together, institutions shape action situations in which stakeholders can interact with each other. An action situation can be divided into several sub action situations to describe specific parts of the process, for example, to describe a participatory activity. Sub action situations are used to describe the influence of institutions on specific parts of the process.

Institutional analysis is used to describe how the institutional context influences participation. The institutional context is divided into three categories. Firstly, the nature of the good is about physical and bus transport-related characteristics, such as the duration and spatial scale of a concession. Secondly, attributes of the community are about the social and cultural factors, such as (missing) representation of certain stakeholders and trust. Thirdly, the seven rules-in-use affect specific parts of an action situation in which participation takes place. For example, which positions can be taken (position rules) and what actions can be performed (authority rules). The categories allow dividing the procurement process into smaller parts and to analyse the influence of these parts.

Explorative case study research was used as the main research strategy. Two cases of bus concession procurement were selected: Groningen-Drenthe and Zaanstreek-Waterland. Data were collected through interviews and document analysis. A total of eleven interviews were conducted. Per case at least two persons from the transport authority, two municipal officials and one person from the involved consumer organisation were interviewed. Data from documents were used to complement the data from the interviews. A method was developed to systematically assess participation and to analyse the institutional context. A focus group session was used to validate the results.

The analysis of the results indicates that regarding the participation dimensions, the cases score similarly on transparency, equality, influence and intensity. The cases differ in terms of breadth and openness. The cases both have high transparency, high equality, medium influence and medium intensity. Groningen-Drenthe has low breadth and high openness. Zaanstreek-Waterland has high breadth and medium openness. The scores of the participation dimensions transparency, equality and influence especially depend on formal institutions of the procurement process. The breadth, openness and intensity are especially influenced by the used participatory activities. In the Groningen-Drenthe case, a cheat sheet session (discussing dilemmas using an overview with possible options) and informal meetings with the consumer organisations were held. Municipalities and the public were not involved. In the Zaanstreek-Waterland case, serious games were played to discuss dilemmas, sounding boards were used and the public and a panel were questioned through a survey. So, the same formal institutions apply but participation was used differently.

Considering the institutional context, the comparison and analysis of the results indicate that the rules-in-use and the attributes have a direct influence on participation and the nature of the good has an indirect influence on participation.

Regarding the rules-in-use, position and boundary rules provide special positions for the decentralised governments formally connected to the transport authority. Scope rules can reduce the scope of the process and therefore influence which sub action situations are created and influence the possible outcomes. Authority and aggregation rules allow the executive board of the transport authority to develop and decide on the procurement documents. Contrary to the executive board, stakeholders have limited authority in the process. Together, the information rules, authority rules and aggregation rules cause the processes to have high transparency, high equality and somewhat negatively influence the participation dimension influence.

Regarding attributes of the community, those of the transport authority, consumer organisations and municipalities influence participation. For the transport authority, attributes were found that influence its willingness to implement good principles of participation. For municipalities, attributes were found that explain their behaviour in the process. These include having the same interests among the involved municipalities and the capacity of public officials to work on the procurement process. Regarding consumer organisations, the missing representation of commuters and business travellers was found as an important attribute. In contrast, socially impaired people are well represented.

Based on the findings, implications for stakeholder management are provided. Among others, this includes the importance of developing an integrated approach to incorporate stakeholders' suggestions. Also, participation reoccurs in the same standard form in which participants can obtain information, share information and gain new knowledge. Taking the implications into account, transport authorities can improve organising participation in a bus concession procurement process.

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List of abbreviations

CP	Consumentenplatform (consumer organisations of Groningen-Drenthe)
IAD	Institutional Analysis and Development (framework)
NvU	Nota van Uitgangspunten (note of principles)
PvE	Programma van Eisen (program of requirements)
RAR	Reizigers Advies Raad (consumer organisation of Zaanstreek-Waterland)
Wp2000	Wet personenvervoer 2000 (law)

1 Introduction

In this chapter, the research is introduced. The first section describes the problem context. The second section places the research within a scientific perspective and discusses the state of the art. Thereafter the research problem is introduced in section three. Section four presents the research objective and questions. Thereafter section five specifies the scope of the research. The last section presents the outline of the report.

1.1 Problem context

At the start of a new bus concession changes in timetables, routes, and stops can cause a lot of noise. It is a visible example that public transport is an important mode of transportation in the Netherlands. Between 2014 and 2019, the total travelled distance per bus, tram or metro in the Netherlands increased by 10% to 330 km per person (KiM, 2020). Due to the corona crisis, the patronage has dropped, but the expectation is that patronage will be back to the old level in 2025 (KiM, 2020). Also, public authorities should lead a transition to sustainable urban mobility and to transform mobility patterns (Banister, 2008), making public transport even more important. Major changes in public transport provision will impact public transport users, residents and companies in the area.

The procurement process is the process that often results in the most implemented changes. In the procurement process, the transport authority puts a demand on the market to eventually contract a transport operator for a certain concession. High amounts of money are involved from €10 million to €100 million per year (CROW-KpVV, 2020) [DGD4]¹. Before a concession can be put out to tender, tender documents including all wishes and requirements need to be drafted. All the stakeholders make transport authorities committed to proceed through the procurement process with much care.

Bus concession procurement takes place in an institutionalised context to support effective development of bus transport and to support coordination and alignment of policies and measures (Veeneman, 2016; 2018). The process is institutionalized by law. Institutions shape how officials and stakeholders should behave (McGinnis, 2011; Ostrom, 2011). Lots of internal and external stakeholders play a role. The transport authority is responsible for involving all relevant stakeholders in the process to gather information and explain the important dilemmas. The involvement of stakeholders is increasingly needed for developing attractive and sustainable bus transport. Alignment of policies is needed between different domains (e.g. transport and land-use) and levels of governance to reach sustainable mobility. For example, zero-emission bus transport in the Netherlands developed by a province requires charging infrastructure which needs the cooperation of municipalities as road authority. Also, the active involvement of transport users is needed to realise change, such as the creation of exclusive bus networks (Banister, 2008). So, it is important to involve all relevant parties in transport planning and development.

Transport authorities are trying to find the best way to involve stakeholders and the public within the existing institutional context of developing public bus transport in the Netherlands. There is already a 20-year practice of procuring concessions in which formal and informal ways exist to influence the process. Within this practice, new forms of collaboration and involvement of stakeholders and the

¹ Refers to a case document (see Appendix A): Document Groningen-Drenthe 4

public have emerged. How transport authorities try to involve stakeholders and the public can be explained by three developments

Firstly, more stakeholders are being involved more often. According to the passenger transport law (Dutch: Wet personenvervoer 2000, hereafter referred to as Wp2000), consumer organisations² and transport authorities from neighbouring concessions have an advisory role in the process. So, technically, transport authorities comply with the law when only these two groups are involved. Other stakeholders that can be involved include municipalities, regional collaborative bodies, trade unions, large employers. This first trend is part of the shift in governance mode where governance is becoming more participative (Newig, 2007). So, public transport governance is becoming more participative with the increasing involvement of internal and external parties.

Secondly, project teams start using new participation methods (Transtec Adviseurs bv, 2015)[DZW3]. These methods include playing a serious game or using a survey. Little is known about the purpose of these methods, when these methods should be used, which stakeholders should be involved and how effective these methods are. That a certain method was useful in one procurement process does not necessarily have to mean that it will be useful in another process (Dietz & Stern, 2008). So, new participation methods are used but the know-how is lacking.

Lastly, the role of stakeholder manager is added to some project teams. Currently, the project leader of the procurement team of the transport authority is responsible for involving stakeholders. However, public transport authorities are now specifically asking consultancy firms for a separate stakeholder manager (Province of Utrecht, 2020). So, the role of stakeholder manager is distinguished next to the role of project leader.

Taken together, public transport authorities are applying participation in line with some developments, but knowledge is lacking on how participation should be used and organised. Transport authorities watch each other closely and are looking for ways to involve stakeholders in the process taking into account the institutional, time and budget constraints. The question is also whether best practices of one procurement process are applicable in another process.

1.2 State of the art

State of the art literature on participation in the public transport procurement process or other comparable processes is fragmented. Literature specific on participation in bus concession procurement does not exist. Participation has been researched but not within the context of public transport procurement. Research shows that contextual analysis is key to developing a participatory process that increases legitimacy, effectiveness and/or learning capacity (Dietz & Stern, 2008; Newig, 2007). A best practice of participation using certain techniques or tools, that is applicable in all processes, does not exist (Dietz & Stern, 2008). The best practice is context or situation-dependent. Why participation is useful and how participation should be organised, including the selection of participatory methods has been researched (Coenen, 2009; Dietz & Stern, 2008; Krywkow, 2009; Newig, 2007). An important first step in organising participation is diagnosing the context (Dietz & Stern, 2008). This analysis can be used to select tools and techniques that can overcome the difficulties

² To increase readability, through this report the term consumer organisation is used to refer to a Dutch ROCOV (Reizigers Overleg Consumentenbelangen Openbaar Vervoer), a meeting or collaborative body of multiple smaller consumer organisations.

presented by the institutional context. One way of studying this process is by looking at the various types of institutions (Coenen, 2009).

Institutions in bus concession procurement are researched within the field of public transport governance. The formal institutions of the procurement process have already been researched with focusses other than participation. Since the introduction of the Wp2000, research has been executed on how the new free-market forces influence the quality of public transport. State of the art research mainly has a narrow focus on formal rules and structures. Institutions are examined with a focus on how competition between bus operators is shaped (van de Velde, 2019). The developments of public transport governance in the Netherlands are researched with a focus on tendering and the relationship between transport authority and operator (Veeneman 2016; 2018). Existing literature on public transport governance especially focuses on formal institutions.

The role of informal institutions in public transport governance is understudied (Hirschhorn, van de Velde, Veeneman & ten Heuvelhof, 2020). When participation is applied in the procurement process this will likely be institutionalised through informal rules as an addition to the existing formal rules. State of the art research has found that within the formal structures new forms of collaborations have manifested themselves (Rye, Monios, Hrelja & Isaksson, 2018; Paulsson et al., 2018). There is little research about the collaboration of transport authorities with municipalities and operators in processes where a concession is competitively tendered compared to processes where a performance-based contract is used to grant the concession (Paulsson et al., 2018). In the Netherlands, only the contract of the cities of Amsterdam, Rotterdam and The Hague are negotiated performance-based and all others are competitively tendered. Also, more research is needed on how informal structures can contribute to achieving effective governance of public transport (Hrelja, Monios, Rye, Isaksson & Scholten, 2017). The notion of participation is new in public transport governance. The governance of public transport is much studied with a market approach, but less with a network approach. Recently, the interplay of formal and informal institutions has become a topic of research (Hirschhorn et al., 2020; Rye et al., 2018). The research of Hirschhorn et al. (2020) focuses on how formal and informal institutions influence the provided public transport. The research especially focuses on how different policy domains are aligned by formal and informal institutions, and not on how people interact. Authorities will benefit from insights on how policy-making and implementation takes place (Hirschhorn et al., 2020). So, research on participation and informal institutions in public transport procurement is very welcome.

1.3 Research problem

From the problem context and the state of the art follows that more knowledge is needed on how participation could best be organised within the public transport procurement process. The potential of participation is noticed by transport authorities, but knowledge on how to apply participation lacks at this moment. Little is known about which tools should be used, which stakeholders should be involved and how the participatory process should be organised. Now the application of participatory methods seems to be learning by doing. It is not known if participation fits within the existing process and what the effects are. The effect of participation is context-dependent and the context is understudied.

There is a research gap on the participation of stakeholders and the public in the procurement process. Existing research on public transport procurement focuses on the influence of formal institutions and

structures. Research with a different focus, such as on informal institutions, is therefore welcome. It is relatively new to research with whom the transport authority has to work together (other than market parties). The perspective of transport authorities on involving internal and external stakeholders is understudied. The internal stakeholders are more often involved in informal ways using participatory methods. Little is known about how informal institutions interact with existing formal institutions. Therefore it is important to research how the institutional context influences participation and how participation should be applied within the institutional context of public transport procurement.

1.4 Research objective & questions

Following the problem, this research explores the current dynamics in public transport procurement, more specific bus concession procurement. The focus of the research is on participation and the existing institutional context in bus concession procurement. In this research, the institutional context consists of the nature of the good, attributes of the community and the rules-in-use. These factors are explained in the next chapter. The research objective is:

To assess participation in bus concession procurement and to analyse the influence of the institutional context on participation;

This research is divided into three steps and corresponding research questions (see Figure 1). In Figure 1, from left to right, the arrows correspond with the research questions. Firstly, literature was used to develop a conceptual framework. Secondly, the conceptual framework was used to assess two cases for participation and to analyse the influence of the institutional context on participation. Thirdly, the cases were compared and the results were validated. The answers to the research questions were used to reach the research objective.

The research questions are:

1. How can participation be assessed and how can the influence of the institutional context on participation in bus concession procurement be analysed?
2. For selected bus concession procurement processes, how do they score on participation and how does the institutional context of bus concession procurement influence participation?
3. Comparing the cases, what can be learned about the influence of the institutional context on participation possibilities?

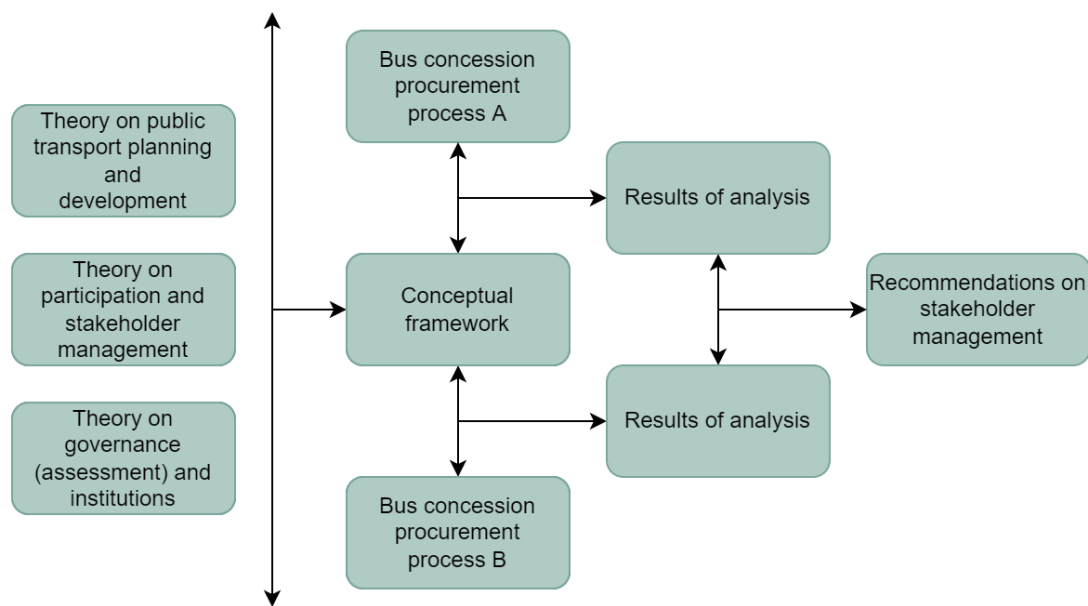


Figure 1: Research Framework

1.5 Scope

In this research, the focus is on involving stakeholders in the Dutch public bus transport procurement processes. The focus is on the phases in which the most important decisions are taken and in which participation is most useful. These were the strategic phase and the phase in which the program of requirements was developed. Further, the focus is on bus transport only. No concessions with trams, metros or trains are included. This research does not discuss the involvement of transport operators in the process. The current or future operator is not seen as a stakeholder, but as a market party in a procurement process. From the state of the art follows that the relation between the operator and the transport authority has been researched. This research is scoped to focus on the less researched subjects.

1.6 Outline

This research is structured in the following order. In chapter 2 the theoretical concepts are discussed. The concepts related to participation dimensions and institutional analysis are synthesised in a conceptual framework. Chapter 3 addresses the used method. Firstly, this chapter explains why case study research was chosen as a research method and introduces the selected cases. Secondly, the data collection consisting of interviews and a document study is described. Lastly, it is explained how the conceptual framework was used to analyse the data and how the results were validated. The results are presented in chapter 4. Firstly, the participatory process is described per case using the participation dimensions. Secondly, the action situations and institutional context is described per case. Lastly, the results are compared. In Chapter 5 the results are discussed. This consists of a discussion on the findings, the approach and method, the generalisability of the results and the implications for stakeholder management. The conclusions are presented in chapter 6.

2 Theoretical concepts

This chapter provides an answer to the first research question. In this research, the focus is on participation in bus concession procurement. Literature is lacking on this specific subject. Therefore, this research is based on broader literature consisting of literature about participation, institutions, and public transport governance. The first section provides definitions for participation. The second section explains how participation can be analysed. Thirdly, the concept of institutions is defined and explained. The fourth section explains how to analyse the institutional context. Finally, the used conceptual framework is presented in which the institutional analysis and participation dimensions are taken together.

2.1 Participation

The involvement of diverse groups of people with differing interests in a participatory process can be described using multiple terms: stakeholder participation, public participation, stakeholder engagement and community involvement. Sometimes terms such as collaboration are used, which is a specific form of participation. This research explores possibilities for using (new) participation tools. Therefore, participation is of better use than engagement or involvement.

A distinction between stakeholders and the public is useful since stakeholders are likely to have more resources and capacity to participate (Krywkwow, 2009). In a complex process such as the procurement of public transport, there will likely be differences in how stakeholders and the public will participate, making it useful to both define stakeholder participation and public participation. It is also possible to subdivide the public into more categories based on their interests (Dietz & Stern, 2008), though the distinction between stakeholders and the public provides enough detail for this research.

Stakeholder participation is defined as: "the involvement of stakeholders in a policy process" (Krywkwow, 2009, p.46). Stakeholders are individuals, groups and organizations that are affected by or can influence the decision-making process (Coenen, 2009; Reed et al., 2009). In the case of public transport procurement, internal stakeholders include public officials, the provincial/municipal council and the provincial/municipal executive associated with the transport authority. External stakeholders can include the province or municipality (as road operator), consumer organisations, transport authorities of neighbouring concessions and trade unions.

Public participation is defined as: "the involvement of the general public in a policy or decision process with a general interest in the outcomes of this process" (Krywkwow, 2009, p.46). Public participation is an addition to the standard public participation forms in a democracy, like voting, demonstrating and lobbying (Dietz & Stern, 2008). Public transport users, affected residents in the concession area, employers of companies and schools are part of the public. However, it may be hard to make a distinction between stakeholders and the public and the categorisation may change over time (Krywkwow, 2009). In some cases, a large employer with a significant share in the demand in a part of the concession area can become a serious stakeholder.

In this research, participation can both encompass the involvement of stakeholders and the public. So participation is seen as the involvement of stakeholders and the public in the procurement process.

2.2 Assessment of participation

To assess participatory processes, criteria are needed. Participation has multiple aspects making it hard to analyse it as one concept and express it in a single value. Using criteria makes it possible to compare cases and to distinguish different scores of cases. Since little is known about how participatory processes in public transport procurement are designed and organised, it is useful to use criteria that can describe the process setup.

A well-known way of characterising a participatory process is using the ladder of citizen participation of Arnstein (1969). One can describe the power citizens have in a process using the eight different levels on the ladder. Limitations of the ladder are that it is only useful for describing one aspect of a participatory process and that it does not acknowledge that there are cases in which it is desirable for both the public and the authority to only consult the public (Fung, 2006). The ladder on its own does not provide the required detail.

More recent literature has developed criteria that incorporate the ladder of Arnstein (1969). Fung (2006) defines three dimensions: who participates, how participants exchange information and make decisions and the actions participants can perform. Dietz and Stern (2008) elaborated on these dimensions and define breadth, openness of design, intensity, influence and goals. Krywkow (2009) has developed six intensity criteria of which four are somewhat similar to the criteria of Dietz and Stern (2008). In Table 1 the differences and similarities between the criteria of Dietz and Stern (2008) and Krywkow (2009) are shown. Krywkow (2009) also developed a radial chart in which the criteria and their score can be plotted to allow for easy visual comparison. For this research, the participation dimensions of Dietz & Stern (2008) are complemented with two dimensions of Krywkow (2009). Since the goal cannot be assigned with a score, this is not seen as a participation dimension. The six dimensions that are used are breadth, intensity, influence, openness, equality and transparency.

Table 1: The differences and similarities between the participation dimensions and participation intensity.

Nr.	Participation dimension (Dietz & Stern, 2008)	Definition	Participation intensity (Krywkow, 2009)	Definition
1	Breadth	The number and variety of participants involved	Reach	Few participants or broad public
2	Intensity	The intensity of the involvement. The amount of time	Activity	Information supply, consultation or active involvement in planning?
3	Influence	The extent of power or influence	Power Sharing	Influence on the decision-making
4	Openness	The degree to which participants are involved at early stages	Flexibility	Involved when decisions are still open for discussion
5	-		Equality	Opportunities for stakeholders to take part
6	-		Transparency	Access to relevant information
7	Goals	The goal for the process	-	

Per participation dimension, two questions are answered to determine the value of the dimension (see Table 2). When there is a low breadth, the term stakeholders is interpreted as the participating stakeholders for answering the other questions. A participation dimension can have a low, medium or

high score. What this score means is explained in Table 3. A low value does not correspond with badly executed participation. The participation dimensions of how the procurement process was tuned. The score of a dimension can be determined for a whole procurement process and describes both stakeholder and public participation.

Table 2: Participation dimension questions (adapted from Krywkow (2009, p.75).

Dimension	Indicator questions
Breadth	Has the broad public in the area been invited to take part in a participatory activity and was it well responded to?
	Do/did mass media report about the participatory process or is a broad range of stakeholders provided with information via flyers, newsletters or other means?
Openness	Are/were stakeholders involved at a time when relevant decisions about the project design are/were still open for discussion?
	Was it under the existing constraints (e.g. technical requirements, budget limitations) possible to implement stakeholders' suggestions?
Intensity	Do/did stakeholders meet each other and discuss about each other's point of view on the design of the plans?
	Do/did stakeholders provide their opinion to the plans?
Influence	Were stakeholders part of the actual decision-making process?
	Were stakeholders' interests taken into account in the decision-making and were any deviations from their recommendations explained to them?
Equality	Were all relevant stakeholders identified at the beginning of the participatory process?
	Do/did all stakeholders have equal access to information and equal opportunities to influence the plans?
Transparency	Are participants in the participatory process well-informed about the issue? Was enough information provided, could all access the information available and was it understandable for all?
	Do/did participants know from the beginning of their involvement what will be done with their input?

2.3 Institutions

The context in which decision-making, and thus also procurement, takes place is shaped by institutions. Institutions shape an arena or action situation in which stakeholders can interact with each other. Institutions do not determine the actions of stakeholders but provide boundary conditions for the behaviour that is desirable (Klok, Coenen & Denters, 2006). Specifically for the context of public transport development, the following definition is useful: "Governance of public transport consists of the set of institutions providing actors with agency (the power to act) and funding (the means to act), structuring their actions towards a public transport system, with the expected results to attain specific public values" (Veeneman, 2018, p.227). Concerning participation, the institutions shape "(1) the role of the government, (2) the allowed level of participation, and (3) the expected influence on decision-making" (Coenen, 2009, p.11). Analysing these institutions can yield a better understanding of how the decision-making takes place and what role participation can play. Additionally, one can also look at how participation rights are institutionalised. This will provide insights into how stakeholders can exert influence (Coenen, 2009). So, analysing institutions provides insights into what participation is possible.

Table 3: Definition of values of participation dimensions (adapted from Krywkow (2009, p.72))

Dimension	Low (Score = 1)	Medium (Score = 2)	High (Score = 3)
Breadth	Only a small group of stakeholders is actively involved.	A number of stakeholders cannot take part personally.	All known relevant stakeholders – in public participation including members of the broad public – have got an opportunity to take part personally.
Openness	Stakeholders are involved only after all relevant decisions have been made.	Stakeholders are involved early enough to influence some significant questions of the project design.	Stakeholders are involved at an early stage and can influence major questions.
Intensity	Stakeholders are only informed	Consultation: Stakeholders are asked to give their view on the plans	Active involvement takes place. Stakeholders with different interests meet to discuss plans.
Influence	Stakeholder opinions can possibly be ignored by the authority.	Stakeholder opinions have an official status and have a pre-defined weight in the decision-making process. The authority will explain the reasons if the decision deviates from the stakeholder suggestions.	The involved stakeholders are part of the decision-making process and suggestions will similarly be incorporated in the decision. There is no difference in the weight of stakeholder opinions.
Equality	Some affected stakeholders or groups are excluded from the process.	All stakeholders are involved personally or represented by an appropriate person, but with a different degree of influence on the outcome.	All stakeholders have a similar influence on the outcome of the process. They are either taking part personally or are represented by an appropriate person. Generally, all participants have access to the same information, and their voices have the same weight.
Transparency	Relevant information is withheld from stakeholders on purpose.	Stakeholders are well informed, although there are some minor deficits. For example, some information is not delivered at an early stage, is not neutral or not easily understandable.	Internal: Stakeholders are at an early stage informed about all relevant aspects of the project and the process in a way that they can effectively advocate their own interests. External: The stakeholders and the public are comprehensively informed about progress and result of the participatory process

Institutions are defined in multiple ways. A much-cited definition is the definition of North (1991, p.97): “humanly devised constraints that structure political, economic and social interaction”. Polski and Ostrom (1999, p.14) define an institution as: “a widely understood rule, norm, or strategy that creates incentives for behaviour in repetitive situations”. McGinnis (2011, p.170) defines institutions as: “human-constructed constraints or opportunities within which individual choices take place and which shape the consequences of their choices”. In the case of analysing participation, it is useful to emphasize both constraints and opportunities, since it is expected that institutions can both limit and enable participation. North’s definition only emphasizes constraints, whereas McGinnis’ definition, next to constraints, also emphasizes opportunities. The used definition is as follows: Institutions are human-constructed constraints or opportunities for decision-making in repetitive situations (McGinnis, 2011; Polski and Ostrom, 1999).

Two main categories of institutions can be defined: formal and informal institutions. Formal institutions are often written down. This includes constitutions, laws and property rights (North, 1991; Hrelja et al., 2017). Informal institutions are most of the time not written down. Examples of informal institutions are: “sanctions, taboos, customs, traditions and codes of conduct” (North, 1991, p.97). Hrelja et al. describe some aspects that are also part of informal institutions, these are: “aspects such as joint understandings and shared knowledge [...], cultural and political norms and attitudes, informal

networks, arenas and meeting places, as well as steering cultures that underpin strategic planning” (Hrelja et al., 2017, p.614) Informal rules are often an addition to formal rules to fill in the parts of the context that are not explicitly defined by those formal rules (Rye et al., 2018). In the case of new demands, it can be difficult to adjust formal institutions, resulting in a need for the development of informal institutions (Rye et al., 2018). If participation is applied by the procurement team it will likely be an addition to the existing formal structures in the form of informal institutions. So taken together, formal and informal institutions together shape a space in which actors can perform actions.

The term institutional arrangements is often interchangeably used for institutions but does have another meaning. Institutional arrangements describe a set of institutions on a large scale. Institutional arrangements are a constellation that results from how actors behave within an action situation and all contextual factors influencing the action situation (based on Hegger et al. (2014) who define Flood Risk Governance Arrangements). You can for example define the institutional arrangement that deals with the tender form or financial institutional arrangements. Institutional arrangements do not provide the level of detail needed for this research to describe how participation takes place in the procurement of public transport. This research examines the content of institutional arrangements for participation to uncover which elements enable or restrict the participation of stakeholders. Throughout the rest of this research, only the term institutions is used.

2.4 Analysis of the institutional context

A straightforward way to analyse the context in which participation takes place is by dividing the context into categories and asking diagnostic questions. Dietz & Stern (2008) distinguish two broad categories: People related and issue related. The issue related context encompasses the nature of the environmental issue, whether it is a decision-making process or an assessment and the state of the relevant science. People related context is about the agency responsible for organising participation, the laws and external organisations relevant for the decision and about the stakeholders' attributes.

The Institutional Analysis and Development framework (IAD) provides a more comprehensive way for the analysis of the institutional context. The IAD framework can be used to subdivide the institutional context into parts and to get an understanding of how these parts work together and how institutions influence the outcomes of a decision-making process (McGinnis, 2011; Ostrom, 2011). It is a widely used method to analyse (the context of) a decision-making process (Klok & Denters, 2002; Ostrom, 2011).

The IAD framework, shown in Figure 2, focuses on the so-called action situations that lead to interactions between people and outcomes of a process (Ostrom, 2011). Within an action situation, the behaviour of actors can be analysed. Within an action situation, sub action situations (e.g. for each participatory activity) can exist in which different institutions have an impact. Together this set of action situations forms the whole decision-making space of the procurement process. Ostrom, Gardner and Walker (1994) distinguish three categories of the institutional context that influence the action situation: Nature of the good, attributes of the community and the rules-in-use.

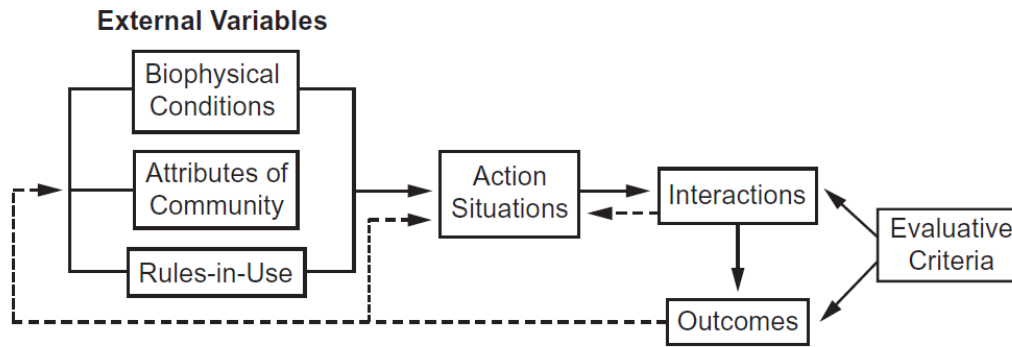


Figure 2: The Institutional Analysis and Development framework (Adapted from Ostrom, 2011).

The nature of the good (or biophysical conditions) is about how the world around a process affects the different parts of that process. The following definition is used: “How the world being acted upon in a situation affects the outcome, action sets, action outcome linkages, and information sets in that situation” (Ostrom et al., 1994). The nature of the good can for example be about the size and the duration of the concession.

Attributes of the community can be defined as: “All relevant aspects of the social and cultural context within which an action situation is located” (McGinnis, 2011, p.175). The community consists of all people involved in the decision-making process (including the public transport authority itself). Attributes of the community are for example trust in the transport authority or how well stakeholders are represented by the people that are involved.

The rules-in-use affect the whole process and sometimes only smaller parts. There are seven rule types: position rules, boundary rules, authority rules, scope rules, aggregation rules, information rules and payoff rules (McGinnis, 2011). The rule types that define the action situation are displayed in Table 4 and have been operationalised for analysing participation. Every rule influences a specific part of an action situation (see Figure 3). Boundary rules assign actors to positions that are defined by position rules. A certain position has the authority, defined by authority rules, to perform certain actions. Information rules specify which information is available to whom. Aggregation rules specify how the information is processed and how decisions are taken. The payoff rules specify how is dealt with the net cost and benefits of potential outcomes. Scope rules describe which potential outcomes are possible.

Table 4: The seven rule types (Coenen, 2009; Ostrom et al., 1994).

Rule types	Definition
Position rules	Describe which positions can be taken in a participatory process, such as municipal official, consumer organisation or citizen
Boundary rules	Describe how people are assigned to a certain position
Authority rules/ choice rules	Describe what authority a certain position has
Scope rules	Describe what the possible outcomes of a decision-making process are
Aggregation rules	Describe how information is processed and decisions are taken and by whom
Information rules	Describe which information is available and to whom
Payoff rules	Describe how to deal with the costs and the benefits of the participation process and the outcomes

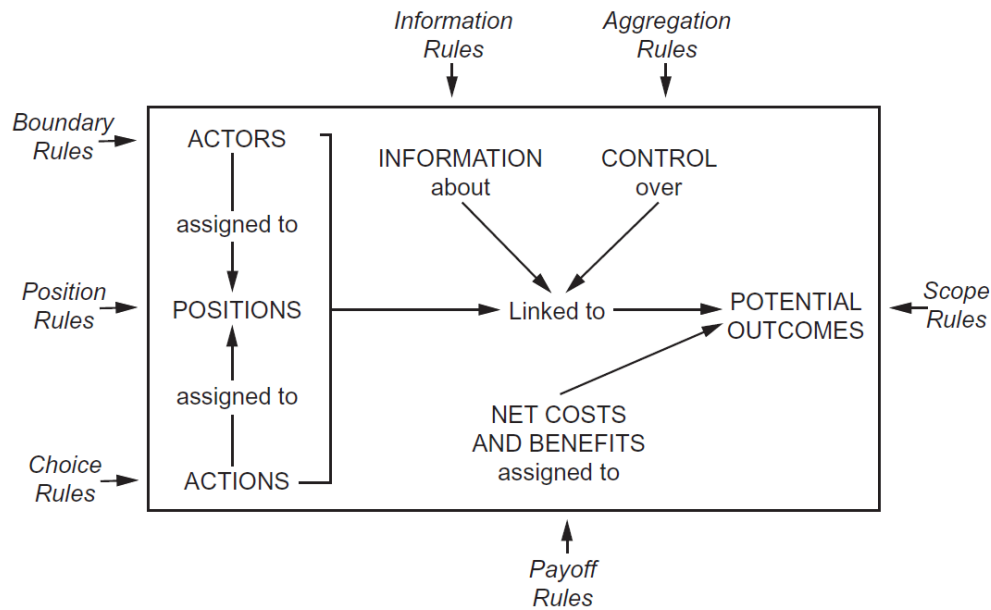


Figure 3: The type rules affecting specific parts of the action situation (Ostrom, 2011).

Together, these three categories of the institutional context can be used to analyse a bus concession procurement process. All three categories can influence participation. So, the Institutional Analysis and Development framework allows to better organise and analyse the institutional context that influences participation possibilities. The categorisation of the IAD better fits the purpose of this research than the people and issue related categorisations of Dietz and Stern (2008) since the procurement process is heavily institutionalised.

2.5 Conceptual framework

A conceptual framework was developed to analyse how the institutional context influences the participation dimensions inside an action situation. The conceptual framework combines the relevant parts of the IAD framework and the participation dimensions. These relevant parts are institutional context (or external variables) and the action situations. This research does not focus on the actual interaction of stakeholders and how this leads to outcomes of the process. So, these parts are not included in the framework. The conceptual framework can be found in Figure 4.

The conceptual framework consists of three elements. The three categories of the institutional context are shown on the left in green (first element). These three influence the action situation of the procurement process in blue (second element). In this research, the total procurement process is seen as the main action situation. Within the main action situation, multiple sub action situations can exist. Sub action situations are defined for each participatory activity to better describe how institutions influence participation. The three categories of the institutional context also influence the sub action situations that are within the main action situation. This influence is the same for all (sub) action situations of the procurement process. Rules-in-use can sometimes also only affect a specific sub action situation. This is depicted with separate arrows. The total process can be assessed using the participation dimensions in orange (third element). The participation dimensions are determined for the main action situation of the total procurement process using the questions in Table 2.

The theoretical concepts were operationalised for this research. Rules-in-use were already operationalised by using the definitions of Coenen (2009) (see Table 4). To limit the scope, payoff rules

are not examined in this research. The financial component is therefore not taken into account. Within the nature of the good, three categories are distinguished: the spatial scale, temporal scale and complexity. These are operationalised as follows. The spatial scale is about the size of the concession. The temporal scale is about the duration of the process and the duration of the concession. Complexity is about the complexity of the process. What kind of concession is developed (the possible outcomes of the process) is not described as the nature of the good, but described using scope rules. Attributes of the community are operationalised by using the people related and issue related aspects described by Dietz and Stern (2008). Attributes of the community can for example include the transport authorities willingness to implement participation and the trust of stakeholders in the transport authority. Diagnostic questions are used to find the relevant parts of the institutional context (see Appendix B. Diagnostic questions). These questions are for example about which positions can be distinguished (position rule) or if there are interested parties that have difficulty being represented (attributes of the community).

Taken together, the conceptual framework consists of action situations of which the main action situation of the process has participation dimensions and on which three categories of the institutional context work. Rules-in-use can also apply only for a specific sub action situation. This conceptual framework allows breaking up a procurement process into different parts to assess participation and to analyse what the influence is of the institutional context on participation possibilities.

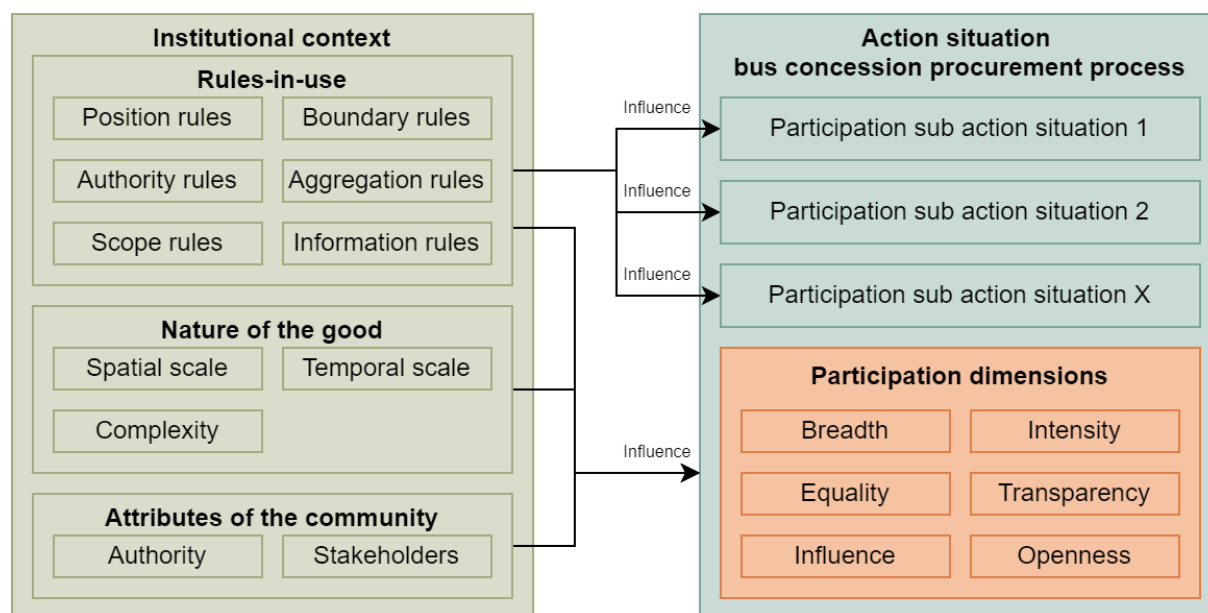


Figure 4: Conceptual framework

3 Method

In this chapter, the used method is described. Firstly, the general research strategy is presented and the case study research is described. Part of this is the explanation of how the two cases were selected and the introduction of the selected cases. In the second section, the data collection is explained. Data was collected through interviews and document analysis. The third section explains how the data was analysed and how the results were compared and validated.

3.1 Research strategy and case selection

Explorative case study research was used as the main research strategy. Case study research is especially useful when: “a ‘how’ or ‘why’ question is being asked about a contemporary set of events, over which the investigator has little or no control” (Yin, 2003, p. 9). Case study research is very useful for holistic research on a process. Using more than one case study will provide better results (Yin, 2003). Two cases of bus concession procurement were selected since this allowed exploring the cases in detail with multiple interviews per case. The used method was a hierarchic comparative case study in which the case studies are first separately investigated and finally compared. Since only two cases were researched, emphasis has been placed on the validation of results.

Explorative interviews were held to better scope the research. The first interviewee was a senior policy advisor of the province of Flevoland. The second interviewee was the stakeholder manager of the province of Utrecht. The results of the explorative interviews were used to determine which stakeholders were most relevant to interview.

Using a literature study, a conceptual framework was developed to evaluate the two cases. Case data were collected using a triangulation of case documents and interviews. Case results were compared from which conclusions were drawn. These results were validated with experts to generalise the results and to develop some recommendations on how participation should be organised in bus concession procurement.

The unit of analysis of this research was a procurement process from start till implementation of the bus concession. Emphasis was put on the phases that contribute and lead to the development of the program of requirements. These phases are most relevant for implementing principles of participation. The cases were selected using predetermined selection criteria. Since developing public transport takes multiple years, it was not possible to study a development process in execution and to study interventions in the process. Therefore, the focus was on recently finished decision-making processes.

The following criteria were used:

- The program of requirements phase had to be finished within the last 4 years before 2021. This was chosen to reduce the risk of people changing positions or jobs and to overcome the problem of people forgetting details about the process.
- All cases had to be tendered (this only excludes the concessions for the cities of Amsterdam, Rotterdam and the Hague).
- Documents and interviewees had to be sufficiently available.
- Cases had not to be developed by the same public transport authority and if possible not supported by the same consultancy firm.

- There had to be at least one case with novel participatory methods. Or there had to be a variety in the participatory methods among the cases.

Seven cases meet the first and second selection criteria. These are: Haaglanden Streek; Drechtsteden, Molenlanden en Gorinchem; Voorne-Putten en Rozenburg; Groningen-Drenthe; Gooi-Vechtstreek; IJssel-Vecht and Zaanstreek-Waterland. The cases of Groningen-Drenthe and Zaanstreek-Waterland best meet the third selection criteria, since many documents were online available that described the (participatory) process. IJssel-Vecht was not selected, since Zaanstreek-Waterland and IJssel-Vecht were supported by the same consultancy firm and since the project leader of the concession IJssel-Vecht supervised this research and would be involved in the validation session.

So, based on the selection criteria, two cases were selected: (1) Groningen-Drenthe and (2) Zaanstreek-Waterland. Characteristics of the two cases are shown in Table 5. The concession areas of the two cases are displayed in Figure 5, together with the other concession areas in the Netherlands.

The first case is the procurement process of the concession Groningen-Drenthe. The transport authority is the OV-Bureau Groningen-Drenthe, a common public body of the province of Groningen, province of Drenthe and municipality of Groningen. The OV-Bureau is responsible for revenues and has a developer role. Having the developer role is special since all other transport authorities in the Netherlands make this the responsibility of the operator. The OV-Bureau, together with the operator, improves the bus transport during the concession period. The concession Groningen-Drenthe covers the area of the provinces Groningen and Drenthe in the north of the Netherlands. Preparations for the tender already started in 2013. The last concession was extended two times by 2 years. A lawsuit has been filed against the last extension since the former bus operator wanted to be able to win the concession back. As a fallback scenario, the authority already started a new procurement process. The tender documents are based on the earlier developed documents and are updated. Albeit the process already started in 2013, the applied participatory methods and the unique scope of the process made it relevant to research the case of Groningen-Drenthe.

The second case is the procurement process of the concession Zaanstreek-Waterland. The concession Zaanstreek-Waterland is a merger of the separate concessions Zaanstreek and Waterland. The transport authority is the Vervoerregio Amsterdam, a common public body of 15 municipalities around and including Amsterdam. The Vervoerregio is next to Zaanstreek-Waterland also responsible for the concessions of Amsterdam and Amstelland-Meerlanden. The concession Zaanstreek-Waterland covers the area of the 8 municipalities above Amsterdam: Beemster, Edam-Volendam, Landsmeer, Oostzaan, Purmerend, Waterland, Wormerland and Zaanstad. The procurement process started in 2018 but has not been finished due to the COVID-19 pandemic. An updated program of requirements will be developed by the Vervoerregio. The new planned start date of the concession is December 2023 (Jacobs, 2020). The first process in which the development of the program of requirements is finished is studied. The application of multiple participatory methods made it relevant to research the case of Zaanstreek-Waterland.

Table 5: Case characteristics

	Case 1	Case 2
<i>Concession name</i>	Groningen-Drenthe	Zaanstreek-Waterland
<i>Transport authority</i>	OV-Bureau Groningen Drenthe	Vervoerregio Amsterdam
<i>Start date process</i>	2013	2018
<i>Concession duration</i>	December 2019 – December 2029	December 2021 – December 2031 (postponed)
<i>Contract value</i>	€100 million per year [DGD4]	€31 million per year [DZW6]

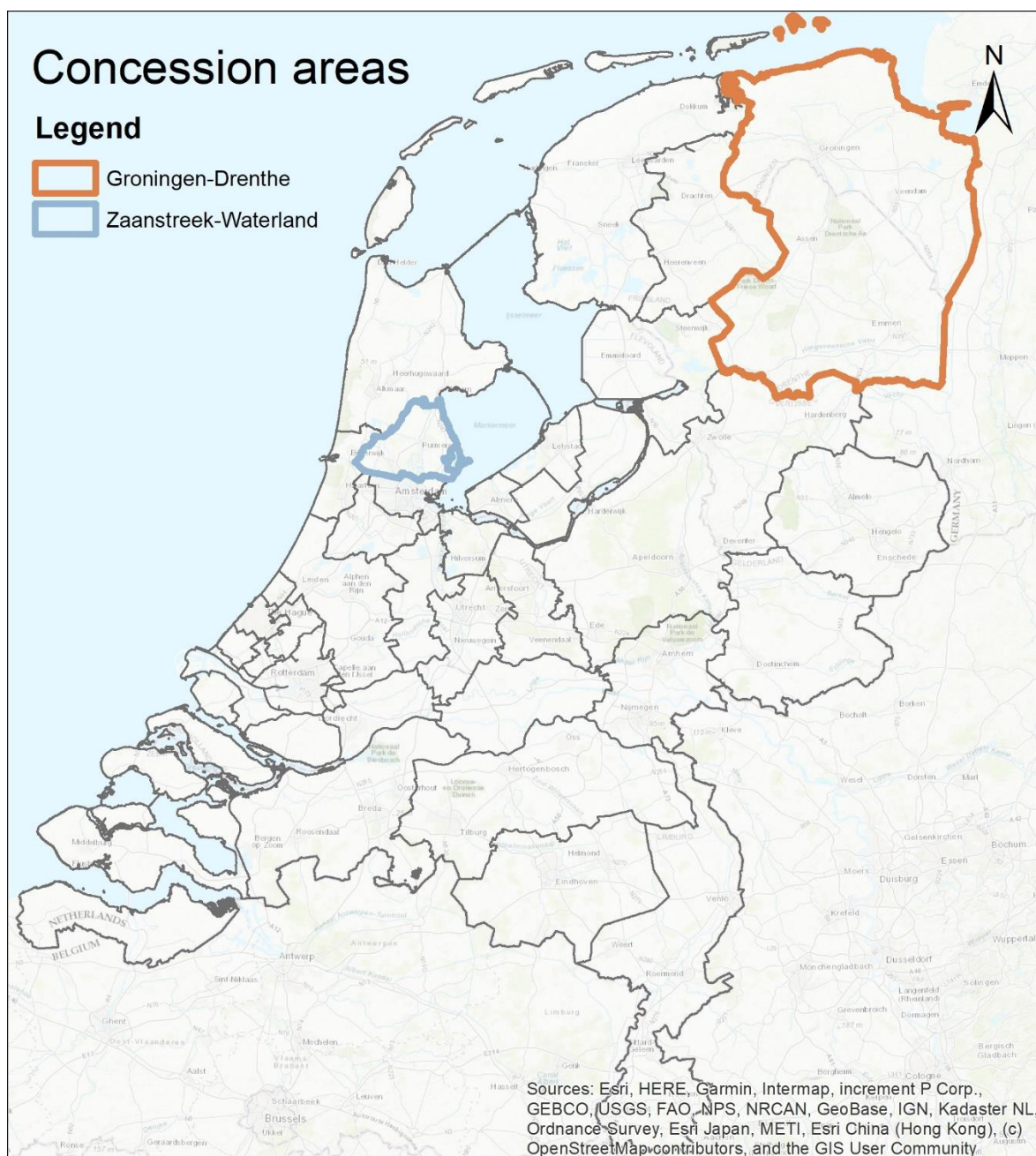


Figure 5: The two concession areas of the cases and other concession areas in the Netherlands (Shapefile data from Samenwerkingsverband van decentrale OV-autoriteiten (DOVA, personal communications, 25 October 2021)).

3.2 Data collection

Data were collected through interviews and document analysis. A total of eleven interviews were conducted. Per case at least two persons from the transport authority, two municipal officials and one person from the involved consumer organisations were interviewed. The officials from the transport authority were involved in the whole process and therefore had a complete overview of the process and most information. From preliminary research, it followed that consumer organisations and municipalities were the most involved external stakeholders. Per case, only two municipal key officials were interviewed, since municipalities shared the same interests. For both cases, the project leader was interviewed. The project leader also could provide information about the involvement of municipalities. Transport operators were not interviewed, since these were not involved through participation. Transport operators were only involved through market consultation. The list of interviewees can be found in Table 6. Prior to the interviews, the interviewees received a list of the main subjects of the interviews. All interviewees were available for an interview.

Table 6: List of interviewees

Nr.	Role (* = former)	Organisation	Case
GD1	Project leader	OV-Bureau Groningen Drenthe	Groningen-Drenthe
GD2	Key official	Provincie Drenthe	Groningen-Drenthe
GD3	Key official	Gemeente Groningen	Groningen-Drenthe
GD4	Key official	Gemeente Emmen	Groningen-Drenthe
GD5	Chairman	Consumentenplatform Groningen	Groningen-Drenthe
ZW1	Project leader*	Vervoerregio Amsterdam	Zaanstreek-Waterland
ZW2	Project team member*	Vervoerregio Amsterdam / Muconsult	Zaanstreek-Waterland
ZW3	Communication official	Vervoerregio Amsterdam	Zaanstreek-Waterland
ZW4	Key official*	Gemeente Zaanstad	Zaanstreek-Waterland
ZW5	Key official*	Gemeente Edam-Volendam	Zaanstreek-Waterland
ZW6	Chairman team Zaanstreek-Waterland*	Reizigers Advies Raad (RAR)	Zaanstreek-Waterland

Some interviewees did not work anymore at the organisation they worked for during the procurement processes. For Zaanstreek-Waterland, interviewees ZW1 and ZW2 both did not work at the Vervoerregio anymore. Therefore, a communication official was interviewed to get information on the current perspective of the Vervoerregio. Interviewees ZW4, ZW5, ZW6 were also not working at the organisation they worked for during the procurement process. At the time of the interview, interviewee ZW5 worked for the municipalities of Purmerend and Beemster and could therefore also provide some inside information of those municipalities.

Before conducting the interviews, interview protocols have been developed, one protocol for the interviews with the transport authority and one protocol for the interviews with the stakeholders. The interview protocols can be found in appendix C. The interview questions were developed based on the conceptual framework. The categories of the institutional context, the concept of action situations and the participation dimensions are the question themes. The diagnostic questions split these questions into smaller subjects. There were too many diagnostic questions to ask in an interview of an hour and the concepts were not all understandable for the interviewees. The interviews were semi-structured to allow interviewees to talk freely about the topics. Therefore, the diagnostic questions were translated to general questions with follow-up questions for the interviewer. This allowed asking fewer

questions (and letting the interviewees speak more) and to check whether all information had been required. Main questions can therefore cover multiple categories. The interviews were recorded with consent and were translated into interview reports. A report was chosen instead of transcription because this increases the readability and because it was not necessary to write down how interviewees provided their answers. After the interview, the report was sent to the interviewee and the interviewee could provide feedback on the report. Four interviewees provided feedback on the interview reports. They mostly give nuance to some of the statements.

Data from documents were used to complement the data from the interviews. These documents consist of publicly available documents about the procurement processes, the Wp2000 and the arrangements of the transport authorities. The used documents can be found in appendix A.

3.3 Data analysis and validation

The interview reports and documents were coded and analysed using Atlas.ti. The data were manually coded. Open coding was first used to uncover unexpected results not directly linkable to the theoretical concepts. In the second round of coding the conceptual framework was used. Codes were combined and reduced when possible. Labels were assigned to parts of the text consisting of multiple sentences. Through the label, the quotations were directly understandable without consulting the full text.

After the coding process, the data were manually analysed. Firstly, the data were analysed for the assessment of the participation dimensions of the two cases. The six participation dimensions defined in section 2.2 were determined using the corresponding diagnostic questions. The participation dimensions are the first element of the comparison. Secondly, the coded data is used to answer the diagnostic questions related to the action situations and the institutional context. The long list with diagnostic questions and the sources of the questions are presented in appendix B. The diagnostic questions narrow the focus on participation as it was not the goal to describe all elements of the procurement process. The results on action situations and the institutional context are the second component for the comparison. Lastly, the results of both cases were compared. From this comparison, conclusions were drawn on how the institutional context influences the participation dimensions in the public transport procurement process. The participation dimensions were plotted in a radial chart to allow visual comparison

The results were validated using a focus group. Four experts participated in the focus group (see Table 7). These experts were selected based on their scientific research and experience with procurement processes. Prior to the session, the experts received background information on the research and the slides used during the session. The goal of the session was to determine whether the results are generalisable and what the results imply for stakeholder management. The results of the session were used to compare the results of the cases with other cases in the Netherlands and to determine to what extent the cases are an example of the general practice or exceptions. The report of the focus group session was sent to the interviewees for feedback. The report was approved and some minor mistakes were addressed.

Table 7: List of experts of the focus group session

Nr.	Name	Organisation	Expertise
FG1	Wijnand Veeneman	Delft University of Technology	Governance of infrastructures
FG2	Didier van de Velde	Delft University of Technology / Inno-V	Public transport governance
FG3	Bart de Haan	Significant Synergy	Procurement and collaboration problems within construction, infrastructure and mobility
FG4	Edward Rosbergen	MuConsult	Project management in public transport procurement

4 Case study results

In this chapter, the results are presented. In the first section, the participatory process is characterised by the participation dimensions. Secondly, the results of the institutional characteristics that influence participation are presented. Finally, the cases are compared. The first two sections together answer research question two. The third section answers research question three. References to interviews and case documents are made in brackets.

4.1 The participatory processes

This section answers the first part of research question two: For selected bus concession procurement processes, how do they score on participation and how does the institutional context of bus concession procurement influence participation?. Here, per case, a description is given of the participatory process. For each participation dimension, two questions are answered to determine the value. The questions and the full score with justification can be found in Appendix D.

4.1.1 Groningen-Drenthe

Based on the analysis of interviews and documents, participation in the Groningen-Drenthe case was characterised by high openness, equality and transparency, a medium influence and intensity and a low breadth. Per dimension, a short explanation of the score is provided in Table 8. The analysis of the results indicates that the participation dimensions scores are determined by two participatory activities, not actively involving municipalities and the public and some general elements of the procurement process. These factors are explained below.

Two participatory activities had a particularly strong influence on the overall participatory process: A joint session with the council committees and the informal meetings with the consumer organisations. Firstly, at the beginning of the process, a joint session with the council committees of the three decentralised governments was held in which a so-called cheat sheet was used to explain all dilemmas. This session took place before the note of principles, the first formal document, was developed, resulting in high openness. Around 30 councillors of the two provinces and the municipality participated. That the councillors of the three decentralised governments met each other slightly adds to the participation dimension intensity. Different stakeholder groups did not meet in this meeting. The cheat sheet refers to the A4 that was used during the session. On the cheat sheet, 20 variables or dilemmas of the process were presented. Per variable, a maximum of three alternatives was shown. The participants were asked to choose between the alternatives. The answers were collected using remote controls, to allow everybody to answer [GD1]. The cheat sheet was developed by the project team of the OV-Bureau. They discussed the cheat sheet with other officials in the organisation and with the key officials of the three decentralised governments before the session with the council committees [GD3]. The aldermen were present as listeners. The joint session was the only moment the OV-Bureau involved the councillors. In all other cases, the project team communicated through the executive board of the OV-Bureau.

Table 8: Results participation dimensions Groningen-Drenthe

Dimension	Result	Score
Breadth	The public was not involved. Municipalities in the concession area (except for Groningen) were not actively involved and only consulted in writing [GD1; GD4]. External communication about the process was limited. The involved stakeholders were well informed [GD2; GD3; GD5].	Low
Openness	The process starts before the general policy was developed. All decisions were still open at the beginning of the process. The involved stakeholders were somewhat involved in the process design [GD2; GD3]. Suggestions that fit within the scope could be implemented.	High
Intensity	The Consumentenplatforms were well involved [GD5]. The three councils were only once involved through a participatory activity in which the councillors of the three decentralised governments met each other [GD1]. Stakeholders were involved per stakeholder group. All actively and not actively involved stakeholders could formally react to the PvE.	Medium
Influence	Only the OV-Bureau (executive) was involved in making the decisions. All stakeholders' interests were taken into account. The transport authority had to comment on all formal reactions. Deviations were explained.	Medium
Equality	A stakeholder analysis was executed at the start of the process [GD1]. The OV-Bureau involved all relevant stakeholders that followed from the stakeholder analysis. The three councils got the same information at the same moment [GD2; GD3]. During the process, the information stakeholders got could differ between stakeholder groups. Eventually, all stakeholders had access to the (concept) PvE.	High
Transparency	During the participatory activities, stakeholders got all information they needed to participate. The PvE provided all information for a formal reaction. There are no signs that participants did not know what would be done with their input.	High

Secondly, Consumentenplatform Groningen and Consumentenplatform Drenthe were involved through informal regular meetings. Both consumer organisations focused on problems in the corresponding province. The consumer organisations met in Assen in the same building as the OV-Bureau. There were meetings with both consumer organisations and individual meetings. The regular meetings of Consumentenplatform Groningen and Drenthe were attended by the OV-Bureau and sometimes also officials of the individual decentralised governments connected to the OV-Bureau [GD1; GD5]. Interviewee GD5 was happy with how the Consumentenplatforms were involved. The meetings with the Consumentenplatforms contribute to medium intensity.

Additionally, not involving municipalities and the public in the procurement process also contribute to the participation dimension scores (especially the breadth). Due to the scope of the procurement process, it was less interesting for municipalities to participate [GD1; GD4]. The scope of the procurement process allowed the OV-Bureau to not involve the public and to consult municipalities only in writing. The OV-Bureau could organise the process in this way since the OV-Bureau had the developer role and revenue responsibility. The OV-Bureau had a major role in developing the yearly transport plan. Municipalities were informed about the procurement process in meetings of other processes in which municipalities were involved and that ran parallel to the procurement process. In the process of developing timetables, municipalities were involved. In this process, municipalities were

also involving the public through neighbourhood associations. So, the breadth is low due to municipalities and the public not being actively involved in the process.

Next to particularities related to participation, some general elements of the procurement process are also contributing to the score of the participation dimensions. The formal participation moment encompassed reacting to the program of requirements. All tender documents were officially developed by the executive. Stakeholders were not part of the decision-making, hence the medium score on influence. The formal reaction possibility for all stakeholders and the public contributes to high equality and high transparency.

Taken together, in the Groningen-Drenthe case, two participatory activities and not involving municipalities are contributing to the low breadth, high openness and medium intensity. General elements of the procurement process result in medium influence, high equality and high transparency. These participation dimensions are the results for the first part of research question two.

4.1.2 Zaanstreek-Waterland

Based on the analysis of interviews and documents, participation in the Zaanstreek-Waterland case was characterised by high breadth, equality and transparency and medium openness, intensity and influence. Per dimension, a short explanation of the score is provided in Table 9. The results show that the participation dimensions were affected by three participatory activities and some general elements of the procurement process.

Table 9: Results participation dimensions Zaanstreek-Waterland

Dimension	Result	Score
Breadth	Different communication means were used to inform all stakeholders and the public [ZW3]. Moreover, anyone had the opportunity to fill out a survey (2000 respondents, <1% of the population) and a representative panel (500 persons) was used [DZW2].	High
Openness	Stakeholders were first involved after general policy already was developed but before relevant decisions were made. Stakeholders were not involved in the design of the (participation) process.	Medium
Intensity	Every stakeholder was involved per stakeholder group. Stakeholders did not meet each other. All stakeholders and the public could provide their opinion on the plans. Informally through the participatory activities and formally through a reaction on the program of requirements.	Medium
Influence	Stakeholders and the public were not part of the actual decision-making process. However, all stakeholders' interests were taken into account. The transport authority had to comment on all formal reactions according to the Wp2000. Deviations are explained.	Medium
Equality	All relevant stakeholders and the public were given opportunities to be involved [DZW2; DZW3]. During the process, some stakeholders had more information than others. Eventually, all stakeholders had the same information in the form of the (concept) program of requirements on which they could react.	High
Transparency	During the participatory activities, stakeholders and the public got all information they needed to participate. There are no signs that participants did not know what would be done with their input.	High

In the Zaanstreek-Waterland case, three participatory activities had a particularly strong influence on the participation dimensions: The serious game, sounding boards and survey. Firstly, the serious game was the participatory activity most stakeholders could participate in. The serious game was developed by an external company and played with all involved stakeholders at the beginning of the procurement process. The activity was initiated by a manager of the Vervoerregio who was inspired by the municipality of Almere which also used the serious game in their procurement process [ZW1]. The high breadth is partly explained by the involvement of all stakeholders and the public through the serious game. Involved internal stakeholders of the Vervoerregio are the executive, alderman of the municipalities, members of the Regioraad (the council of the Vervoerregio) and public officials. External stakeholders include the Reizigers Advies Raad (RAR, the meeting of consumer organisation), municipal officials and the public (who played a simplified online version). All stakeholders were involved in separate groups and did not meet each other resulting in a moderate intensity score. The serious game provided insight into the dilemmas in the procurement process and how the costs were connected to certain choices. Participants had to choose cards based on their preferences. The second step was to take the budget into account. In case of a budget overrun, the participant had to return some cards. The serious game caused stakeholders' commitment [ZW1]. The serious game was also a way of providing stakeholders with information about the dilemmas which allowed them to provide a better formal reaction.

Secondly, through sounding board sessions, the RAR and council members of the Vervoerregio were intensely involved. The Vervoerregio had set up two sounding boards. Five members of the RAR represented the whole RAR through a sounding board. Next to the introductory session in which they played the serious game, they met three more times with the Vervoerregio to discuss their wishes for the program of requirement [ZW6]. The Regioraad sounding board consisted of members of each of the eight municipalities. Purmerend and Zaanstad both had two representatives in the sounding board; the municipality Oostzaan was represented by Wormerland and Purmerend worked together with Beemster because of the planned merge [DZW1]. Next to discussing the contents and the process, the project leader could give a masterclass public transport to the sounding board members [ZW1]. Both the RAR and the Regioraad members were more than happy with the way they were involved [ZW1; ZW6]. The separate involvement of the two stakeholder groups contributed to the medium intensity. The involvement, in general, contributed to the high breadth.

Thirdly, the Vervoerregio involved the public through surveys, contributing to a high breadth. A promotional campaign has been set up to reach all public transport users. The survey was promoted using local newspapers, digital media, social media, screens in busses and through own means of communication such as newsletters and websites [ZW3]. There were 1978 respondents, less than 1% of the population [DZW2]. This does not seem much, but every resident was given the chance to participate. A panel (482 respondents) of an external company was used for a second survey [DZW2]. This panel was an average of the society and also included car users and people that don't travel. From the results of the survey, it followed that different public transport users were involved, such as commuters, business travellers, students and leisure travellers [DZW2]. The survey did ask about satisfaction, how people think about proposed measures and what people would propose themselves.

Lastly, there are some general elements of the procurement process contributing to the score of the participation dimensions. The formal participation moment encompassed reacting to the program of requirements. All tender documents were officially developed by the executive board of the

Vervoorregio. Stakeholders were not part of the decision-making, hence the score on influence. The Regioraad was asked for advice on the program of requirements. The formal reaction possibility for all stakeholders and the public contributes to high equality and high transparency.

Taken together, three participatory activities are contributing to the high breadth, medium openness and medium intensity. General elements of the procurement process are contributing to medium influence, high equality and high transparency. These participation dimensions of Zaanstreek-Waterland are the results for the first part of research question two.

4.2 Action situations and institutional context

Here, the results of the analysis of how institutions limited or enabled participation in the case studies are presented. Per case, first, the process structure is described using the concept of action situations. This process structure consisting of action situations shows how the participatory activities related to each other and the whole process. Thereafter, the three categories of the institutional context are described: Rules-in-use, nature of the good and attributes of the community. The results show how the institutional context affect the action situations. Together this answers the second and last part of research question two about how the institutional context influences participation.

4.2.1 Groningen-Drenthe

In this section, the procurement process of Groningen-Drenthe is described using the categories of the institutional context and the concept of action situations.

Participation action situations

In the process of Groningen-Drenthe, two relevant phases for participation can be distinguished:

1. The strategic phase in which the note of principles (NvU) was developed.
2. The program of requirements (PvE) phase in which the concept PvE was developed, the formal reaction could be provided and the final PvE was developed.

The results show that the process is characterised by many informal meetings prior to the formal reaction moment. The OV-Bureau was putting less weight on the formal reaction moment at the end of the second phase in two ways. Firstly, the OV-Bureau created all the extra participation action situations to informally discuss all dilemmas with the relevant stakeholders. From the interviews followed, the OV-Bureau has tried to get the three decentralised governments in agreement early in the process in the strategic phase [GD1]. After publishing the concept program of requirements there was no room for major changes and political intervention. All participatory activities have taken place in the first phase in which the note of principles was developed. According to interviewee GD1, with the early involvement, the OV-Bureau tried to prevent buzz around the formal reaction moment. Regular meetings continued in phase 2 in which eventually the formal reaction moment took place. The input of the participation was used in the first place for the development of the note of principles. The program of requirements was subsequently based on the note of principles. The second way in which the OV-Bureau put less weight on the formal reaction moment was by reducing the process scope. In the strategic phase, the scope of the procurement process was reduced and did not include developing lines and timetables. Due to the limited scope, fewer stakeholders were involved in the procurement process. This influences the created sub action situations.

The following sub action situations can be distinguished: An action situation for the combined session with the council committees, action situations for individual and combined sessions of the two Consumentenplatforms (CP), an action situation for the written input of municipalities, an action situation for the meeting with the trade union representative of CNV and De Unie (FNV was also asked, but did not send a representative), an action situation for the consultation of the councils on the NvU and an action situation for formal reaction moment on the PvE. There was no formal reaction moment on the NvU. However, stakeholders were consulted on the NvU and the councillors were provided with the option to react to the plans in the NvU [GD2; GD3]. The participation action situations and corresponding participants are shown in Table 10. These action situations show how the participatory process was structured within the whole procurement process. The reduced scope of the process

caused fewer stakeholders to be involved and therefore less sub action situations to be created. So, different sub action situations were created to involve the different stakeholders in the procurement process and to get stakeholders early in agreement.

Table 10: Participation action situations of Groningen-Drenthe.

Participation action situations	Participants
Combined session with council committees	The three council committees of the three decentralised governments, the executive board of the OV-Bureau, project team
Combined sessions with CP Groningen and CP Drenthe	CP Groningen, CP Drenthe, project team, key officials
Sessions with CP Groningen	CP Groningen, project team, key officials
Sessions with CP Drenthe	CP Drenthe, project team, key officials
Consulting municipalities in writing	34 municipalities in the region (without Groningen), project team
Meeting with trade union	One trade union representative (representing both CNV and De Unie), project team
NvU consultation councils	Three councils, key officials, project team
Reaction on PvE	All stakeholders, public, project team

Rules-in-use

The particular rules of Groningen-Drenthe are described here. Table 11 shows the most relevant rules-in-use that influence participation in the Groningen-Drenthe case. All researched rule types (pay-off is excluded) influence participation. How the rules influence participation is explained in more detail below.

Table 11: Influence of the rules-in-use for Groningen-Drenthe.

Rule type	Influence on participation
Scope rule	The process was not about the design of the network and timetables. This made the process less interesting for municipalities and the public. This rule has a high influence on participation.
Position + boundary rules	The OV-Bureau is a collaborative body of three decentralised governments and does not have its own council. The three governments were closely involved. However, the three councils have no formal position within the OV-Bureau. This places the politics further away from the procurement process. The alderman and deputies are accountable only to their own council.
Authority rules	<ul style="list-style-type: none"> Decisions are made by the executive board of the OV-Bureau. Stakeholders are therefore not involved in the decision-making. Municipalities can only provide written input. Consumer organisations had the authority to react to the program of requirements. This authority was provided by law. Neighbouring transport authorities also had this authority.
Information rules	<ul style="list-style-type: none"> Non-published documents are confidential. During the development of the documents, information provision is limited. Information was equally shared with the three councils. The councils got the same information at the same moment. The (concept) program of requirements was publicly available. This was the most complete source of information.
Aggregation rule	A unanimous decision is needed from the three administrators for establishing documents.

The most influential rule type in the procurement process of Groningen-Drenthe is the scope rule. In the strategic phase, the three decentralised governments involved with the OV-Bureau have chosen to place the developer role and the revenue responsibility at the OV-Bureau (as it was before) [DGD2; GD1; GD2; GD3]. Choosing this, the scope of the remainder of the process was limited since developing the bus network and timetables were no longer part of the process. A separate process existed for the development of the network and timetables. By scoping the process in this way, it became less interesting for municipalities and the public to be actively involved [GD1; GD4]. So, a scope rule can limit the participation process scope and therefore make the process less interesting for participants.

Another particularity is the position of the three decentralised governments with respect to the OV-Bureau. The OV-Bureau is a collaborative body of the province of Groningen, province of Drenthe and municipality Groningen [DGD1]. These three decentralised governments were the clients in the procurement process [GD1; GD2; GD3]. The OV-Bureau is an organisation of public officials with an executive board consisting of the aldermen and deputies. These administrators were accountable to the councils of their governments. The deputies and alderman of the three decentralised governments had all equal authority in the process [DGD1; GD2; GD3]. However, the municipality of Groningen, for example, was reluctant in the discussion about the accessibility of rural areas in Drenthe [GD2]. As the OV-Bureau did not have its own council, the three decentralised governments were the most important stakeholders for the project team [GD1]. However, the three councils have no formal position in the OV-Bureau and are therefore external stakeholders. The alderman of Groningen and the deputies of Groningen and Drenthe are only accountable to their own council. In contrast, the key officials of the decentralised governments work together with officials in the project team of the OV-Bureau. They were not in the project team but were closely involved. The key officials viewed the officials of the OV-Bureau as colleagues [GD2]. This made them almost internal stakeholders. Moreover, the collaboration caused the outcome of the process to be different than when only one decentralised government was the transport authority. According to interviewee GD2, the sustainability ambitions of the other two decentralised governments were higher, which caused the concession to score higher on sustainability than the ambition of the province of Drenthe. So, the way in which the transport authority is organised and how decentralised governments are connected to it influence how participation takes place and what the outcomes of the process are.

The municipalities in the concession area only had a small informal position in the process [DGD2; GD1]. Since municipalities were also local road operators, some alignment was needed. The municipalities were informed (e.g. in regular meetings of other processes with the province) and consulted in writing. The municipalities only had limited authority rules as they could only provide written input and react to the program of requirements.

Two municipalities had a somewhat different position in the process. Firstly, the position of the municipality of Groningen is special in comparison with all other municipalities. The municipality is one of the clients in the procurement process [GD2]. A long time, Groningen has been a client for the bus concession of the city [GD3]. Aside from the provinces, the municipality of Groningen is the largest decentralised government in the north of the Netherlands. Also, half of the population of the province of Groningen lives within the municipality of Groningen [GD3]. Groningen also has more than two times the population of the second-largest municipality (Emmen) in the concession area. Secondly, Emmen had an extra administrative consultation meeting with the director of the OV-Bureau and public officials. The municipality of Emmen did not want to be actively involved [GD4]. The municipality

could discuss their interests in the meetings of the separate process of developing the network and timetables [GD4]. So, the larger municipalities were more involved.

The Consumentenplatform Groningen and Consumentenplatform Drenthe were both closely involved in the process [GD1; GD5]. The Consumentenplatforms need to be consulted for the program of requirements. However, both were more involved than the Wp2000 prescribed. The regular informal meetings of the Consumentenplatforms were open to other stakeholders. Authority rules were however limited to providing reaction on the concept plans and eventually on the program of requirements.

The information rules of the process provide transparency of the process and equality for the stakeholders. The three decentralised governments worked together in sharing information with the councils [GD2; GD3]. The project team of the OV-Bureau processed all information and develops documents. Information was presented to the municipalities in a presentation. The most detailed information stakeholders got was the concept program of requirements, which was publicly available. Other concept versions of documents and plans were confidential.

The authority to make decisions was at the executive board [DGD1]. They made unanimous decisions about the tender documents (aggregation rule) [GD2; GD3]. The executive board decided on the note of principles. For this, they did need to know if they had political support. Therefore, the councils of the province of Groningen, the province of Drenthe and the municipality of Groningen were consulted [GD1; GD2; GD3]. So, the authority rule about decision-making limits the influence of other stakeholders.

So, in terms of the influence of the institutional context, the results show that for the Groningen-Drenthe case the rules-in-use have a direct influence on participation in bus concession procurement. Firstly, a scope rule caused the process to have a limited scope which influenced who was involved and what the outcomes of the process were. Secondly, how the transport authority was organised influenced how decentralised governments were involved and what the outcomes were. Thirdly, municipalities were not given a position in the process (except for Groningen). Fourthly, consumer organisations were involved in informal meetings but only had the formal authority to react to the concept program of requirements. Fifthly, information rules had a positive influence on transparency and equality. Lastly, authority rules limit the influence of stakeholders.

Nature of the good

In the Groningen-Drenthe case, the spatial scale, temporal scale and complexity of the process had only little to no influence on participation. The results are summarised in Table 12 and discussed in more detail below.

Table 12: Influence of the nature of the good for Groningen-Drenthe.

Nature of the good	Influence on participation
Spatial scale	The spatial scale was relatively large. Public transport in all municipalities around the city of Groningen focussed on the city. Explains the position of Groningen in the OV-Bureau. Spatial characteristics do explain the stakeholders' interests. The spatial scale has an indirect influence on the rules-in-use and attributes of the community.
Temporal scale	The concession duration does not influence participation. Changes in network and timetables can be implemented during the concession and are therefore not fixed during the concession period.
Complexity	The process had many elements but was perceived as understandable and clear. No influence was found.

The spatial scale of Groningen-Drenthe does not influence the participation possibilities in the procurement process. The concession area covered two provinces and at the time of the procurement process 35 municipalities. According to interviewee GD1 who was involved in developing the process, the spatial scale, including the number of municipalities, did not influence how stakeholders were involved in the process. However, spatial factors do explain some particularities of the case. A particularity of the concession area was that there was only one big city in the concession area: Groningen. The transport network was built in a star shape around Groningen. All places in Groningen and the north of Drenthe focused on Groningen. Additionally, half of the population of the province of Groningen lives within the municipality of Groningen. After the provinces, the municipality was the largest decentralised government in the north of the Netherlands. These factors, among others, explain the special position of the municipality of Groningen. In Drenthe, there were often more problems to tackle, since the area is more rural [GD5]. Public transport in Drenthe was more fragmented. This problem was less important in the procurement process than in the process of developing the network and timetables. Due to the reduced scope of the procurement process, the spatial scale does not influence participation. So, the spatial scale does not influence how participation is organised but does explain the special position of the municipality of Groningen.

According to the interviewees, the concession duration does not influence participation possibilities [GD1; GD2; GD3; GD4; GD5]. Since the OV-Bureau had a developer role, changes to the network and timetables could be made during the whole concession period. Consequently, the procurement process was not the process in which all major choices had to be made for the coming years. This means that the concession was more flexible and that the concession could be more easily adapted to future needs. Some choices were set for the coming ten years. Politicians could find this difficult. The duration of the process was long and some political changes occurred. New politicians were well involved. So, the effect of the temporal scale on participation possibilities is low since the public transport authority has the developer role and new politicians are well informed.

The interviewees indicated that complexity did not have a major influence on how participation was organised [GD2; GD3; GD4; GD5]. The process was complex but also structured. Some smaller municipalities looked at provinces for the more complex problems. Interviewee GD3 emphasizes that it is important to have officials that understand the procurement process. The municipality of Groningen had these officials. All dilemmas were explainable to the stakeholders. The stakeholders did not experience the process as complex [GD4; GD5].

In terms of influence of the institutional context on participation, the results indicate that, for the Groningen-Drenthe case, the nature of the good does not directly influence participation in bus concession procurement. It does, however, have an indirect influence on the rules-in-use and attributes of the community. Especially the spatial scale component of the nature of the good has an influence on which rules-in-use are in place and explains why stakeholders have certain attributes.

Attributes of the community

The analysis of the results indicates that the attributes of the community have a direct influence on the behaviour of participants in the procurement process. Attributes of the community are divided into two parts: Attributes of the transport authority and attributes of the stakeholders (and public). An overview of the results is presented in Table 13. First, the influence of the attributes of the transport authority is explained. Secondly, the influence of attributes of the stakeholders is presented.

Table 13: Influence of the attributes of the community for Groningen-Drenthe.

Attributes of the community	Influence on participation
Authority	<p>Attributes positively affecting the transport authority's willingness to implement principles of participation:</p> <ul style="list-style-type: none"> ▪ The pooling of knowledge ▪ View on collaboration and creating trust ▪ Balanced decision-making ▪ Open attitude to public initiatives ▪ The developer role
Stakeholders	<p>Municipalities in the concession area:</p> <ul style="list-style-type: none"> ▪ Trusted the OV-Bureau and did not feel the need to participate. ▪ Have low in-house knowledge of public transport (procurement). <p>The involvement of the consumer organisations is influenced by:</p> <ul style="list-style-type: none"> ▪ Their trust in the OV-Bureau ▪ The missing representation of commuters and, to a lesser extent, students ▪ Their active role ▪ The place of residence of the members ▪ Their limited capacity to deal with complaints.

Attributes of the transport authority

Five factors are found that influence the OV-Bureau's willingness or ability to implement principles of participation. The first three factors are related to the fact that the OV-Bureau is a joint collaborative body of three decentralised governments. The last two are generally applicable on the (project team of the) OV-Bureau.

The first factor is that the OV-Bureau induces pooling of knowledge [GD1; GD2; GD3]. According to interviewees GD1, GD2 and GD3, before the establishment of the OV-Bureau knowledge was fragmented between the three decentralised governments. The OV-Bureau has brought officials of those governments together. The OV-Bureau has a higher capacity for dealing with the procurement process and participation than the three separated governments had.

The second factor is that the OV-Bureau views collaboration and creating trust as important [GD1]. Stakeholder management is the task of every official at the OV-Bureau as there is no single stakeholder

manager. The project leader does not view participation as an addition to the existing process but sees it as an integral part of the process [GD1]. The transport authority thinks that it is important to create trust among the stakeholders. Creating trust is as important as talking about the details. With the early involvement, the transport authority tried to create more trust [GD1].

The third factor is that there was no single responsible administrator that can self-determine the process course [GD1; GD2]. Decisions were made by two deputies and one alderman. They had to discuss with each other and had to agree. Decisions were made unanimously. This gave all three governments an equal position. According to the official of the municipality of Groningen, it could sometimes feel as if the municipality had a little less influence than the two provinces [GD3]. The municipality was a smaller government and did not contribute to the extra costs of the public transport, which were paid by the provinces. However, in the end, all three administrators had to agree. There were some political differences, but these do not influence the way of working of the OV-Bureau [GD2].

The fourth factor is that there was an open attitude against public initiatives. The public was not actively involved in the procurement process. If a resident with a great idea had contacted one of the governments or the OV-Bureau, the resident probably was invited for a meeting with coffee [GD3].

The fifth factor is that the developer role of the OV-Bureau enabled to take all stakeholders interests into account [GD1]. A bus operator would only optimise bus transport within the dimension of the company and would want to make a profit. The OV-Bureau wanted to take into account all interests [GD1]. This did not mean that all interests can be granted.

It was also found that the responsibilities of the OV-Bureau were limited to bus and taxi transport only. The whole organisation was focusing on developing good public transport for the users. Developing bus transport was the main focus. However, a clear influence of this attribute on participation is not found.

So, in terms of the influence of the institutional context, the results indicate that attributes of the transport authority influence participation for the Groningen-Drenthe case. The pooling of knowledge, Viewing trust and collaboration as important, having multiple administrators responsible for decision-making, the open attitude toward public initiatives and having the developer role contributed to the OV-Bureau being able to better organise participation.

Attributes of the stakeholders

Based on the interview and document analysis, attributes of two stakeholder groups are found influencing the participatory process: The municipalities in the concession area and the consumer organisations.

Municipalities in the concession area did not feel the need to participate based on some of their attributes [GD1; GD4]. Other municipalities than Groningen were not actively involved in the process. Part of the reason is that the procurement process was not about the network and timetables. The view of the official of Emmen was that the procurement process was about the colour of the busses and that after the procurement process the more important aspects were discussed [GD4]. In the separate process of developing the network and timetables municipalities were more involved. The political colour of Emmen also caused the municipality to be somewhat reserved about public transport [GD4]. Some municipalities were small and had low in-house knowledge about public

transport [GD3; GD5]. The municipalities trusted the OV-Bureau and the provinces of taking good care of the procurement process.

The involvement of the consumer organisations was influenced by their trust in the OV-Bureau, the missing representation of the commuter, their active role, the place of residence of the members and their limited capacity to deal with complaints. This especially followed from the interviews with the OV-Bureau [GD1] and Consumentenplatform Groningen [GD5]. The first attribute is that there was mutual trust. The consumer organisations had very good informal relations with the OV-Bureau [GD1; GD5]. The regular meetings were informal. The project leader has been the chairman of Consumentenplatform Groningen for a couple of years. He regularly was present at their meetings. They had a very good informal relationship [GD1; GD5]. The meetings of the consumer organisations were also open to other stakeholders. The chairman of Consumentenplatform Groningen thinks that the relation was sometimes even too informal and that they should maybe focus a little bit more on the formal moments [GD5]. That there was mutual trust did not mean that the project leader of the OV-Bureau was happy with the composition of the consumer organisations. The Consumentenplatforms consist of smaller consumer organisations, for example, the Fietzersbond. The second found attribute is that the consumer organisation did not represent commuters. According to the project leader, this was a shortcoming [GD1]. Next to commuters, students were also sometimes underrepresented. The OV-Bureau tried to solve this missing representation by using a public transport users panel. In this panel, public transport users could provide their opinion on the plans of the OV-Bureau. The third attribute is the active role. The Consumentenplatform Groningen actively addressed problems they saw [GD5]. They approached a municipality that was planning to make road adjustments possibly negatively impacting public transport. The consumer organisation also contacted the media to create attention to a problem [GD5]. They had an active role mostly in the process of developing the network and timetables and to a lesser extent in the procurement process. The fourth attribute is that the focus of a consumer organisation was sometimes depending on the place of residence of the members [GD4]. Three members of Consumentenplatform Drenthe lived in Emmen causing the consumer organisation to focus more on Emmen and its own experienced problems. The fifth and last attribute is the limited capacity. The consumer organisations were small and had therefore limited capacity [GD5]. Complaints about the public transport brand were dealt with by the OV-Bureau and the operator. The consumer organisations were informed about how the OV-Bureau had dealt with complaints. They got the opportunity to say something about the complaint and the reaction.

So, taking together, the attributes of the stakeholders influence participation. The attributes of the municipalities made them behave reservedly in the process. The Consumentenplatforms had trust in the OV-Bureau, did not represent commuters and, to a lesser extent, students and had an active role. The place of residence of the members of the Consumentenplatforms influenced their focus. Also, the Consumentenplatforms had limited capacity to deal with complaints. The attributes of the Consumentenplatforms had an influence on their behaviour in the process.

4.2.2 Zaanstreek-Waterland

In this section, the procurement process of Zaanstreek-Waterland is described using the categories of the institutional context and the concept of action situations.

Participation action situations

The procurement process of the Vervoerregio Amsterdam was a continuous process with a focus on developing the program of requirements and the accompanying tender documents. The procurement process of Zaanstreek-Waterland started after the general policy development of the Vervoerregio for the whole region and ended before the implementation of the new concession. The following process phases are found relevant to be distinguished:

1. Developing procurement strategy and developing a concept program of requirements (PvE)
2. Formal reaction on concept PvE and development of final PvE

Participation took place in phases 1 and 2. Most informal participation took place in phase 1 as input for the concept program of requirements. The procurement strategy is a run-up to the program of requirements [ZW1]. Some informal participation continued in phase 2. The formal participation, reacting to the program of requirements, took place in phase 2. Through participation, input is provided especially on the procurement strategy and program of requirements and almost not on the other documents.

From the analysis of the different participatory activities, multiple sub action situations can be distinguished (see Table 14) [DZW3; ZW1; ZW2]: Action situations for the public survey, panel survey, sounding board sessions with the RAR, sounding board sessions with the Regioraad, the serious games, simplified online serious game and the formal reaction. The transport authority has chosen to involve stakeholders per group resulting in multiple separate but somewhat similar action situations. Stakeholders do not meet each other during participation activities [ZW1; ZW2]. In the sub action situations, different position and boundary rules apply. For the same activities (surveys, sounding boards and serious games) the same general rules are in place. To summarize, the process has two phases in which multiple sub participation action situations can be identified created by the separate involvement of stakeholder groups.

Table 14: Participation action situations of Zaanstreek-Waterland.

Participation action situations	Participants
Public survey	Public, consultancy firm, project team
Panel survey	Panel members, consultancy firm, project team
Sounding board sessions RAR	RAR (werkgroep ZW), project leader
Sounding board sessions Regioraad	Regioraad representatives of the municipalities, project leader
Serious game sessions	Participant group (alderman, sounding board RAR, sounding board Regioraad or public officials), consultancy firm, project team
Simplified online serious game	Public (that took part in the public survey), consultancy firm, project team.
Reaction on PvE	All stakeholders, public, project team

Rules-in-use

The analysis of the data shows that all researched rules-in-use influence participation in the procurement process of Zaanstreek-Waterland. Table 15 shows the most relevant rules-in-use that influence participation in the Zaanstreek-Waterland case. How the rules-in-use influenced the case is described in more detail below.

Table 15: Influence of the rules-in-use for Zaanstreek-Waterland.

Rules-in-use	Influence on participation
Position + boundary rule	The process was characterised by 11 positions. The municipalities had a special position to the Vervoerregio.
Authority rules	<ul style="list-style-type: none"> ▪ The authority to make decisions was at the executive board of the Vervoerregio. ▪ The RAR had the formal authority to react to the program of requirements. This authority was provided by law. Neighbouring transport authorities also had this authority.
Scope rule	The outcomes of the participatory process needed to be requirements that could be written down in the program of requirements.
Aggregation rule	The project team was responsible for developing the procurement documents.
Information rules	<ul style="list-style-type: none"> ▪ Non-published documents are confidential. ▪ The (concept) program of requirements was publicly available.

The process is characterised by eleven positions. The relevant internal positions are the executive board (Dagelijks Bestuur), the aldermen for traffic and transport, the regional council (Regioraad), managers, the project leader, the project team and the officials of the Vervoerregio [ZW1; ZW2; ZW3]. The relevant external positions are the municipal councils, the municipal officials, the RAR and the public [ZW1; ZW2; ZW3; ZW4; ZW5]. Parts of the municipalities are internally involved since they were represented in the Vervoerregio [DZW4]. Municipal councillors who were not in the Regioraad and municipal public officials had also to be involved. Particular for this case is that no province had a formal position in the development. The province of Noord-Holland had no influence on traffic and transport within the Vervoerregio. The Province of Noord-Holland only had a position of neighbouring transport authority [ZW1]. The Vervoerregio was obliged by the Wp2000 to align policies with the neighbouring concessions. So, the process had many internal and external stakeholders of which municipalities had a special position.

A combination of position and boundary rules create a special position for the municipalities within the concession area. This is explained by the fact that the Vervoerregio is a collaborative body of fifteen municipalities [DZW4]. This provides the municipalities with direct formal influence in all projects of the Vervoerregio. Using position and boundary rules, the municipalities had given themselves a position within the Vervoerregio. The aldermen of the municipalities and some councillors of the municipalities can exert influence through the Vervoerregio. All aldermen for traffic and transport of the municipalities had a position through their own meeting, the so-called portefeuilehoudersoverleg [DZW4; ZW1; ZW3]. Some municipalities had even more influence through their alderman [ZW4]. The executive board of the Vervoerregio consisted of three aldermen for traffic and transport, one of Amsterdam, one of the Amstelland-Meerlanden area (currently the alderman of Haarlemmermeer) and one of the Zaanstreek-Waterland area (currently the alderman of Zaanstad) [DZW4; ZW2]. Through the alderman, the municipality of Zaanstad had an extra possibility of getting information and influencing the process. Some councillors of the municipalities had a position in the Regioraad, the council of the Vervoerregio. Therefore, politics are closely involved with the development of public transport by the Vervoerregio [ZW1; ZW2]. The Regioraad consisted of representatives of the fifteen municipalities. The number of representatives per municipality was based on the population of the municipality [DZW4]. Therefore, the municipalities of Zaanstad and Purmerend had more influence in

comparison to the other six municipalities within the concession area. The representatives were chosen by the municipalities themselves and were in general councillors of the municipalities, but could also be aldermen or mayors [DZW4]. Amsterdam had the most representatives with ten councillors and the alderman in the Regioraad. That aldermen were also in the Regioraad means that there was no dualism. This is in contrast to Dutch municipalities and provinces where there is a division between the legislative and executive government branches. Additionally, due to the structure of the Vervoerregio, the seven other municipalities outside of the concession area also had some formal influence in the process [DZW4]. Especially the municipality of Amsterdam was an important stakeholder [ZW1].

The analysis of the interviews shows that the RAR was informally involved but had limited authority to influence the plans [ZW6]. The RAR consists of representatives from different consumer organisations. To be part of the RAR, one first needs to be a representative of a consumer organisation that is in the RAR. The RAR had a formal position in the process. The Wp2000 states when the RAR should be involved by the transport authority. Technically, only involving them in the formal reaction on the program of requirements would be enough. The Vervoerregio did involve the RAR more than the law prescribed [ZW1; ZW2]. Through the sounding board, the RAR was intensely involved [ZW2; ZW6]. The members could obtain information, share information and gain new knowledge about the concession and the process.

The authority to make decisions was at the executive board consisting of three aldermen [DZW4]. Officially the Regioraad, consisting of municipality representatives, is seen as the most important governing body. The documents of the procurement process are officially established by the executive board and the Regioraad is only consulted [ZW1; ZW2]. The Regioraad did decide on the policy document on which the procurement documents are based. The Regioraad does have the political tools to influence the process. Other authority rules specify that all stakeholders and the public can provide a formal reaction to the program of requirements.

Aggregation rules in the procurement process prescribe that the executive of the Vervoerregio is accountable for the outcomes of the process phases [DZW4]. This work is delegated to the project team who develops the documents. The political responsibility for the documents is at the executive. Only the project team is working on the actual procurement documents.

That the procurement process starts after general policy already has been developed is a consequence of the scope of the process [DZW5; ZW1; ZW2]. In the procurement process, work is done to reach the final milestone of developing a program of requirements. A procurement strategy is written first. The main participatory activities take place before publishing the concept program of requirements. The outcomes of the participatory process are all used as inputs for the procurement strategy and concept PvE [ZW1; ZW2]. The scope of the process makes it impossible to take individual wishes into account.

Information was officially provided by publishing the concept program of requirements [ZW1; ZW2]. The program of requirements was a public document on which all who want could react. The council discussed also the procurement strategy. Everything that has been said in a council or committee meeting is public. Other stakeholders and the public could therefore get information about the process.

During the participation, there were some extra rules-in-use. The project team provided the sounding boards of the Regioraad councillors and the RAR with information about the dilemmas so that the

councillors and RAR members could better take positions during the formal moments [ZW1; ZW2]. The sounding boards got also pre-published information for which they had to sign a confidentiality agreement [ZW1; ZW6]. The sessions provided the RAR and the Regioraad with extra possibilities to provide input. The sounding boards had the authority to react to the presented plans and to provide information. The sessions were also a way of providing the RAR and Regioraad with more knowledge on public transport in general and the procurement process [ZW1]. When a certain wish or requirement was shared by the different stakeholders, the project team would take this into account in the concept program of requirements.

The Vervoerregio developed the survey and therefore largely determined what the scope of the survey was [ZW2]. There was also room for open answers and input from the public. The participatory activities did not provide stakeholders with new aggregation rules. It remained the executive who was responsible for developing the outcomes of a process phase. There is, however, an extra created position between the public and the project team. The written input of the public was aggregated by the consultancy firm Inno-V [DZW2]. The outcomes of the survey were summarised in a report which was discussed with the sounding boards of the Regioraad and the RAR. The project team reports the results of the participatory activities to the executive board and explains how the input is processed into the tender documents.

Considering the influence of the institutional context of the Zaanstreek-Waterland case, it is found that the rules-in-use have a direct influence on participation. Many internal and external stakeholders were provided with a position in the process. Municipalities had a special position to the Vervoerregio. Aldermen and (some) councillors had a position within the Vervoerregio. The authority to make decisions was at the executive board consisting of aldermen of Amsterdam, Haarlemmermeer and Zaanstad. The executive board only had the authority to develop the procurement documents. During the participatory activities stakeholders (including the RAR) could obtain information, share information and gain new knowledge. The public was given the authority to provide input through the survey. Information rules restrict information provision to stakeholders. Eventually, the program of requirements is published and publicly available.

Nature of the good

In the Zaanstreek-Waterland case, the spatial scale, temporal scale and complexity of the process had only little to no influence on participation. The results are summarised in Table 16 and discussed in more detail below.

Table 16: Influence of the nature of the good for Zaanstreek-Waterland.

Nature of the good	Influence on participation
Spatial scale	The spatial scale was relatively small. Public transport in all municipalities focussed on Amsterdam. The spatial scale explains the position of Amsterdam in the Vervoerregio. Spatial characteristics do explain the stakeholders' interests. The spatial scale has an indirect influence on the rules-in-use and attributes of the community.
Temporal scale	The concession duration limits changes during the concession. Major decisions are fixed during the concession period. This was found difficult for a single municipality that was developing new land-use plans for the coming years. The temporal scale has a small influence on participation.
Complexity	The process had many elements but was perceived as understandable and clear. No influence was found.

The spatial scale of Zaanstreek-Waterland is relatively small for Dutch bus concession areas. The area is located directly above and adjacent to Amsterdam. The new concession Zaanstreek-Waterland is developed to replace the two separate concessions, Zaanstreek and Waterland [ZW1; ZW2]. This follows the general trend in the Netherlands of enlarging concessions to make them financially attractive for operators. The transport authority is a regional collaborative body of municipalities, making it a regional product developed by and for the region. The smaller scale of the Vervoerregio in comparison to a province makes it more understandable where the procurement process is about [ZW1]. Within the Vervoerregio interests are more the same and municipalities have shared problems. The spatial scale makes it possible to approach the municipalities in the area as one group. In Zaanstreek-Waterland all main lines are directed from and to Amsterdam. Bus transport plays an important role in the accessibility of Amsterdam. Therefore, the municipality of Amsterdam is an important stakeholder. From the interviews, it follows that the size of the concession area did not play a role in how the process was organised. One interviewee mentioned that the same participation methods could be used when the concession would cover a smaller area and or had a shorter concession duration [ZW2].

The temporal scale of the process is one to two years and of the concession ten years [DZW6; DZW7]. It was a relatively short process since the general view of the Vervoerregio was that the public transport users were satisfied with the public transport in the region and therefore no big changes were needed [ZW2]. About the concession duration: During the concession period, no major changes can be easily made. Only minor changes, such as changing stop times or a bus more or less can be implemented. For major changes, the transport authority has to negotiate with the operator. From the interviews, it follows that the process duration is not an important factor [ZW2; ZW4; ZW5; ZW6]. The duration of the developed concession can cause some political discomfort [ZW2]. The project team discusses the duration of the concession with the stakeholders and indicate that changes to the concession cannot be made in the first years of the concession. Interviewee ZW5 indicates that for the municipality of Purmerend, the long concession time is inconvenient since the municipality is planning to build new houses within the city and new neighbourhoods. The possible 15 years duration of the concession is a long period to fix the general features of the network [ZW5]. During previous concessions, often only small changes were made to the bus network. The temporal scale is only something for the project team to keep in mind and to be transparent about towards stakeholders.

The process was complex, but also very structured. The complexity arose from the procurement regulations. The phases and milestones of the projects were natural communication moments [ZW3]. The process was clear and understandable. The difficult and technical processing of all information is done by the transport authority. The interviewed municipalities and the consumer organisation did not experience the process as complex [ZW4; ZW5; ZW6].

To get back to the influence of the institutional context on participation, the nature of the good only has an indirect influence through the rules-in-use and attributes of the community. The spatial scale of Zaanstreek-Waterland was small and did not influence participation. The temporal scale, more specific the concession duration, causes the process to be less flexible. One interviewee mentioned this as a small difficulty. The process was not experienced as complex.

Attributes of the community

The attributes of the community influence the willingness of the Vervoerregio Amsterdam to implement principles of participation. The summarized results can be found in Table 17. The attributes of the community are divided into two parts: Attributes of the transport authority and attributes of the stakeholders (and public). These are discussed in more detail below.

Table 17: Influence of the attributes of the community for Zaanstreek-Waterland.

Attributes of the community	Influence on participation
Authority	Attributes positively affecting the transport authority's willingness to implement principles of participation: <ul style="list-style-type: none">▪ Their view on participation▪ Their general project approach▪ The experience of the project leader▪ The division of tasks in the project team▪ The available resources There was no experience with involving stakeholders in the design of the process.
Stakeholders	Municipalities in the concession area had the same interests and could be involved as one group. They had trust in the Vervoerregio. Small municipalities had low capacity to deal with the procurement process. The RAR did not represent commuters, had difficulty finding good people and focussed on accessibility.

Attributes of the transport authority

Part of the attributes of the community is the willingness or ability of the Vervoerregio to implement participation. Six factors are found that influence the Vervoerregio's willingness or ability to implement principles of participation.

The first factor is that the view of the Vervoerregio is that involving the public and stakeholders is important. The Regioraad, the regional council, put forward a motion to involve the municipalities and the public early in the process [DZW3; ZW3]. Through the motion, the councillors express the importance of involving the public and stakeholders. The public officials also had the view that it is important to work together. Interviewee ZW3 stated that the Vervoerregio thought that participation is important. Interviewee ZW1 thought that it was important to consult the public through a survey since the office of the Vervoerregio is outside the concession area and in Amsterdam.

The second factor is the general project approach in which a plan of action was developed and determined how and if the public and or stakeholders should be involved [ZW3]. This general approach was also applied in other projects such as road infrastructure projects.

The third factor is the experience within the concession area of the project leader. The project leader was experienced in the region, since he had worked at the municipality of Zaanstad before [ZW1; ZW4; ZW5]. At the municipality of Zaanstad, he was the official responsible for traffic and transport. In that role, he had experienced two procurement processes for the region Zaanstreek. He, therefore, knew the municipalities in the region and their problems.

The fourth factor is the organisation of the project team and the roles of the team members. Organising participation was a task for the whole project team. The project leader was also the

stakeholder manager [ZW1]. Interviewee ZW2 was involved in developing the survey. Interviewee ZW3 was involved with the communication of the survey. Next to organising participation, all team members had other tasks. Interviewees did not mention that they had too little time for the tasks related to participation.

The fifth factor is that the transport authority was not used to involve stakeholders and the public in the design of the process. The project team took the initiative to design the process [ZW5; ZW6]. Stakeholders and the public were not involved in the design of the process, except for the Regioraad. The councillors had put forward a motion to ask for good involvement of the public. The interviews do not show that the transport authority was negative about involving stakeholders in the design of the process. Developing the procurement process was a common practice for the transport authority. It is legally the party to procure and therefore develop the process. The council of the Vervoerregio could also provide input on the design of the participatory process. So, the project team had to listen carefully to the internal stakeholders in the design of the process. The project team was responsible for how the participation was organised. Stakeholders and the public did not provide input on how participation should be organised (e.g. using a serious game or another participation method) [ZW1].

The sixth factor is that the transport authority had sufficient resources. The transport authority had a communication department [ZW3]. The Vervoerregio could invest money in organising participation. The authority also used external support from a consultancy firm [ZW2]. The consultancy firm had knowledge on executing the serious game.

So, taking together and considering the influence of the attributes of the community, the Vervoerregio was able to organise participation due to their view on participation, their general project approach, the experience of the project leader, the division of tasks in the project team and the available resources. One limiting factor was found, which is having no experience with involving stakeholders in the design of the process.

Attributes of the stakeholders

In general, it can be said that there is a discrepancy between what the transport authority and experts know about public transport and what politicians and consumer organisations know about public transport [ZW1]. There can also be politicians involved that don't use public transport themselves. Some stakeholders already had some (local) detailed knowledge at the start of the process. The remaining attributes of the stakeholders and the public are discussed per group.

Municipalities have less need to organise public or stakeholder participation themselves since the transport authority is already responsible for this. This is recognized by the public officials of the municipalities [ZW4; ZW5]. Councillors of the municipalities can sometimes think differently. In Purmerend and Zaanstad, councillors have made a motion that the public should be involved through their own surveys. Interviewee ZW4 did advise the alderman to not conduct a survey next to the survey of the Vervoerregio. Under the pressure of the council, the alderman decided to conduct a separate survey for the municipality of Zaanstad. Besides, ZW4 states that it is important for the municipality to be involved in the process. Smaller municipalities have a limited number of public officials available for being involved in the procurement process [ZW5]. The municipalities in Zaanstreek-Waterland do share the same problems and can therefore be involved as one group in the process. They have trust in the Vervoerregio.

The attributes of the consumer organisations are their internal organisation, the missing representation of commuters, the over-representation of socially impaired public transport users. The consumer organisation is called Reizigers Advies Raad (RAR) and was involved in the process mainly through a sounding board consisting of 5 members. The RAR is a meeting of smaller consumer organisations such as the Fietzersbond, Rover and a senior association. The representatives in the sounding board are responsible for consulting the people they represent. The RAR does not look after this. It is difficult to find suitable representatives for the RAR. A member of the RAR has to find a successor when the member wants to stop. It is often difficult to find a successor, especially for smaller associations such as the senior and impaired associations. The second important attribute is that the commuter is not represented in the RAR. Interviewee ZW6 explains that commuters work during the day and are not interested to take a seat in a discussion group. Another explanation is that the RAR meets from 16:00 to 20:00 and that you only get a small compensation. The view of interviewee ZW6 is that the commuter is satisfied when it is possible to travel fast from A to B. The third attribute is the over-representation of socially impaired public transport users. There are often representatives at the table who are blind or in a wheelchair. A factor that makes it easier for the RAR to be informally involved is that they meet in the same building as the Vervoerregio.

Altogether, the attributes of the stakeholders influenced the behaviour of stakeholders in the procurement process. In general, stakeholders had less knowledge about public transport than the experts had. The municipalities had the same interests and could therefore be involved as one group. Municipalities had trust in the Vervoerregio. Smaller municipalities had limited capacity to deal with the procurement process. The RAR did not represent commuters, had difficulty finding good people and, caused by the composition, focussed especially on accessibility.

4.3 Case comparison

In this section, the cases are compared in terms of the degree of participation and influence of the institutional context on participation. The first section compares the participation dimensions of both cases. The second section presents the similarities and differences in the influence of institutional context on participation. This section answers research question three.

4.3.1 The participatory processes

Participation is applied differently in both cases (see Figure 6). The two cases especially differ in terms of breadth. Zaanstreek-Waterland has a high breadth since a lot of stakeholders and the public were involved. In the Groningen-Drenthe case, only a few stakeholders were involved. Municipalities and the public were not actively involved in the process. The process of Groningen-Drenthe was more open than Zaanstreek-Waterland. The latter started after general policies already were developed and some general choices already had been made. When the OV-Bureau started the process, it was still open to place the developer role and the revenue responsibility at the operator. Both processes were transparent and did provide equal opportunities for stakeholders and the public to influence the process. How the institutional context influences the participation dimensions is explained in more detail in section 4.3.2.

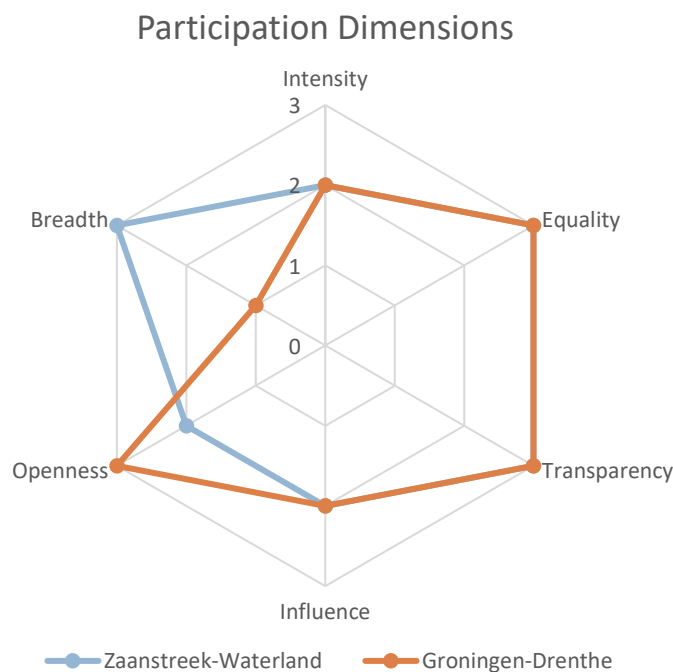


Figure 6: Applied participation dimensions

Regarding the applied participatory activities, both cases used a participatory method in which dilemmas were presented to the participants. In the Groningen-Drenthe case, this activity was the cheat sheet session and in the Zaanstreek-Waterland case, this was the serious game. These methods were used early in the process. In the Groningen-Drenthe case, only the councillors of the three decentralised governments participated in this activity. This is in contrast to the Zaanstreek-Waterland case where next to the councillors (in the sounding board), alderman, the consumer organisation (through a sounding board), public officials and consumer organisations were also involved. Both the OV-Bureau and the Vervoerregio involved the consumer organisation through informal meetings. In

the Zaanstreek-Waterland case, this happened through sounding board sessions. In these sessions, the transport authority provided the participants with new knowledge about public transport. Councillors of the Regioraad were also involved through sounding boards. In the Groningen-Drenthe case, councillors were not involved through participatory activities besides the cheat sheet session. The cases differ on the involvement of the municipalities and the public. In the Zaanstreek-Waterland case, public officials and councillors of all municipalities were involved. In the Groningen-Drenthe case, only the public officials and councillors of the three decentralised governments connected to the OV-Bureau were involved. In the Zaanstreek-Waterland a survey was used to involve the public. They could also play a simplified online version of the serious game. The public was not involved in the Groningen-Drenthe case. So, participation was applied differently in the two cases resulting in different scores for breadth and openness.

4.3.2 Action situations and institutional context

The rules-in-use and the attributes of the community have a high influence on participation possibilities. The nature of the good has a low influence on participation possibilities. The results can be found in Table 18. Next, the influence is explained in more detail per contextual factor. The process structure, action situations and rules-in-use are closely related and therefore discussed together in the first subsection.

Table 18: Comparison: Influence of institutional context on participation

	Groningen-Drenthe case	Zaanstreek-Waterland case
Rules-in-use		
Position + boundary rule	<ul style="list-style-type: none">▪ Transport authority of 3 decentralised governments	<ul style="list-style-type: none">▪ Transport authority of 15 municipalities
Scope rule	<ul style="list-style-type: none">▪ The procurement process is not about timetables and network	<ul style="list-style-type: none">▪ The process is scoped by existing policy documents
Authority rule	<ul style="list-style-type: none">▪ Decisions were made by the executive board of the transport authority	
Aggregation rule	<ul style="list-style-type: none">▪ Documents were developed by the project team	
Information rule	<ul style="list-style-type: none">▪ Non-published documents are confidential<ul style="list-style-type: none">▪ (Concept) PvE is publicly available	
Nature of the good		
Spatial scale	<ul style="list-style-type: none">▪ No direct influence	
Temporal scale	<ul style="list-style-type: none">▪ No direct influence	<ul style="list-style-type: none">▪ Major decisions are fixed during the concession period
Complexity	<ul style="list-style-type: none">▪ No direct influence	
Attributes of the community		
Important factors transport authority:	<ul style="list-style-type: none">▪ The view on participation and creating trust▪ The pooling of knowledge▪ Balanced decision-making▪ Open attitude to public initiatives▪ The developer role	<ul style="list-style-type: none">▪ The view on participation▪ Their general project approach▪ The experience of the project leader▪ The division of tasks in the project team▪ The available resources have a positive effect
Important factors municipalities:	<ul style="list-style-type: none">▪ Their trust in the transport authority▪ Limited capacity small municipalities	
		<ul style="list-style-type: none">▪ Municipalities have the same interests
Important factors consumer organisations:	<ul style="list-style-type: none">▪ The missing representation of commuters and, to a lesser extent, students▪ Their active role▪ The place of residence of the members▪ Their limited capacity to deal with complaints	<ul style="list-style-type: none">▪ Missing representation of the commuter▪ Has difficulty finding good people▪ The narrow focus on accessibility

Action situations and rules-in-use

The two cases had a somewhat similar process structure. Both cases had a strategic phase and a phase in which the program of requirements was developed. In the Groningen-Drenthe case, all policy has been developed in the strategic phase. In this phase, the scope was reduced by choosing to place the developer role and the revenue responsibility again at the OV-Bureau. These choices were made within the procurement process. This is in contrast to the Zaanstreek-Waterland case where the general policy was developed in a separate process prior to the procurement process. This caused the procurement process to score lower on the participation dimension openness. A decision early in the process can affect the scope and therefore the possible outcomes. A reduced scope can make the process less interesting for municipalities and the public. For participation, this means that a lower breadth could be appropriate (fewer stakeholders assigned through boundary rules to the position of participant). So, action situations, the scope of the process (scope rules) and the possible outcomes are all closely related to each other.

The two cases correspond regarding the transport authority being a collaborative body of decentralised governments and the influence this has on the involvement of these decentralised governments. In the Groningen-Drenthe case, these decentralised governments were two provinces and a municipality. In the Zaanstreek-Waterland case, these were fifteen municipalities of which eight are within the concession area. These decentralised governments were in both cases closely involved. Due to the structure of the Vervoerregio, the seven other municipalities outside of the concession area also had some formal influence in the process. Especially the municipality of Amsterdam was an important stakeholder. Neighbouring decentralised governments of Groningen-Drenthe do not have this position. They can react to the program of requirements just as all other stakeholders. Moreover, in the Groningen-Drenthe case, more distance between the transport authority and the decentralised governments was found than in the Zaanstreek-Waterland case. An explanation for this is that there were far more decentralised governments of which some are small municipalities. In the Groningen Drenthe case, Groningen was the only involved municipality. For Zaanstreek-Waterland, all municipalities have a special position within the Vervoerregio. Municipalities with a larger population had more councillors in the Regioraad and therefore more influence. Besides, the alderman of Zaanstad had a position on the executive board of the Vervoerregio. So, in both cases, the largest municipalities had formally and informally more influence in the process. Taken together, how the transport authority is organised influences how closely decentralised governments are involved in the process.

Moreover, the cases differ on the number of positions and breadth of the process. In the Zaanstreek-Waterland case, eleven important positions can be distinguished. These were all involved in the process through multiple activities. When more stakeholders are involved, this results in a higher breadth. However, the Zaanstreek-Waterland case shows that to deal with the different levels of knowledge, stakeholders are involved per stakeholder group. Stakeholders from the same group know each other and dare to speak more freely. In the Groningen-Drenthe case, stakeholders were also involved per stakeholder group, but fewer stakeholder groups were involved. Involving stakeholders per group directly affects the participation dimension intensity. When stakeholders do not meet each other, the process will have a lower intensity.

The cases compare in how decisions were made and documents were developed (authority and aggregation rules). In both cases, the executive board of the transport authority is formally responsible

for taking decisions. Therefore, the applied participatory tools did not include decision-making and no formal positions in the discussions were taken. During participatory activities, stakeholders and the public were only informed or consulted. No documents were drafted during the activities. In both cases, the tender documents (including the strategic documents and the program of requirements) were developed by the project teams of the transport authority. An explanation for the fact that stakeholders did not co-create documents is that these documents are very technical and stakeholders do not have the knowledge experts have. Both transport authorities explained the dilemmas during the participatory activities before the documents were drafted. Afterwards, all stakeholders and the public could formally react to the program of requirements and the transport authorities had to react to this. The transport authorities could still deviate from stakeholders' and the public's reactions. In both cases, formal political positions were taken in the council meetings. The aldermen and deputies need political support for their decisions. How decisions were made and documents were developed positively influence the participation dimensions transparency and equality and somewhat negatively influence the participation dimension influence. Taken together, the authority and aggregation rules of the procurement process cause the total participatory process to have high transparency and equality and somewhat negatively affect the participation dimension influence.

In both cases, information rules have an additional positive effect on transparency and equality. In both processes, stakeholders got the same information at the same moment. Non-published documents were confidential. This limits the information provision somewhat. Eventually, in both cases, the PVE provided stakeholders with all information they needed to provide a formal reaction to the plans. The information rules of the procurement process contribute to high transparency and high equality.

Nature of the good

The influence of the nature of the good on participation is for both cases low. The nature of the good is not limiting or enabling participation. Only the temporal scale has little influence on participation for the Zaanstreek-Waterland case. The influence is not on how participation should take place. It is more part of the interests of municipalities that want to develop new land-use. Since the major decisions are fixed for multiple years, municipalities should be made clear, what can and cannot be added to the concession during the concession period. Due to the developer role of the OV-Bureau, the concession duration is no factor for municipalities in Groningen and Drenthe.

Other elements of the nature of the good only explain the position and interests of municipalities and other stakeholders in the area. The spatial scale of Groningen-Drenthe is much bigger than Zaanstreek-Waterland. There are more municipalities in the area. The area of Groningen-Drenthe has an area that focuses on the city of Groningen and other areas with problems of rural accessibility. Zaanstreek-Waterland has comparable problems within the whole area. In both cases, the nature of the good, in particular the public transport network, explains stakeholder interests. The position of Groningen is somewhat comparable with the municipality of Amsterdam, being the largest city in the region.

Attributes of the community

The two cases have similar important attributes of the community that influence participation for the authority and the consumer organisations. The cases differ a little on the attributes of the community that influences participation for municipalities and the public. The attributes of the community for municipalities in the Groningen-Drenthe case had less influence on participation since municipalities were not actively involved in the procurement process (only once through written input).

Authority

The first similarity is about attributes of the community for the transport authorities. In both cases, there was a collaborative public body as transport authority that had attributes positively influencing the authorities' willingness to implement principles of participation. The authorities had pooled knowledge and a high capacity to deal with the procurement process. Both transport authorities were professional organisations capable of organising a (participatory) procurement process. Since they were collaborative bodies, both valued participation and saw working together as an integral part of their organisation. In the Zaanstreek-Waterland case, involving stakeholders is a general project approach also used in infrastructure projects. Additionally, creating trust is a common factor of both cases. For Groningen-Drenthe, creating trust through the consistency of documents, plans and discussions was a common thread. In the case of Zaanstreek-Waterland, the experience of the project leader was contributing to the stakeholders' trust. Another similarity is that both authorities were forced to balanced decision-making since multiple public administrators were involved. In both cases, tasks regarding participation were divided between different project team members. There was enough time available to spend on organising participation.

Stakeholders

The second similarity is about the influence of the attributes of the community of the consumer organisations. In both cases, the consumer organisations did not represent commuters. Project team members from both cases see this as a problem [GD1; ZW1; ZW2]. The chairman of the involved RAR committee acknowledges this problem [ZW6]. Sometimes students were also underrepresented. The consumer organisations consist of smaller organisations such as the Fietzersbond, Rover and organisations for visually impaired people. These smaller organisations are responsible for providing the Consumentenplatform Groningen, Consumentenplatform Drenthe and the RAR with good representatives. Both cases show that it is difficult to find good people. The focus of the consumer organisations is especially on bus and stop accessibility for elderly or impaired people. In the case of Groningen-Drenthe, it was also found that representatives focused on the area they knew and therefore focussed less on other areas. However, sometimes the detailed knowledge worked as an advantage and representatives could emphasise important problems.

The cases differ on how the attributes of the community of the municipalities influence participation. For municipalities, there are two important attributes of the community. The first is having the same interests among the involved municipalities. In the Groningen-Drenthe case there existed 35 municipalities during the procurement process. In contrast to the eight municipalities of Zaanstreek-Waterland, these municipalities did not share the same problems. The second attribute important for municipalities is the capacity of public officials to deal with public transport planning and development. Both cases show that smaller municipalities have a low capacity for dealing with public transport planning and development. In the Groningen-Drenthe case, smaller municipalities expect the provinces to deal with the major public transport problems. In the Zaanstreek-Waterland case, municipalities cannot appeal to the province, since the province of Noord-Holland is not involved in this area. They can, however, appeal to the public officials of the Vervoerregio, which is a professional organisation. The public officials of the smaller municipalities in Zaanstreek-Waterland do find public transport important and do try to invest as much time as possible. In Zaanstreek-Waterland municipalities do work together in providing a reaction on the program of requirements. In this way, the limited capacity is used more effectively. The municipalities were less involved in the Groningen-

Drenthe case. Therefore, the attributes of the community of municipalities had a smaller influence on participation in the Groningen-Drenthe case.

Additionally, in general, stakeholders have different knowledge on public transport. Therefore in both cases, all stakeholder groups were separately involved in the processes. Since stakeholders do not meet each other, this affects the participation dimension intensity. There is a difference between what experts know and think about participation and what stakeholders and the public know and think.

4.3.3 Synthesis

The results show that the cases score similarly on transparency, equality, intensity and influence and differ on breadth and openness. Both cases show that the rules-in-use and the attributes of the community have a direct influence on the participation dimensions. The nature of the good has an indirect influence on the participation dimension for both cases. The influence of the institutional context on participation is visualised in Figure 7.

Concerning the rules-in-use, four relations with participation can be distinguished. Firstly, action situations, the scope of the process (scope rules) and the possible outcomes are all closely related to each other. Secondly, how the transport authority is organised influences how closely decentralised governments are involved in the process. This determines the position and role of decentralised governments. Thirdly, the authority and aggregation rules of the procurement process cause the total participatory process to have high transparency and equality and somewhat negatively affect the participation dimension influence. Fourthly, the information rules of the procurement process contribute to high transparency and high equality. So rules-in-use both limit and enable participation.

Regarding attributes of the community, those of the transport authority, consumer organisations and municipalities influence participation. Firstly, in both cases, there was a collaborative public body as transport authority that had attributes positively influencing the authorities' willingness to implement principles of participation. Secondly, in both cases, the consumer organisations did not represent commuters. Thirdly, the cases differ on how the attributes of the community of the municipalities influence participation. Two important attributes of the community are found. The first is having the same interests among the involved municipalities. The municipalities of Zaanstreek-Waterland are found to have similar interests and the municipalities of Groningen-Drenthe have different interests. The second attribute important for municipalities is the capacity of public officials to deal with public transport planning and development. In both cases, smaller municipalities had limited capacity. Additionally, in general, stakeholders have different knowledge on public transport. Based on the attributes of the community the stakeholders are separately involved in the process. This creates extra participation action situations. This influences if stakeholders meet each other and therefore influences the participation dimension intensity.

These results together answer research question three. The results are discussed in the next session and implications for stakeholder management are provided.

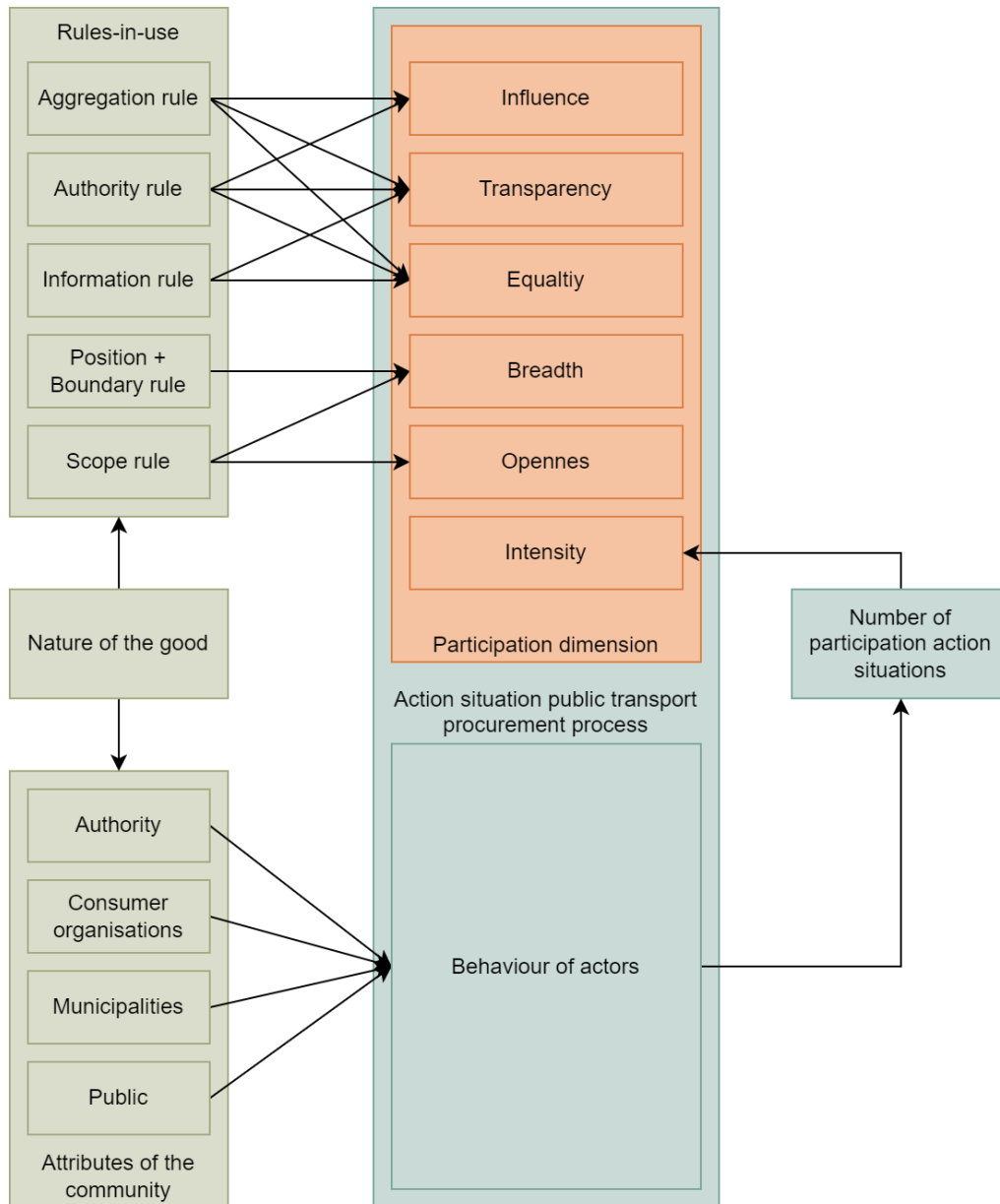


Figure 7: Visual of the influence of the institutional context on participation in bus concession procurement

5 Discussion

In this section, the results are discussed. As mentioned earlier, there is a lack of literature on participation in bus concession procurement. This makes comparing results to literature difficult. In order to put this research in perspective, the discussion is structured in different sections. Firstly, a reflection on the findings is presented. The second section discusses if the results are generalisable. The third section discusses the used approach and method. Lastly, the implications for stakeholder management are presented. References to specific interviewees/experts are made in brackets.

5.1 Reflection on findings

Two cases were researched to assess participation in bus concession procurement and to analyse the influence of the institutional context on participation. The key findings are discussed in this section.

5.1.1 Participatory processes

One of the key findings of this research was on the participation dimensions. The Groningen-Drenthe case was characterised by high openness, equality and transparency, a medium influence and intensity and a low breadth. The Zaanstreek-Waterland case was characterised by high breadth, equality and transparency and medium openness, intensity and influence. The cases score similarly on transparency, equality, influence and intensity. The cases differ on breadth and openness.

A key finding of the research is the difference in the breadth of the two cases. In the Zaanstreek-Waterland case, many internal and external stakeholders were involved next to the public. The Groningen-Drenthe case was special since the municipalities in the concession area and the public were not involved. Municipalities were only consulted in writing. This was possible since the procurement process was scoped to not include the development of the network and timetables. Municipalities were involved in other processes. No unexpected stakeholders were involved.

The limited influence stakeholders have in the process is a characteristic of the bus concession procurement process. Medium is the highest possible score for the participation dimension influence given the institutional context. Transport authorities must explain how stakeholders' interests are taken into account and that deviations are explained. If stakeholders get the feeling that this is not the case, there is a risk that the participation becomes symbolic due to the low influence participants have in the process (Krywkow, 2009).

The transport authorities successfully applied multiple participatory activities in the procurement processes. Both cases used participatory activities (the serious game and cheat sheet session) to explain dilemmas to internal stakeholders. The Zaanstreek-Waterland case did use the serious game to also involve external stakeholders. All interviewees positively look back at the applied participatory activities. From the focus group validation sessions, it follows that playing a serious game in public transport procurement is not new. Interviewee FG1 states that serious games were already used in 2004 to involve consumer organisations. However, people have become better at explaining the dilemmas to stakeholders. Discussing and explaining dilemmas is becoming more important in a trend where keeping busses driving on bus lines is under pressure [FG1]. The experts did not know any examples of procurement processes in which surveys were used. The limited available literature also shows that stakeholders are formally and informally involved to develop public transport (Paulsson et al., 2018; Rye et al., 2018). Looking at the rationales for participation, participation in bus concession procurement mostly tends to focus on capacity building, in other words providing stakeholders with

knowledge. According to interviewee FG1, participation is often about providing stakeholders with knowledge about public transport. This includes knowledge about bus transport and concession development. This is in line with literature that states that more knowledge is needed for participation in strategic processes (Coenen, 2009). The requirements that will be incorporated in the PvE have a high level of abstraction. Creating legitimacy is another important rationale as transport authorities are seeking support for their decisions. Looking at the influence stakeholders have in the process, participation in bus concession procurements seems to be less about the quality of the decision. So, participation can be successfully applied in a bus concession procurement process and is mostly about providing stakeholders with knowledge, explaining dilemmas and creating legitimacy.

5.1.2 Action situations and institutional context

In this subsection, the findings on the influence of action situations and the institutional context on participation are discussed.

Influence of the rules-in-use on participation

Firstly, the influence of the formal institutions on transparency, equality and influence is discussed. Secondly, the influence of the institutions as a result of the applied participation on the breadth, openness and intensity are discussed.

Transparency, equality and influence

One of the key findings of this research is that formal institutions of the procurement process are causing both cases to score high on transparency and equality and medium on influence. More specific, these formal institutions are authority and aggregation rules. The authority and aggregation rules place the decision-making authority and the authority to develop documents at the executive board of the transport authority. Decision-making was not part of the participatory activities. Formal institutions are not easy to change, since formal procedures need to be followed. The rules-in-use make it impossible for the cases to score high on influence. Due to the low influence, decision-making and co-creation cannot be part of participatory activities in public transport procurement in the Netherlands. This thus limits the elements participation can contain. In the bus concession procurement process, participation can maximally include obtaining and sharing information and gaining new knowledge. Where co-creation is found to be very useful in developing sustainable mobility solutions on the neighbourhood level (Val & Cruz, 2020), based on this research, it seems not applicable in bus concession procurement due to the institutional context. Co-creation could be used in the development of specific smaller parts of the concession. Interviewee FG1 mentioned the case of Friesland where the public could come up with solutions for busses that would not stop anymore in smaller towns. Thus, the formal institutions of the procurement process limit participation to obtaining information, sharing information and gaining new knowledge.

From the focus group, it followed that in general transport authorities are very careful with sharing information [FG1]. When information is made publicly all stakeholders must get the same information. According to interviewee FG1, the program of requirement is not the document with all information. There is also information that is not shared with stakeholders, such as the granting model. Sharing information on the granting can conflict with the procurement law. However, by providing the stakeholders with the program of requirements and the concept documents, stakeholders have detailed information to participate on how the bus transport should be designed and delivered. From the focus group session followed that some stakeholders in other cases also want information on the granting model, which is often not provided [FG3]. This was not mentioned by the interviewees of this

research. Based on the interviews, stakeholders had enough information to participate in the process. So, high transparency and equality do not mean that stakeholders have access to all information, nevertheless, they had sufficient information to provide an opinion on the plans.

Breadth, openness and intensity

Another key finding of the research is that breadth, intensity and openness depend on the applied participation. The breadth depends on who is involved. The intensity depends on whether stakeholders will meet each other. The openness depends on the first moment stakeholders will be involved.

The breadth depends on the applied participation through position and boundary rules. Who is involved depends partially on how the transport authority is organised. This influences which decentralised governments are (or should be) involved in which way. That the municipalities in the Zaanstreek-Waterland case were closely involved arises from the position and boundary rules as a consequence of how the Vervoerregio is institutionalised. In the Groningen-Drenthe case, the municipality of Groningen and the provinces of Groningen and Drenthe had a special position due to how the OV-Bureau is institutionalised. Based on this research, a stakeholder manager should look at how the transport authority is institutionalised to determine which decentralised governments have a special position and who should be closely involved. This is important since the cases show that a transport authority consisting of collaborating municipalities functions differently than a transport authority led by provinces (and a single municipality). Provinces are on a higher governance level than the municipalities.

This research showed that the scope of the process through scope rules influences the participation dimensions breadth and openness. Groningen-Drenthe showed that by reducing the scope of the procurement process, fewer stakeholders could be involved. At the same time, the OV-Bureau could discuss the network and timetables in more detail in a separate process. The process of developing the network and timetables is more participative. From the interviews followed, for example, that the municipality of Groningen and Emmen discuss the proposed plans with neighbourhood associations [GD3; GD4]. Also, a survey is used to ask the public about the plans [GD3]. The OV-Bureau can discuss parts of the network and timetables in more detail with the relevant municipalities. This process is repeated every year. This is in contrast to the Zaanstreek-Waterland case. The scope of the process makes that the Vervoerregio could only discuss the broad outlines during participatory activities. This influences the participation dimension openness. The Vervoerregio also has a yearly process in which a transport plan is discussed, however, the possible outcomes of this process are limited by the developed program of requirements. There is a trend that concessions are becoming more flexible (Veeneman, 2018). A flexible concession means that less strict requirements are included in the PvE. When a concession is more flexible, more changes can be implemented during the concession period. As a consequence, transport authorities can better incorporate stakeholders' input in the yearly transport plan process. This could mean that a transport authority could shift applying participatory methods from the procurement process to the yearly process. This would result in a process structure somewhat similar to the Groningen-Drenthe case. So, the scope of the process influences what can be discussed during participatory activities and therefore who is relevant to be involved.

Influence of the attributes of the community on participation

Transport authority

This research showed that attributes of the transport authority influence how participation is applied. Both the OV-Bureau and the Vervoerregio find the involvement of stakeholders important. Both transport authorities do not only state this but also have an integrated approach of involving stakeholders (and the public). Literature shows that it is important to have this attribute since it contributes to the transport authorities' ability to successfully implement participation (Dietz & Stern, 2008). Both transport authorities are collaborative organisations that need to collaborate with other organisations. Literature shows that municipalities in the Vervoerregio can better collaborate due to how the Vervoerregio is institutionalised in comparison to Dutch authorities that are not a collaborative body of municipalities (Veeneman & Mulley; 2018). This research confirms that image. Based on the findings of this research, the people working at the transport authority also matter. In the Zaanstreek-Waterland case, a manager initiated the serious game. Other research shows that key actors have an important role alongside formal and informal institutions (Hirschhorn et al., 2020). These actors can trigger institutional changes in processes. According to interviewee FG3 how participation is organised and used depends on how the transport authority is politically and administratively organised. The province of North Holland and the province of Utrecht differ in political and administrative organisation. The administrator in North Holland did know what she wanted to accomplish with the new concession. So, in the strategic phase, little participation was used. In the case of Utrecht, participation was included in the coalition agreement as a priority. Therefore a completely different participatory process has been set up [FG3]. Taken together, the attributes of the transport authority influence how participation is applied in the procurement process.

Stakeholders

The attributes of the stakeholders explain how stakeholders behaved in the process. These attributes and the involvement of stakeholders are discussed for politicians, consumer organisations and municipalities.

Firstly, politicians have some attributes that influence their behaviour in the procurement process. In both cases, politicians were more involved than the law prescribed. The experts in the focus group session acknowledge the trend that councillors want to be more involved [FG3; FG4]. At the same time, they see that the councillors have difficulties with their advisory role (which differs from their standard role as councillor) and with the amount of information about the concession. Councillors do not have the support of public officials that the executive board does have. So, politicians have some difficulties with participating in the procurement process.

Secondly, attributes of the community explain how consumer organisations behaved in the procurement processes. This research showed that commuters are not represented in the consumer organisations in the cases of Groningen-Drenthe and Zaanstreek-Waterland. Therefore it is also likely that business travellers are not well represented. Business travellers were not separately mentioned by any of the interviewees. The composition of the RAR and the Consumentenplatforms does not indicate the representation of business travellers. Impaired people are well represented by consumer organisations. From the interview with interviewee ZW6 of the RAR, followed a simplistic view about the wishes of commuters. He mentioned only a fast connection from A to B as important. However, literature shows that other factors such as the guarantee of a seat are important too (Hagen & Bron, 2014). A way of dealing with this underrepresentation was presented by the Zaanstreek-Waterland

case. A survey can be used to involve public transport users. The risk of a survey can be that people that are satisfied do not respond. In the Zaanstreek-Waterland case, a panel was used to compare the results of the survey. So, concerns about bus and stop accessibility for impaired people are well addressed.

Thirdly, attributes of the municipalities explain the relations between the transport authorities and the municipalities. That in both cases municipalities trusted the transport authority contributed to the transport authorities being able to well organise the procurement process. In the Groningen-Drenthe case, municipalities could not be involved partly by the trust they had in the OV-Bureau. In the Zaanstreek-Waterland case, municipalities were intensely involved due to the organisational set-up of the transport authority. The involvement was partly successful due to the trust they had. According to literature, trust can contribute to better decision-making and collaboration (Newig, 2007; Paulsson et al., 2018; Reed, 2009). So, having trust in the transport authority is an important attribute for municipalities influencing participation.

Influence of the nature of the good on participation

This research found little influence of the nature of the good on participation. It mostly has an indirect influence and explains the origin of certain rules-in-use and attributes. That little influence was found can partly be explained by the unique character of the cases. The area of Zaanstreek-Waterland is relatively small. For Groningen-Drenthe, the scope of the process already decreased the relevance for stakeholders (municipalities) and the public. Other research shows that concerns decrease if the spatial scale increases (Newig, 2007). In other cases, it can be that for municipalities or other stakeholders bus transport at a province can feel far away. Nature of the good can also include Not In My Back Yard (NIMBY) problems for example around waste incineration plants (Newig, 2007). In the case of bus transport, nobody wants a bus stop directly in front of their house (due to nuisance) but rather in front of the house of the neighbours. This research did not find these experiences from residents. This could be explained by the moment of measurement. The problems could become apparent when a concession starts.

5.2 Generalisability of results

In this research, the unit of analysis was a bus concession procurement process. Whether results are generalisable is discussed in this section.

5.2.1 Generalisation for other cases of bus concession procurement

Due to the lack of literature on stakeholder and public participation in bus concession procurement, it is difficult to generalise the results for other cases of bus concession procurement. From the analysis of the focus group session follows that the cases are both an exception in their own way in how the transport authority was organised and what kind of concessions was developed. According to the focus group sessions experts, all other cases will be somewhere in between both cases in terms of the concession that is developed. However, some results are expected to be the same for other cases of bus concession procurement.

The scores on transparency, equality and influence are expected to be the same for other cases, given that the formal institutional context (influencing these dimensions) is the same. The rules-in-use that follow from the law (Wp2000) and procurement rules also apply in other cases of bus concession procurement. These rules-in-use are the authority, aggregation rules and information rules that affect the participation dimensions transparency, equality and influence. Only when a transport authority

fails to fulfil its legal duties or when extra formal institutions apply, these scores will probably differ. Due to the expected similar scores, participation in bus concession procurement is expected to be limited to providing and receiving information and gaining new knowledge. Future research should show whether this is actually the case.

Findings on the breadth, intensity and openness are not generalisable. The values of breadth, intensity and openness are more case dependent. These three dimensions depend more on how the transport authority is organised and what kind of concession is developed. The formal set-up of the transport authority determines which internal stakeholders have which position. The composition of the executive board differs between cases.

The results show that attributes of the community and the nature of the good can influence participation. How they influence participation depends on the actual attributes of the community and nature of the good and those are case-specific. This makes generalisation difficult for most attributes of the communities and elements of the nature of the good.

One attribute is expected to be found in every case of bus concession procurement: the missing representation of the commuter and business travellers in consumer organisations. From the focus group sessions, it followed that commuters and business travellers are also not represented by consumer organisations in other concession areas. According to the experts, this is a problem [FG1; FG2; FG3; FG4]. Consumer organisations often meet at times that are not practical for commuters or business travellers. However, “scheduling meetings at times and places that are accessible to those who should participate, can be consequential in terms of including certain parties” (Dietz & Stern, 2008, p.121). Interviewee FG2 mentions the procurement process of the province of Limburg as an example where consumer organisations were less involved and instead town councils or parishes were involved. So, transport authorities should be aware that consumer organisations do not represent commuters and business travellers and take this into account when organising participation.

5.2.2 Generalisability for other cases

Generalisation of the results is not possible for cases that are not a bus concession procurement process. These cases include processes of concessions that are not competitively tendered, processes of bus transport development in general and processes of other modes of transport. These three are discussed in more detail.

The results cannot be generalised for concessions that are not competitively tendered. In the processes of developing the concessions of the city of Amsterdam, Rotterdam and The Hague, other rules apply. Also, these concessions are about smaller areas consisting of one or only a small number of municipalities. So, the formal institutional context is different and the involvement of stakeholders will be different.

The results cannot be generalised for bus transport development. The scope of this research was limited to allow researching cases with more detail. The unit of analysis was a bus concession procurement process. The procurement process is however one of the multiple processes within bus transport development. In other processes, participation can also take place. Future research could investigate other processes related to bus transport development. These processes can for example be strategic policy processes or yearly transport plan development processes.

The results cannot be generalised for other modes of transport. Regarding trains, the main network is not competitively tendered and on a completely different scale than a bus concession. The procurement processes of regional lines have a more similar spatial scale as bus concession procurement processes but the role of municipalities will be different. The metro and tram concessions of Rotterdam and The Hague are also not competitively tendered. The other tram and metro lines in the Netherlands are included in the bus concessions of Amsterdam and Utrecht.

5.3 Reflection on approach and method

In this section, the approach and method are discussed. This section is divided into three sub-sections: Conceptual framework, selection of the cases and data collection and research scope.

5.3.1 Conceptual framework

In this research, a conceptual framework is developed based on general literature on participation, institutional analysis and public transport procurement. Three aspects of the theoretical framework are discussed: The meaning of equality and the operationalisation of the rules-in-use and the nature of the good.

For defining the participation dimensions, the definitions of Dietz and Stern (2008) and Krywkow (2009) are used. In literature in the field of public transport, there is often made a distinction between equality and equity. The participation dimension equality does not refer to the provision of public transport. The equality dimension is about identifying stakeholders early in the process (first diagnostic question of equality) and providing them with the same information and opportunities to influence the plans (second diagnostic question of equality). In the procurement process, it is not desirable that all stakeholders have equal access to information and equal opportunities to influence the plans (both cases score medium on this second diagnostic question). Some information is confidential. The total score is however high due to the first question of equality being answered with high. Both cases identified stakeholders early and provided them with equal opportunities to influence the plans (high score for the first diagnostic question). It is good to emphasise again that a higher participation dimension score is not per se better than a low score. The scores provide an image of what is and what is not possible in the procurement process.

At the start of this research, the rules-in-use and the nature of the good were operationalised using Coenen (2009) and Dietz and Stern (2008). The operationalisation caused a little confusion among the focus group experts. Some characteristics of the concession are placed under the nature of the good, such as the concession duration (temporal scale), and some are placed under rules-in-use, such as the developer role and revenue responsibility (scope rules). The latter are placed under rules-in-use since these choices were made within the process and scoped the remaining part of the process. The characteristics placed under the nature of the good did not affect the procurement process itself. So, when this conceptual framework is used, it should be well explained to interviewees when questions are asked about certain theoretical concepts.

5.3.2 Selection of the cases

In this research, case study research is used to reach the objective. Case study research is still seen as the best method to look at the context-dependent process of bus concession procurement. Two cases were selected based on the selection criteria listed in section 3.1. Since this research explores the current dynamics it was useful to investigate two cases in detail.

The selected cases were found to be extreme cases regarding the kind of concession that is developed and how the transport authority is institutionalised [FG1; FG2; FG3; FG4]. A more standard case would be a process in which a concession is developed by a province and where the developer role is assigned to the bus operator. However, the cases are typical cases considering the limiting formal institutions (the law and procurement rules) that are present in all cases. A limitation due to the selected cases is that this research did not find how municipalities are involved in a procurement process developed by a province. In other cases, municipalities sometimes actively draw attention (e.g. the municipality De Bilt (de Kruijff, 2021)). Future research could investigate cases organised by provinces with a focus on the involvement of municipalities. Probably such a case would also show more of the tensions between provinces and municipalities. Still, the researched cases can be used as an example of how dilemmas are explained to stakeholders using participatory activities. Other transport authorities can learn from this. The selected cases gave a good first image of participation in bus concession procurement.

5.3.3 Data collection and research scope

Regarding the data collection, the eleven interviews in combination with the documents were sufficient to answer the research questions. Per case, five or six interviews were held. The answers of the stakeholders did not deviate from the answers of the transport authority and vice versa. Perhaps interviewing more municipalities in the Zaanstreek-Waterland would have given a more complete picture of the process. In the Groningen-Drenthe case, municipalities were not actively involved in the procurement process. Interviewing other municipalities than Groningen and Emmen, will likely not provide new insights on the participation within the procurement process of Groningen-Drenthe.

This research focused on the procurement process alone. When the process of developing the network and timetables for Groningen-Drenthe was also taken into account, more public officials of municipalities should have been interviewed. For now, the number of interviewees was sufficient. The interviews did provide first images of how participation is organised in the separate process of developing timetables and the network in Groningen-Drenthe. In this process, the municipalities are closely involved. Also, interviewee GD4 mentioned that the municipality of Emmen has recognized consultation partners. These are neighbourhood associations or local interest groups. The recognized consultation partners have to be involved when the municipality wants to decide on changes in the road network. The municipality of Groningen also involves neighbourhood associations in this process [GD3]. Future research could investigate this process in more detail.

Public transport users were not interviewed. For the assessment of participation and the institutional analysis, it was less relevant to interview the public or to do a public survey. It would be more relevant to interview the public when focusing more on the effectiveness of participation and the satisfaction of participants. The effectiveness and satisfaction of participants were outside the scope of this research. For this research, it was not necessary to distinguish between different public transport users. Future research could investigate whether the interests of the different public transport users are well represented in the process and if they are satisfied with their involvement.

The theoretical concepts were too abstract to use in the interviews. The interview protocol was based on the diagnostic questions and theoretical concepts. This was useful for effective data collection. However, good operationalisation was necessary. The interviewees did not know the conceptual framework. Questions about the influence of institutions on participation were too difficult for the interviewees to answer. However, with the answers the interviewees provided, it was still possible to

synthesise this link. Also, the report was sent to the interviewees and they could provide feedback. The results are also discussed with the focus group.

The explorative character of this research made that there were a lot of diagnostic questions to be answered. Therefore it was difficult to ask the interviewees all questions in an interview of maximum one and a half hours. General questions with multiple check questions were used to let the interviewee speak more. Possibly not all information was found. Considering the explorative character of the research it was not the goal to provide a complete image of the procurement process. It is expected that the most relevant institutions are found and that based on the findings meaningful recommendations on stakeholder management can be made.

A limitation of the research is that it does not address if the applied participation led to better public transport. This was outside the scope of the research. Future research could investigate the effectiveness of participation in public transport procurement. Research could also focus on which resources (e.g. time and money) are needed.

5.4 Implications for stakeholder management

Implications for stakeholder management are based on the results of the assessment of participation and the institutional analysis and the discussion above. Six implications are provided and explained in the next six paragraphs. Finally, the six implications are summarized.

Stakeholder management should be the responsibility of the whole procurement team of the transport authority. From the analysis of the results and the focus group session follows that there doesn't need to be a separate role of stakeholder manager. A transport authority should not place all tasks related to participation at one person or role. A stakeholder manager could be a good addition to the project team, but as a point of contact or image of the procurement process (as was the case for Zaanstreek-Waterland [ZW1] and Utrecht [FG3]). Stakeholder management has multiple aspects that in practice are executed by multiple people [FG3]. The professional organisations of the transport authority often include communications advisors, press officers and concession managers that also execute tasks related to stakeholder management. The end responsibility could be placed at the stakeholder manager [FG3]. Based on this research, only adding a stakeholder manager to the project team of the procurement process will not be enough. The approach and method for the procurement process should be adapted to implement suggestions of stakeholders [FG1; FG3].

To implement this approach, the transport authority must have the right attributes of the community. Attributes of the community such as considering participation and creating trust as important can contribute to a transport authority being better able to implement principles of good participation. It must be part of the DNA of the organisations and their approach to the procurement process [FG3]. Otherwise, there will be a risk that the stakeholder manager will become ritualised [FG3]. There is no role for stakeholders and the public in developing the participatory process. The procurement process is too technical and difficult for stakeholders. Stakeholders do not have the active knowledge to co-develop the process.

Who needs to be involved depends on the scope of the process and on how the transport authority is institutionalised. Firstly, this research showed that the scope of the process influences what can be discussed during participatory activities and therefore who is relevant to be involved. The flexibility of the concession influences the pressure associated with participation in the procurement process. The

concession of Groningen-Drenthe was very flexible. Therefore less had to be decided within the procurement process and fewer stakeholders were involved. In the Zaanstreek-Waterland case, there was less flexibility and the program of requirements is the leading document for the whole concession period. Most other concessions will be somewhere in between Groningen-Drenthe and Zaanstreek-Waterland. It should be made clear what is fixed and what is variable after the concession has started. From the perspective of participation, the Groningen-Drenthe case is an example of how a flexible concession can allow for more precise participation. Secondly, this research showed that a stakeholder manager should look at how the transport authority is institutionalised to determine which decentralised governments have a special position and who should be closely involved. So, who should be involved is case dependent.

The results imply that when participation is applied in the procurement process, it usually reoccurs in the same standard form. The reason is that the procurement process is too complex for a wide variety of participation forms. This research showed that formal institutions (authority, aggregation and information rules) of the procurement process limit participation to obtaining information, sharing information and gaining new knowledge. This includes knowledge about bus transport and concession development in general. Providing this knowledge is important since stakeholders often have limited knowledge and the requirements that will be incorporated in the PvE have a high level of abstraction. In the standard participation action situation, the position of the participant and the transport authority can be distinguished. Within the action situations, participants can obtain and share information. When the same input is shared across multiple participation action situations (with different participants) the input will likely be incorporated in the preliminary plans. Multiple sub action situations can be used to take into account the different attributes of the community of all stakeholders. Literature shows that by choosing the right techniques the difficulties can be overcome (Dietz & Stern, 2008). Participation will not include decision-making. Decision-making takes place in the political arena. Participation can contribute to better taking formal positions and to make the formal consultation moment go more smoothly.

A key implication is that transport authorities must explain how stakeholders' interests are taken into account and should explain possible deviations. This is important since stakeholders are not part of the decision-making and, otherwise, participation might become symbolic. The authority and aggregation rules place the decision-making authority and the authority to develop documents at the executive board of the transport authority. Therefore, participants will have limited influence in the procurement process. The formal procedures of reacting on the (concept) PvE, provide some guarantee that the transport authority will explain what will be done with the input of stakeholders. However, this should also be made clear during participatory activities.

Based on the findings on the attributes of the community, transport authorities should do a stakeholder analysis to map all relevant attributes of the community. The attributes of the stakeholders explain how stakeholders behave in the process. This research showed that, in general, stakeholders have little knowledge about public transport (procurement). Participatory activities can be used to provide the stakeholders with new knowledge. An important attribute to be taken into account is the representation of commuters and business travellers by consumer organisations. Transport authorities should be aware that consumer organisations probably do not represent commuters and business travellers and take this into account when organising participation. A stakeholder analysis could for example uncover if commuters are well represented. Information found

in a stakeholder analysis can help in setting up the participatory process and choosing participatory methods. When the commuter is not represented, a survey could be used to specifically target this type of public transport user.

To summarize, stakeholder management should take into account the following points of attention:

- Stakeholder management should be the responsibility of the whole procurement team of the transport authority. The full execution of participation should not be a task of a single stakeholder manager.
- Develop an integrated approach to implement stakeholders' suggestions.
- Who should be involved depends on the scope of the procurement process and how the transport authority is institutionalised.
- Participation will have a standard form in which stakeholders can obtain information, share information and gain new knowledge. Providing stakeholders with new knowledge is important since stakeholders often have limited knowledge.
- Transport authorities must explain how stakeholders' interests are taken into account and should explain possible deviations. They should explain that the influence in the process is limited and that decisions are made in the political arena. Otherwise, participation can become symbolic.
- Doing a stakeholder analysis at the start of the process to get an image of the composition of stakeholder groups and how stakeholders are represented.

When these points are taken into account one can design a good participatory process within a bus concession procurement process.

6 Conclusion

The objective of this research was to assess participation in bus concession procurement and to analyse the influence of the institutional context on participation. For the participation dimensions, similarities and differences were found between the cases.

The researched cases of Groningen-Drenthe and Zaanstreek-Waterland both score high on the participation dimensions transparency and equality and medium on influence. From the analysis of the results follows that this is caused by the formal institutions of the procurement process. These formal institutions consist of authority, aggregation and information rules. These institutions are also present in other cases of Dutch bus concession procurement. Therefore it is expected these cases will score similarly on these participation dimensions.

The cases differ on the participation dimensions breadth and openness and both score medium on intensity. The Groningen-Drenthe case scored low on breadth and high on openness. The Zaanstreek-Waterland case scored high on breadth and medium on openness. From the analysis of the results follows that these participation dimensions depend on the applied participation, the organisation of the transport authority and the scope of the developed concession. The scores of the participation dimensions breadth, openness and intensity are case dependent.

The institutional context of bus concession procurement influences participation. For both cases, the nature of the good only has a low indirect influence on the participation dimensions. In particular, the rules-in-use and the attributes of the community have a direct influence and are important regarding stakeholder management. These two are further explained.

The rules-in-use have a direct influence on the participation dimensions. Four relations can be distinguished. Firstly, action situations, the scope of the process (scope rules) and the possible outcomes are all closely related to each other. Secondly, how the transport authority is organised influences how closely decentralised governments are involved in the process. This determines the position and role of decentralised governments. Thirdly, the authority and aggregation rules of the procurement process cause the total participatory process to have high transparency and equality and somewhat negatively affect the participation dimension influence. Fourthly, the information rules of the procurement process contribute to high transparency and high equality. So rules-in-use both limit and enable participation.

Attributes of the community influenced how participation took place. They do not directly influence the participation dimensions. However, they have a direct influence on the behaviour actors perform within action situations. Based on this the transport authority can design multiple sub action situations to deal with the differences in attributes. Creating extra sub action situations impacts the participation dimension intensity. In both cases, attributes of the community were present that positively affected the transport authority's willingness to implement principles of participation. For consumer organisations attributes of the community negatively influenced their ability to represent all public transport users as commuters and business travellers are not represented. This is the case for all consumer organisations involved in bus concession procurement. For municipalities, it was found that municipalities had the same interests (only for Zaanstreek-Waterland) and that small municipalities have low capacity to participate in the procurement process. The latter is likely to be found in other cases. The attributes of the community are not generalisable for other cases.

Finally, some implications for stakeholder management follow from this research. Stakeholder management is not about adding a stakeholder manager to a project team, but about developing an integrated approach to implement the input of stakeholders. Who should be involved should be determined based on the scope of the process, how the transport authority is institutionalised and stakeholder analysis. The stakeholder analysis can be used to determine whether stakeholders and the public are well represented. The involvement of stakeholders and the public will likely have a standard form in which stakeholders can obtain information, share information and gain new knowledge. During participatory activities, the transport authority must explain how the input of stakeholders is taken into account and should explain possible deviations. Taking these implications into account can improve organising participation in a bus concession procurement process.

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Appendix

A. List of case study documents

Nr.	Name	URL
General documents		
DG1	Europese aanbestedingsrichtlijn	https://eur-lex.europa.eu/legal-content/NL/ALL/?uri=OJ%3AJOL%5F2014%5F094%5FR%5F0001%5F01
Zaanstreek-Waterland		
DZW1	Presentatie raadsleden aanbesteding concessie Zaanstreek-Waterland	https://slideplayer.nl/slide/16955199/
DZW2	inno-v-raadpleging-panel-vervoerregio-zawa-2022	https://vervoerregio.nl/document/1cd7e420-d823-485d-a5e5-cb83f6a97f32
DZW3	bijlage-3-190523-resultaten-burgerparticipatie	https://vervoerregio.nl/document/85cc55fc-e0a5-417a-b013-44382a1b171f
DZW4	Gemeenschappelijke regeling Vervoerregio Amsterdam	https://lokaleregelgeving.overheid.nl/CVDR454913/4
DZW5	beleidskader-mobiliteit-vervoerregio-amsterdam	https://vervoerregio.nl/document/ef9122eb-877f-4d68-b1d0-2a8e8fa8ad2e
DZW6	Programma van Eisen: Concessieverlening Zaanstreek-Waterland 2022	https://vervoerregio.notubiz.nl/document/8062232/1/Programma_van_Eisen_Zaanstreek-Waterland_2022
DZW7	8a Bijlage – memo planning aanbesteding Zaanstreek-Waterland 2018 en 2019	https://vervoerregio.notubiz.nl/document/7144087/1/8a%20Bijlage%20-%20Memo%20planning%20aanbesteding%20concessie%20Zaanstreek-Waterland%202021
Groningen-Drenthe		
DGD1	Gemeenschappelijke Regeling Openbaar Lichaam OV-bureau van de gemeente Groningen en de provincies Groningen Drenthe	https://lokaleregelgeving.overheid.nl/CVDR36037/1
DGD2	Nota van Uitgangspunten voor de aanbesteding van het openbaar vervoer per bus in Groningen en Drenthe in de periode 2017-2027	https://gemeenteraad.groningen.nl/Documenten/Collegebrieven/Nota-van-Uitgangspunten-voor-de-aanbesteding-van-het-openbaar-vervoer-per-bus-in-Groningen-en-Drenthe-in-de-periode.pdf
DGD3	Nv12-01 - Bestek concessie GD-2020 v3 incl Nv1+2	https://www.tenderned.nl/papi/tenderned-rs-tns/publicaties/127732/documenten/3167208/content
DGD4	Bijlage 1 Begroting 2021 OV-bureau Groningen Drenthe	https://gemeenteraad.groningen.nl/Documenten/Collegebrieven/Bijlage-1-Begroting-2021-OV-bureau-Groningen-Drenthe.pdf
DGD5	Nota van reactie en beantwoording op inspraak en zienswijzen. PvE voor de concessie Groningen Drenthe 2020	https://www.tenderned.nl/papi/tenderned-rs-tns/publicaties/109943/documenten/2807105/content

B. Diagnostic questions

Nr.	Diagnostic question	Source
Action situations		
1	Which process action situations are important to define with regard to participation?	-
1a	What are the phases of the process?	-
1b	Which participatory activities are organised and how do they relate to each other?	-
Nature of the good		
2	What is the influence of the nature of the good on participation?	-
2a	How does the spatial scale of the product influence how participation is organised?	Dietz & Stern (2008)
2b	How does the temporal scale influence participation	Dietz & Stern (2008)
2c	How does the complexity of public transport procurement influence participation	Dietz & Stern (2008)
Attributes of the community		
3	How do the attributes of the community influence participation?	-
Regarding the transport authority:		
3a	"What factors in the convening agency influence its willingness or ability to implement principles of public participation?"	Dietz & Stern (2008, p.191)
3b	What is the view of the agency on the importance of the input of stakeholders?	Dietz & Stern (2008)
3c	What other responsibilities do staff have next to spending time on the participation process?	Dietz & Stern (2008)
3d	"How open are staff and leadership to consulting stakeholders in the design of the process?"	Dietz & Stern (2008, p.192)
3e	Are there clear deadlines for decisions?	Dietz & Stern (2008)
3f	"What resources does the agency have to invest in the participation process?"	Dietz & Stern (2008, p.192)
Regarding stakeholders:		
3g	"Are there interested and affected parties who may have difficulty being adequately represented?"	Dietz & Stern (2008, p.194)
3h	"What are the significant differences in values, interests, cultural views, and perspectives among the parties?"	Dietz & Stern (2008, p.194)
3i	"To what degree can the individuals at the table act for the parties they are assumed to represent?"	Dietz & Stern (2008, p.194)
3j	"To what degree are there problems of trust among the agency, scientists, and the interested and affected parties?"	Dietz & Stern (2008, p.194)
Rules-in-use		
4	How do the rule-in-use influence participation?	-
4a	Position rules: Which positions can be distinguished?	Coenen (2009)
4b	Boundary rules: How do the various positions become occupied? Who can participate and why?	Coenen (2009) -

4c	<p>Authority rules:</p> <p>What actions can they perform and how is this linked to (intermediate) outcomes?</p> <p>Can stakeholders and the public put forward proposals?</p>	<p>Coenen (2009)</p> <p>Coenen (2009)</p>
4d	<p>Scope rules:</p> <p>What are the potential outcomes that are linked to individual sequences of actions?</p> <p>What is the participation process about?</p>	<p>Coenen (2009)</p> <p>Coenen (2009, p.9)</p>
4e	<p>Aggregation rules:</p> <p>What is the level of control each participant has over the choices that are made?</p> <p>How are collective decisions and other outcomes made?</p> <p>"How are actions ordered, processed and terminated?"</p>	<p>Coenen (2009)</p> <p>Coenen (2009)</p> <p>Coenen (2009, p.10)</p>
4f	<p>Information rules:</p> <p>What information is available to participants about the structure of the action situation?</p> <p>"Are participants offered free access to the information that is necessary to make the decision?"</p> <p>"How is the public's [and stakeholders'] information processed?"</p>	<p>Coenen (2009)</p> <p>Coenen (2009, p.10)</p> <p>Coenen (2009, p.10)</p>

C. Interview protocol

C1. Transport authority

Nr.	Vraag	Antwoord	Categorie
1.	Kunt u kort iets vertellen over de OV-autoriteit en wat uw rol is bij de aanbesteding van de concessie?		Introducerend
2.	<p>Welke stakeholders zijn er betrokken geweest bij het proces?</p> <ul style="list-style-type: none"> ▪ Wie het vaakst, wie het minst en hoe wordt dit bepaald? ▪ Zijn alle relevante stakeholders voorafgaand aan (de participatie in) de aanbesteding in kaart gebracht? ▪ Hebben media bericht over de mogelijkheid van deelname aan het proces of zijn stakeholders via flyers, nieuwsbrieven of andere manieren op de hoogte gebracht? ▪ Zijn reizigers, omwonenden en bedrijven zelf direct betrokken geweest bij de aanbesteding? <ul style="list-style-type: none"> ○ Zijn zij actief uitgenodigd en is hier goed op gereageerd? ▪ Verschilt dit voor de NvU en PvE fase? 		<ul style="list-style-type: none"> ▪ Position rule/breadth ▪ Equality ▪ Breadth ▪ Position rule/breadth
3.	<p>Welke participatie activiteiten hebben er plaatsgevonden?</p> <ul style="list-style-type: none"> ▪ Welke verschillende methoden zijn er toegepast? ▪ Hebben de verschillende stakeholders elkaar ontmoet en hebben ze met elkaar gediscussieerd? Of alleen 1-op-1? ▪ Hebben stakeholders hun mening gegeven over de vraagstukken? ▪ Op welke vraagstukken wordt vooral geparticipeerd? ▪ Welke beleidsdocumenten zijn relevant voor hoe het proces is gestructureerd en wat de scope van het (participatie) proces is? ▪ Verschilt dit voor NvU en PvE fase? 		<ul style="list-style-type: none"> ▪ Intensity ▪ Intensity ▪ Intensity ▪ Scope ▪ Scope
4	<p>Wat kunt u zeggen over de bijdrage van stakeholders aan de aanbesteding?</p> <ul style="list-style-type: none"> ▪ Wat wordt er met de input van stakeholders gedaan? 		<ul style="list-style-type: none"> ▪ Influence ▪ Influence ▪ Openness

Nr.	Vraag	Antwoord	Categorie
	<ul style="list-style-type: none"> Is er aan stakeholders uitgelegd wat er met hun aanbevelingen is gedaan en zijn afwijkingen aan hun uitgelegd? Hebben zij bijgedragen aan de opzet van het participatie proces? Was het gezien de beperkingen (technische eisen, budget) mogelijk om de input van stakeholders te implementeren? Was de mogelijk om het proces te beïnvloeden voor alle stakeholders gelijk? Hebben de stakeholders de autoriteit om zelf voorstellen in te dienen? 		<ul style="list-style-type: none"> Openness Equality Authority rules
5	<p>Welke informatie wordt er verstrekt aan stakeholders?</p> <ul style="list-style-type: none"> Was het duidelijk wanneer zij mochten deelnemen? Was de toegang tot informatie voor alle stakeholders gelijk? 		<ul style="list-style-type: none"> Information rules/ Transparency Equality
6	<p>Wie genereert nieuwe informatie in het proces en hoe en door wie wordt dit verwerkt?</p> <ul style="list-style-type: none"> Was het voor deelname voor de stakeholders duidelijk hoe de participatie zou plaatsvinden en wat er met hun informatie gedaan zou worden? Hoe zijn acties geordend, verwerkt en uitgevoerd? Wie is er bevoegd om beslissingen te nemen? 		<ul style="list-style-type: none"> Information rules/ Transparency Aggregation rules Authority rules/ influence
7	<p>Wat zijn de grootste verschillen in de manier waarop stakeholders deelnemen aan aanbestedingsproces?</p> <ul style="list-style-type: none"> Zijn er stakeholders die moeite hebben om goed vertegenwoordigd te worden? Zijn er relevante verschillen in waarden, interesses en cultuur tussen de stakeholders? Zijn er merkbare verschillen in de invloed die stakeholders kunnen uitoefenen? 		Attributes of the community, stakeholders

Nr.	Vraag	Antwoord	Categorie
	<ul style="list-style-type: none"> ▪ In welke mate kunnen de individuen die betrokken zijn de belangen behartigen voor de partijen die zij representeren? ▪ Zijn er vertrouwens problemen tussen de autoriteit, wetenschappers of experts en stakeholders? 		
8	<p>Kunt u uitleggen hoe het organiseren van participatie plaatsvindt?</p> <ul style="list-style-type: none"> ▪ Hoe is de aanpak van het (participatie) proces vastgelegd? ▪ Bestaat er een rol van omgevingsmanager? ▪ Wat zijn de wettelijke taken waar de OV-autoriteit bevoegd toe is? ▪ Wanneer en op welke momenten laat u stakeholders participeren? 		<ul style="list-style-type: none"> ▪ Rules-in-use ▪ Position rules ▪ Authority rules ▪ Combi of rules
9	<p>Wat is de kijk van de OV-autoriteit op participatie?</p> <ul style="list-style-type: none"> ▪ Is er binnen de autoriteit kennis over het organiseren van participatie? ▪ Hoe kijkt u aan tegen het betrekken van stakeholders bij maken van een plan van aanpak voor de aanbesteding? ▪ Verantwoordelijkheden personeel naast participatie ▪ Factoren die wil of mogelijkheid implementeren participatie beïnvloed ▪ Wat is de kijk op het belang van de input van stakeholders? ▪ Middelen om te investeren in participatie processen? ▪ Zijn er duidelijke deadlines waarop besluiten gemaakt moeten worden? ▪ Merkt u duidelijk effect van de participatie in de aanbesteding 		Attributes of the community, agency
10	<p>In welke mate hebben contextuele kenmerken, zoals de grootte van de concessie, de duur van de concessie of het aanbestedingsproces en de complexiteit van het proces invloed op hoe participatie is georganiseerd?</p>		Nature of the good

Nr.	Vraag	Antwoord	Categorie
	<ul style="list-style-type: none"> ▪ Wordt hier bij het organiseren van participatie rekening mee gehouden? 		
11	<p>Wat maakt de aanbesteding van deze concessie bijzonder?</p> <ul style="list-style-type: none"> ▪ In het algemeen? ▪ Met betrekking tot participatie? ▪ Wat zou u in de toekomst anders doen? ▪ Welke gemeenten denkt u dat relevant zijn om te vragen naar hun betrokkenheid? ▪ Zijn er ander stakeholders relevant om te interviewen? 		Afsluitend

C2. Stakeholders

Nr.	Vraag	Antwoord	Categorie
1.	Kunt u kort iets vertellen over de betrokkenheid van [stakeholder] bij de aanbesteding en wat uw rol was bij de aanbesteding van de concessie?		Introducerend
2.	Op welke manier is [Stakeholder] betrokken geweest bij de aanbesteding? <ul style="list-style-type: none"> ▪ Hoe vaak bent u betrokken geweest en was dit voldoende? ▪ Welke verschillende methoden zijn er toegepast? ▪ Hebt u andere stakeholders ontmoet en hebt u met elkaar gediscussieerd? Of alleen 1-op-1? ▪ Heeft u uw mening gegeven over de vraagstukken? ▪ Op welke vraagstukken wordt vooral geparticipeerd? ▪ Verschilt dit voor NvU (Beleidskaders) en PvE (Eisen) fase? 		<ul style="list-style-type: none"> ▪ Position rule/breadth ▪ Intensity ▪ Intensity ▪ Intensity ▪ Scope
3.	Wat kunt u zeggen over de bijdrage van [Stakeholder] aan de aanbesteding? <ul style="list-style-type: none"> ▪ Wat wordt er met de input van stakeholders gedaan? ▪ Is er aan u uitgelegd wat er met uw aanbevelingen is gedaan en zijn afwijkingen aan u uitgelegd? ▪ Hebt u bijgedragen aan de opzet van het participatieproces? ▪ Was de mogelijkheid om het proces te beïnvloeden voor u gelijk aan die van andere stakeholders? ▪ Kunt u zelf voorstellen in dienen? 		<ul style="list-style-type: none"> ▪ Influence ▪ Influence ▪ Openness ▪ Equality ▪ Authority rules
4.	Was er voldoende informatie beschikbaar om goede input te kunnen leveren voor het aanbestedingsproces. <ul style="list-style-type: none"> ▪ Welke informatie is er aan u verstrekt? ▪ Was het voor deelname voor de stakeholders duidelijk hoe de participatie zou plaatsvinden en wat er met hun informatie gedaan zou worden? ▪ Was het duidelijk wanneer u mocht deelnemen? ▪ Was het duidelijk wat er met uw informatie gedaan zou worden? 		<ul style="list-style-type: none"> ▪ 4x Information rules/Transparency ▪ Equality

Nr.	Vraag	Antwoord	Categorie
	<ul style="list-style-type: none"> ▪ Hebt u het idee dat u evenveel toegang had tot informatie in vergelijking met andere stakeholders? 		
5.	<p>Op welke manier raadplegen jullie de mensen die jullie vertegenwoordigen?</p> <ul style="list-style-type: none"> ▪ Hoe hebben jullie reizigers, omwonenden en bedrijven betrokken bij de aanbesteding? <ul style="list-style-type: none"> ○ Zijn zij actief uitgenodigd en is hier goed op gereageerd? 		Position rule/breadth
6	<p>Wordt de deelname van [Stakeholder] aan het aanbestedingsproces bemoeilijkt door interne factoren van [Stakeholder] of zijn er juist interne factoren die het makkelijker maken voor [Stakeholder] om deel te nemen?</p> <ul style="list-style-type: none"> ▪ Zijn er stakeholders die moeite hebben om goed vertegenwoordigd te worden? ▪ Zijn er relevante waarden, interesses en cultuur die bepalen hoe [Stakeholder] deelneemt aan het proces? ▪ Zijn er voor u merkbare verschillen in de invloed die alle stakeholders kunnen uitoefenen? ▪ In welke mate kunnen de individuen van uw organisatie die betrokken zijn, de belangen behartigen voor de gehele achterban die zij vertegenwoordigen? ▪ Zijn er vertrouwensproblemen tussen de autoriteit, wetenschappers/experts, u en andere stakeholders? 		Attributes of the community, stakeholders
7.	<p>Zijn er externe factoren geweest die deelname van [Stakeholder] aan het aanbestedingsproces bemoeilijkten?</p> <ul style="list-style-type: none"> ▪ Heeft het feit dat het gaat om een groot concessiegebied invloed op de manier waarop u deelneemt? ▪ Heeft de duur van de concessie en de duur van het aanbestedingsproces invloed op de manier waarop u deelneemt? ▪ Heeft de complexiteit van de aanbesteding invloed op de manier waarop u deelneemt? 		Nature of the good

Nr.	Vraag	Antwoord	Categorie
8.	<p>Was het duidelijk voor u hoe het participatieproces werd georganiseerd?</p> <ul style="list-style-type: none"> ▪ Hebben media bericht over de mogelijkheid van deelname aan het proces of bent u via flyers, nieuwsbrieven of andere manieren op de hoogte gebracht? ▪ Hoe is de aanpak van het (participatie) proces vastgelegd? 		<ul style="list-style-type: none"> ▪ Breadth ▪ Rules-in-use
9.	<p>Wat is de kijk van [Stakeholder] op participatie (in de aanbesteding)?</p> <ul style="list-style-type: none"> ▪ Is er bij [Stakeholder] kennis over participatie? ▪ Hoe kijkt u aan tegen het betrekken van stakeholders bij maken van een plan van aanpak voor de aanbesteding? ▪ Wat is de kijk op het belang van de input van stakeholders? ▪ Investeert de OV-autoriteit voldoende in participatie? ▪ Merkt u duidelijk effect van de participatie in de aanbesteding 		Attributes of the community, stakeholder
10.	<p>Wat maakt de deelname van [stakeholder] aan het aanbestedingsproces bijzonder?</p> <ul style="list-style-type: none"> ▪ In het algemeen? ▪ Met betrekking tot participatie? ▪ Wat zou u in de toekomst anders doen? ▪ Welke andere gemeenten denkt u dat relevant zijn om te vragen naar hun betrokkenheid? ▪ Zijn er ander stakeholders relevant om te interviewen? 		Afsluitend

D. Full results participation dimension

Dimension	Indicator questions	Zaanstreek-Waterland	Score	Groningen-Drenthe	Score
Breadth	Has the broad public in the area been invited to take part in a participatory activity and was it well responded to?	All stakeholders and the public were involved. 2000 persons did respond to the survey (< 1% of the population). A panel of almost 500 persons was used. However, everybody had the chance to be involved.	3	The public was not involved. Municipalities in the concession area (except for Groningen) were not actively involved and only consulted in writing.	1
	Do/did mass media report about the participatory process or is a broad range of stakeholders provided with information via flyers, newsletters or other means?	Stakeholders and the public were well informed through all kinds of communication.	3	There was little external communication. However, internally everybody was informed.	1
Openness	Are/were stakeholders involved at a time when relevant decisions about the project design are/were still open for discussion?	There was no discussion about the process. There was a discussion on the contents. However, there was already policy developed before stakeholders could participate in this process. This reduces the openness.	1,5	The process started before policy was already developed. The involved stakeholders were more involved in the process design and the outcomes.	3
	Was it under the existing constraints (e.g. technical requirements, budget limitations) possible to implement stakeholders' suggestions?	Only suggestions that fit within the scope of the procurement process could be implemented.	2	Only suggestions that fit within the scope of the procurement process could be implemented.	2
Intensity	Do/did stakeholders meet each other and discuss about each other's point of view on the design of the plans?	Every stakeholder was involved per stakeholder group. Stakeholders did not meet each other.	1	Consumer organisations were well involved. Meetings of the consumer organisations were open to other stakeholders. The councils of the three decentralised governments did meet each other. But stakeholder groups were separately involved.	1,5
	Do/did stakeholders provide their opinion to the plans?	All stakeholders could react to the plans. Formally through a reaction on the (concept) PvE. Informally through the participatory activities.	3	All stakeholders could react to the plans. Formally through a reaction on the (concept) PvE. Some stakeholders could Informally react to the plans through participatory activities.	3
Influence	Were stakeholders part of the actual decision-making process?	Only the Vervoerregio (executive board) had the authority to make decisions. The Regioraad had decision-making authority in the policy development process (which is not part of the procurement process). Other stakeholders were not part of the decision-making.	1	Only the OV-Bureau (Executive (alderman of Groningen, deputy of Groningen and deputy of Drenthe)) have the authority to make decisions in the process.	1

Dimension	Indicator questions	Zaanstreek-Waterland	Score	Groningen-Drenthe	Score
	Were stakeholders' interests taken into account in the decision-making and were any deviations from their recommendations explained to them?	All stakeholders could formally react to the PvE. The transport authority had to comment on all reactions and published a note explaining what would be done with all recommendations. Deviations were explained.	3	All stakeholders could formally react to the PvE. The transport authority had to comment on all reactions and published a note explaining what would be done with all recommendations. Deviations were explained.	3
Equality	Were all relevant stakeholders identified at the beginning of the participatory process?	The transport authority had experience with the process. All relevant stakeholders and the public were involved.	3	A stakeholder analysis was executed at the start of the process. The authority had experience with the process. All relevant stakeholders were involved.	3
	Do/did all stakeholders have equal access to information and equal opportunities to influence the plans?	Some stakeholders had knowledge about the area and the process and therefore a head start. During the process, some stakeholders had more detailed information. Eventually, all stakeholders have the same information, the PvE, to provide their opinions.	2	The three councils of Groningen, Groningen and Drenthe got the same information at the same moment. All stakeholders eventually gained access to the PvE.	2
Transparency	Are participants in the participatory process well-informed about the issue? Was enough information provided, could all access the information available and was it understandable for all?	During the participatory activities, stakeholders and the public got all information they needed to participate. The PvE provided all information for a formal reaction.	3	During the participatory activities, stakeholders got all information they needed to participate. The PvE provided all information for a formal reaction.	3
	Do/did participants know from the beginning of their involvement what will be done with their input?	There are no signs that participants did not know what would be done with their input.	3	There are no signs that participants did not know what would be done with their input.	3