The search for leadership!
How leadership contributes to breaking through impasses in urban development projects

Graduation thesis Iris van Loon April 2013
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“Maar wat dat is, weet ik niet. Er zijn zoveel dingen die ik niet weet”
PREFACE

Before you, lies the thesis with which I conclude my study in the Architecture faculty at the Delft Technical University. This report is the *grande finale* in which I put a lot of effort, so I hope you read it with pleasure.

My graduation was an interesting journey in which I learned a lot: besides the gained knowledge of research, I also gained personal experience in interviewing, presenting and writing down my ideas. Of course this process was not only fun, at times it was also difficult and tough, but overall I enjoyed the process. I never regretted my decision to focus on leadership, since the topic keeps me fascinated, up till now.

Now that my study has come to an end, I feel nostalgic. I appreciate the architectural start of my study, the master in real estate management and the jobs and committees I did to ensure some variation in my week. During the six years in Delft, I had lots of fun, I learned a lot, and I would not have done it differently.

Four people in particular helped me to perform this research and to write this report. First of all, I would like to thank Tom Daamen and Karin Laglas for their continuous stimulation to push the limits and to improve the quality of my study. I want to thank my mentors from AT Osborne, Reijer Baas and Wieneke van Overmeeren, for helping me to stay close to the practice and to keep me focused and motivated. They challenged me to plunge into the world of AT Osborne by offering a platform to present and test my ideas, and to explore the working-life.

I thank the respondents who were prepared to give interviews and tell me about their leadership in the process. Without these interesting conversations and their willingness to open up to me, I would have never been able to conclude my study in this way. Several individuals offered critical reflection on my thoughts in order to increase the quality of my work. Thank you, Hester and Wouter-Jan for your input and ideas. Thanks Tim for the beautiful illustrations, and thanks to my colleagues from AT Osborne who helped me with test-interviews, pleasant (coffee) drinks and small talk in the library.

Special thanks go to my friends, my roommates and my basketball team for the distraction and fun times. Thanks Mieke, Pieter and Nora for all the nice lunches and baby times. Maarten and Meike (and B.), I enjoyed the coziness and support in Nijmegen in the weekends.

I want to thank Max for his understanding and love. You help me to keep the balance between work and fun, and you offer me a very attractive picture of the finish: Indonesia! Last, but certainly not least, I want to thank my mom and dad. Thank you mom for your care and calls, especially in the last months. Dad, you helped me to stay close to myself and to write my own thesis. I appreciate and treasure our philosophical talks about leadership and your unconditional support.

Iris van Loon, April 2013
ENGLISH SUMMARY

Urban area development projects encounter conflict and impasse, currently even more than before. The implications of the economic crisis dominate the progress of the projects that were initiated before the crisis started in 2008 and with legal and economic interventions in the project organization they try to pull the projects through the difficult situation. Leadership is indicated as a factor of influence on the success of urban area development projects; however, it is not clear how leadership can contribute breaking through an impasse.

In this research, leadership is studied in the context of urban development projects in the Netherlands. This thesis offers a glance into leadership in the complex processes of urban development and an introduction into the latest theories concerning leadership development. The aim of this research is to contribute to the knowledge and application of leadership in urban area development and how it is relevant in achieving progress in projects.

Contributing to knowledge

Leadership and urban area development are the two main concepts of this research. Three interrelated factors make this topic of research important: the characteristics of complex multi-organizational partnerships, the importance of the human factor in processes in these partnerships and the contextual developments that currently pressure the projects.

In the available theory and by the experts, the importance of leadership is confirmed. Nevertheless, the answer to the question ‘what is leadership in urban area development projects?’ is not provided. This indicates that there is a gap in the knowledge on the combination of those two, and, therefore, more knowledge is needed on the combination of leadership and urban area development.

The main problem that is the starting point for this research is:

There is not enough knowledge about leadership in urban area development to order to indicate how leadership could be used to respond to current contextual changes.

Since the concepts of leadership and urban area development are very broad, this research approaches these concepts around a very relevant moment in the process: a moment of impasse. At this moment the changing circumstances influence and put pressure on the progress of many projects. At this moment the leadership of the actors in their response to this situation might be crucial in breaking through the impasse.

The research question of this research is:

How can leadership contribute to breaking through the impasse in an urban area development project?
Leadership

How can leadership in urban area development projects be defined? Due to the inter-organizational character of public and private parties, we choose for a network approach to leadership in the context of urban development projects. Multiple partners from different backgrounds are involved in spatial development projects. When these organizations collaborate, a network of actors originates that can be characterized with the concepts: variety, dependency, closedness and dynamics. In urban area development projects the actors are not only from different organizations, the nature (public or private) of their organization also differs. These partnerships are sensitive for conflict, and are related to public and shared problems. This requires leadership in order to create vision and direction in the network.

Leadership in urban area development projects is defined by the inter-organizational context in which it takes place. It implicates that leadership is shared in a network and that effectiveness is closely related to the situation in which it takes place. The leadership is relational and it only exists in its ability to affect people’s behavior in the network. This results in the following definition of leadership:

For this research, the eight leadership archetypes of Kets de Vries are used to indicate the various leadership styles: strategist, communicator, processor, builder, transactor, change-catalyst, innovator and coach. ‘A leadership archetype characterizes the way in which leaders deal with people and situations in an organizational context’ and is used as a specific behavior pattern and a model by which people can be described and compared. According to Kets De Vries, P. Vrignaud, A. Agrawal, and Florent-Treacy (2010) leaders will have several matching profiles and they are able to switch between these profiles depending on the circumstances: behavioral adaptability (Kets De Vries, 2007).

In the literature research into the available theories on leadership, we find three perspectives on leadership: the individual, situational and network approach (see below).

<table>
<thead>
<tr>
<th>Individual</th>
<th>Situational</th>
<th>Network</th>
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<td>approaching effectiveness from the personal traits of an individual (the leader)</td>
<td>determining effectiveness through the match between the situation (organization and context) and the leader</td>
<td>identifying effectiveness in the multiple relations between actors in a network</td>
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The definition of leadership that is used in this research includes the individual, the situational and the network aspect, since they are very much interrelated and interdependent. The research includes the personality and experience of an individual (informal self), the situation in which this person operates (background, organization and position) and the composition of the actors and the interaction between them in the network.
Impasse

What causes the current impasse? The basis of the impasse in urban development’s projects is evaluated as a decision-making impasse. The economic circumstances put pressure on the projects. In this situation both public and private parties find themselves in a difficult position in which they need to reconsider their interest, financial position and the risks that they are able to take in the project. The static and detailed agreements that are made in the past in order to create a legal foundation for the collaboration, can conflict with this process of renewing and innovating the project. This mismatch contributes to a possible deadlock in the process: the reconsideration of the interests in the project can cause confusion, distrust and conflict between the parties. Not making a decision on the future of the projects complicates the collaboration and the project.

The moment of impasse is a point at which the project does not make progress anymore. When the actors in the project break through the impasse by making a decision, they are progressing in the process. This can result in a new agreement between the parties, a changed agreement or the dissolving of the contract.

There are different methods to proceed in the project. The economic crisis is often indicated as a moment to change systems and patterns that are common and known into adapting innovative ways of working. These two aspects, institutional change and learning orientation, indicate how progression can be made, when breaking through the impasse. Based on the theory several indicators for progression are extracted: drivers for change, decisiveness, vision, trust, identity, critical reflection, promotional action and learning-orientation.

These indicators form the basis for the answer on the sub question which leadership profiles could be important to break through impasse in urban area development projects? Several leadership profiles are indicated to be important in breaking through impasse and making progression in the project. The change-catalyst profile is focused on driving change and making decisions. The communicator profile is capable to promote change. The aspects of creating shared vision and open-minded learning orientation can be seen in the characteristics of a strategist. There is not a profile that includes trust and identity as explicit characteristic, but the coach profile might be relevant: empathy, motivation and emotional intelligence. The profile of communicator might also be able to influence trust and identity with the use of excellent stakeholder management skills. The processor is described in the theory of Kets de Vries as being able to complement to all leadership profiles. Processors are good in getting things done and doing this in a reliable, collaborative and effective manner. This might coincide with the requirements of trust and knowledge sharing.

These profiles together create a theoretical proposition on the main question in this research: contributing leadership profiles in impasse situations. In accordance to the network approach to leadership, these requirements need to be seen as characteristics in the leadership process shared amongst several individuals, instead of the characteristics of one leader.
Theoretical model
Based on the theory the following proposition can be made on relation between leadership and progression in urban area development projects:

**Leadership profiles in a network**
- **The profiles:**
  - Change catalyst,
  - Communicator,
  - Strategist,
  - Processor,
  - Coach

**Breaking through the impasse**

Situation of urban development projects
The impasse in urban area development projects is dependent on the situation the project is in. Each city, each organization, each municipality or private party, has its own problems which are unique. By using the analytical framework (based on the conceptual model of Heurkens (2012)), the situational aspects of urban development projects are described and the answer to the sub question is given: how can urban area development impasse be characterized?

The analytical framework distinguishes external circumstances that influence the impasse of the project. Four external influences that are relevant in the context of urban area development: the planning policies, the urban governance, the economy and the politics and society. The planning policies in the Netherlands are based on a binding land-use plan, a limited imperative system, permitted planning and legal certainty. They are time consuming and dependent on different departments within the municipality. Urban governance is the term for public parties executing administrative power and policy in the spatial context. How municipalities execute their urban governance differs and this influences the position and prominence of the state in urban area development projects. The economic crisis of 2007 to 2013 is considered as a severe crisis and the conditions in the real estate market are critical and both state and market parties try to improve the situation. Proposals for improvements come and go, and the direction of the possible solutions changes fast. The society is currently focused on a global network which is characterized by informality, limitlessness, anonymity, market-orientation and uncontrollability. The political context has been unstable for quite some time now, and political decision making is related to urban development projects.

More specific for each impasse is the organization of the project. The collaboration between parties can be organized in various formal structures and these are dependent on the interest of the parties in the development project. The organization is closely related to the legal and financial position that the parties wish to have. The organizational tasks and responsibilities, the legal rules and requirements and the financial risks and revenues are included in the analytical framework. These three aspects are closely interrelated, even though they are distinguished separately.
The central theme of this research, leadership, is cut up into three cyclical layers: leadership in the network (1), leadership profiles (2) and leadership in the process (3). As is stated in one of the starting principles in chapter two, leadership is dependent on context and is different in several situations. The context of the impasse is characterized in urban area development projects with the aspects project organization (4) and the external influence from the context on the project (5). All these components together create a framework which structure and orders the information from the project so a characterization and analysis can be made (see figure on page 11).

**Research method**

The theoretical model is empirically tested in the practice of urban area development. By using a qualitative case study research, an understanding of leadership in urban development projects is created. This method enables to include many variables and to perform in-depth research; however it provides limited grounds to generalize on. Four steps are taken in the research:

In the last step (4) the abstraction level and the subjective value of the analysis will increase: the case is accurately described, the information about leadership is configured, the configurations of the cases are compared with each other and the comparison is interpreted in a larger context.

**Case study**

In the case study the sub-questions that have already been researched in the theory, are studied in the empirical object: urban area development projects that experience impasse. Two cases are studied. In the first case, the partnership broke through the impasse, and in the second case the impasse is not broken through.

This case study is based on interviews with involved actors from both the public and private parties and their experience and interpretations are leading in the analysis. For confidentiality reasons, the actors remain anonymous and so there are no references to the original interviews with the corresponding respondent. The location of the case is also not released.

**Case 1: Renegotiating terms from 2005**

In this case three parties result in an impasse situation when they are renegotiating the terms of a framework agreement that they signed in 2005. The arrangements on the large scale urban development around the central train station are not realistic anymore and it takes the parties several years to break through this impasse.

The municipality made an agreement with two private parties, a large Dutch project developer and the railway project developer, who organized themselves in a consortium. The municipality
founded a project organization to execute the development and is 100% shareholder of this company.

The implications of the economic crisis and the initial flaws in the agreement from 2005, cause the arrangements about a fixed land price between the parties to come under pressure. The contract appears not to be conclusive on the fixed land price and if it is a guaranteed revenue for the municipality. The parties result in a yes and no discussion on who will give in on the land price. The atmosphere in the collaboration becomes tense and the parties study their legal position in this partnership. In 2010 this situation can be described as in impasse, since there was no movement in the project and the collaboration.

The municipality and the municipal council lived in the assumption that the land revenues were a sure thing and when this started to become less certain, the municipality started to involve in the municipal development company. The break through the impasse is enabled in the course of 2011 when the municipality prepares a new direction in their urban governance strategy. They want to gain control and influence over the development in this crucial part of the city and they are willing to also take the involved risk. This means that the municipality intends to take back the rights from the development consortium to develop real estate in the area. One of the parties in the consortium saw an opportunity to hand in the development rights to the municipality (50% of the total development area) since they wanted out, due to a changed corporate strategy. The other development party in the consortium wanted to maintain the development rights, and the negotiation results in a 33% share of the development of the real estate programme in the area. The framework agreement from 2005 is dissolved and the municipality and the project developer agree on a land agreement.

The breakthrough the impasse is partly determined by developments in the context that enables them to close the deal. Just as important is the way people act and their leadership in the network in the continuation of the project. The following network representation indicates the multiple relations between the individuals, and their prominent leadership profiles, according to the theory of Kets de Vries.
Conclusions about leadership in the case:

- Various external analyses, knowledge and collective research helped to guide the political decision-making process and to elucidate the differences in expectations.
- Both formal and informal leaders need to have knowledge of and experience in urban area development. This case shows that a lack of knowledge can create disrupts in the effectiveness in the network and can weaken the personal leadership strengths.
- The leadership profiles of the coach and the change-catalyst are very little, or not represented at all in the network.
- Project managers in the network find it difficult to give a self-reflective indication of their leadership profile, and this profile often does not coincide with the average profile rated by others.
- The alderman, who becomes involved in 2011, is important in the political context in order to create public support. This is done by his strong communicator leadership profile.
- The transactor profile was added to the network in the person of the strategic negotiator, in order to close the deal in the final phase of the process.

Case 2: The impasse around three subcontracts

In the second case several attempts have been made by the involved actors to break through the impasse in the urban development project. This impasse is an example of a complex legal construction in which the parties find themselves tangled up when the circumstances change. Up to this moment, the parties have not figured out a way to break through this impasse.

In July 2009 the educational facility, the municipality and the housing corporation come to a negotiation result in which they sign the intention to make a package deal that consists of three sub agreements between the parties. The first two contracts are signed almost immediately in the end of 2009; however the third contract is not signed up till now. The municipality and the housing corporation cannot come to an understanding about the land price and the restrictions in the land use plan, and since the other two contracts are related to the third, the development of the area is experiencing a deadlock. This impasse is most prominent in the end of 2011, when the project managers in the collaboration are unable to work together constructively. In an attempt to improve the atmosphere in the partnership, and even to break through the impasse, the project managers for this project are changed. The educational facility is the user of the area and had a lot of urgency throughout the process for the contracts to be signed. The educational facility is currently attempting to create a solution for their problem on their own site, and thereby their urgency will also decrease. The question is what will remain of the intentions to develop this area.

A combination of reasons caused that it was not possible to make progression in the project until now. The planning policies in this area cause a lot of discussion. The requirement for 30% social housing in the area and the compensation arrangement in-between the contracts, created a large interdependency in the three sub agreements. The deal is complex in its set-up and intertwined with other contracts. It is therefore not flexible for the changes that are needed in the year 2013. Also the communication on the interests of all three parties is not transparent. The housing corporation is vague about their strategy for the area and this causes speculation on their ‘agenda’ by the other actors, which even resulted in distrust at times.

The following network representation indicates the multiple relations between the individuals, and their prominent leadership profile, according to the theory of Kets de Vries.
Conclusions of leadership in the case:

- It is a very formal collaboration between the parties with little shared ownership and team spirit. This might be due to a lack of convincing coaches and/or communicators in the group.
- There is little diversity of leadership in the team, especially between the people on the same level in the partnership.
- The leadership profiles of the coach, communicator and the change-catalyst are little to not represented at all in the network.
- Individuals in the network often refer to different profiles than the other actors in their self-reflection. No one indicates all three profiles, but they did recognize one or two of the profiles.

Conclusions

The conclusions drawn are based on the results and findings of this research. The first conclusion is related to impasse in urban development projects. The underlying cause of the impasse appeared to be a lack of decision-making. When parties do not have the courage to be transparent and to make decisions about the future of the project, it is very difficult to break through impasse. The analytical framework (in which the leadership, the process, the project organization and the external influences were described) has proven itself to be helpful in this research. It visualized the impasse and compared the content of the cases. However, the spatial aspect should be added to the framework in order to make a complete characterization.

The second conclusion refers to the theory of Kets de Vries and the eight chosen archetypes. The profiles and the related leadership characteristics are discussed in relation to their relevance for breaking through impasses. The used theoretical model is tested in practice to describe if and how the different profiles showed to be contributing or working against a breakthrough in impasse in the cases. The two cases that are examined in this research illustrate that the theoretical proposition cannot be confirmed completely, due to the following aspects:

- The change-catalyst was absent in both cases.
- The communicator profile is important when breaking through an impasse, mainly when it involves political support and decision-making.
• The strategist profile is extremely relevant in both cases. However, this is perceived in an ambiguous way. It is seen as both contributing and diminishing when breaking through an impasse.
• The coach profile is related to leadership within an organization, and is, therefore, not present in the partnerships.
• The processor profile is often combined with the builder, and these are typically the profiles that were used to describe project managers in the network. Both profiles are often represented. The static behavior of the processor profile tends to slow down the process of breaking through the impasse.

The third conclusion relates to the collective aspect of leadership in the network and the applicability of leadership profiles. Based on these cases it is not possible to draw conclusions on the applicability of the collective network approach in urban development projects. People acknowledged the importance of shared and collective leadership in inter-organizational partnerships, since there is not one authority in this collaboration. Nevertheless, we notice that hierarchy within the organization is also relevant, as was shown in the impact ratings of the second case. In a wider perspective we see that collective network approaches to leadership are applied and become more developed.

The use of the leadership profiles (from the theory of Kets de Vries, 2007) in this research was relevant to profile the human behavior, but is not entirely applicable in this context. This implies that we need further research and adaptation of the theory to be able to completely define and develop leadership in urban development projects. In general the level of self-consciousness of the actors in urban development projects related to the leadership behavior is low, especially of the project managers.

Discussion
The conclusions of this research provided an answer to the research questions, based on a combination of theory and practice. The research method offered chances and also brought along limitations. The restriction is that leadership was not made objective through observing behavior, since this research chose to indicate the perception and interaction of leadership within the network. A relevant opportunity in this case study approach is that it is possible to include unforeseen interesting variables in the research. For example, the position of the alderman in the project is often mentioned during the interviews.

The goal of this research was not to create a general theory, but to find out how leadership in urban area development can be understood. Even though a generalization cannot be made based on these two cases, this research does provide insight and knowledge on leadership for the readers, the leaders and the experts. Complicating factors for the gathering of data in this research are the strict confidentiality requirements and hesitant actors. Since there are large interests and stakes involved, parties are afraid to damage their relationship when their opinions and ideas would be written down.

Reflecting on leadership in a more fundamental discussion, we need to place this research into complex network leadership in perspective: it is almost beyond conscious processes that can be studied. However this does not mean that we can ignore the human factor; we need to find a way to work with leadership in this context of complex multi-organizational collaborations. We need to involve network leadership in our future strategy, not only to minimize the loss of efficiency and effectiveness, also to search for the innovation potential which is present in the collaboration.
**Recommendations**

Based on the results and experiences in this research, several recommendations can be made. The first recommendation has to do with a revised method of leading an urban development project in practice: using the positive effects of better communication in the teams, increasing the level of awareness in general and using the power of a change catalyst in order to break through an impasse.

The second recommendation relates back to the original theory of the eight archetypes of Kets de Vries (2007). A new set of profiles is described which is more attuned to the context of urban development projects. Throughout this research, we concluded that the five profiles in the proposition (change-catalyst, communicator, strategist, processor and coach) could not be completely confirmed in the cases. With the following alterations, the five profiles could match the situation of urban development projects better.

The third recommendation is to start further research into leadership in urban area development in three directions; public leadership and the position of the alderman, network leadership existing in the multiple relations between leaders and the characteristics of individual leaders (the five proposed profiles).

This research offered the first step for the improvement of leadership in urban area development, especially in times when leaders have to deal with impasse. With the use of intensive research into these two cases, the direction for future research into leadership has gotten more explicit and challenging.
DUTCH SUMMARY

Gebiedsontwikkelingsprojecten moeten het hoofd zien te bieden aan impasses en conflicten, vandaag de dag meer dan ooit. De implicaties van de economische crisis trekken een zware wissel op de voortgang van projecten die al gestart waren voordat de crisis begon in 2008. De projectorganisaties proberen met juridische en economische interventies de projecten uit de lastige situatie te trekken. Hoe leiderschap in deze ontwikkeling te passen is, is niet duidelijk. Toch wordt aangegeven dat leiderschap van invloed is op het succes van gebiedsontwikkelingsprojecten.

In dit afstudeeronderzoek wordt het concept leiderschap onderzocht binnen de context van gebiedsontwikkeling in Nederland. De thesis wil een inkijk geven in leiderschap op het publiek-private raakvlak in gebiedsontwikkeling en een introductie bieden van de meest recente leiderschapstheorieën. Het doel van dit onderzoek is een bijdrage te leveren aan kennis over en toepassing van leiderschap in gebiedsontwikkeling, en inzicht in het belang van leiderschap voor de voortgang van projecten.

Probleem
Leiderschap en gebiedsontwikkeling zijn de twee belangrijkste concepten van deze studie. Drie onderling verbonden factoren, zijn hierbij van belang: de samenwerking tussen meerdere organisaties, de menselijke factor in deze processen en de contextuele ontwikkelingen op de projecten.

In literatuur vinden we informatie over de complexe interorganisationele samenwerkingen, het cruciale belang van de menselijke factor in gebiedsontwikkelingsprojecten en de ontwikkelingen in de context die deze projecten onder druk zetten. Steeds weer wordt het belang van leiderschap door deskundigen en de beschikbare theorieën bevestigd, toch is het antwoord op de vraag 'wat is leiderschap in gebiedsontwikkelingsprojecten nu eigenlijk?' nog niet gegeven. Dit laat zien dat er een kloof is in kennis over de combinatie van deze twee begrippen. Daarom is het belangrijk meer kennis te verkrijgen over de combinatie van deze twee concepten.

De probleemstelling waar dit onderzoek vanuit gaat:

Er is onvoldoende kennis van leiderschap in gebiedsontwikkelingsprojecten om te indicieren hoe leiderschap ingezet kan worden om te reageren op de huidige veranderingen in de context.

Omdat de concepten leiderschap en gebiedsontwikkeling zeer breed zijn, wil deze studie ze benaderen vanuit een uiterst belangrijk tijdsmoment in het proces: het moment van impasse. Op zo’n moment beïnvloeden de veranderende omstandigheden de voortgang van het project, en zetten een grote druk op het geheel. Mogelijk kan het leiderschap van de actoren, hoe te reageren op de situatie, van belang zijn in het doorbreken van de impasse.

Dat brengt ons tot de volgende onderzoeksvraag

Hoe kan leiderschap bijdragen aan het doorbreken van impasse in gebiedsontwikkelingsprojecten?

Leiderschapsprofielen in een netwerk Relatie? Doorbreken van impasse
Leiderschap
Allereerst moet een antwoord gegeven worden op de vraag *hoe kan leiderschap binnen gebiedsontwikkeling gedefinieerd worden?* Meerdere partners zijn vanuit verschillende achtergronden betrokken bij projecten in de ruimtelijke ontwikkeling. Dit interorganisationele karakter is niet slechts een gevolg van de taakstelling in de projecten, het is een gegeven in de aard van de opdracht. In gebiedsontwikkelingsprojecten komen de actoren niet alleen uit verschillende organisaties, de aard van hun organisatie (publiek of privaat)is ook verschillend. Bij een dergelijke samenwerking van organisaties, ontstaat een netwerk van actoren dat kan worden beschreven vanuit de concepten: variëteit, afhankelijkheid, geslotenheid en dynamiek. Dit soort samenwerkingen zijn gevoelig voor conflicten en leiderschap kan een essentiële rol vervullen om hieruit te komen.

Leiderschap in gebiedsontwikkelingsprojecten wordt gedefinieerd door de interorganisationele context waarbinnen het plaatsvindt. Dat impliceert dat het leiderschap wordt gedefinieerd binnen het netwerk van samenwerkende actoren en dat de effectiviteit van dit netwerk nauw verbonden is met de situatie waarbinnen het plaatsvindt. Het leiderschap is relationeel, en bestaat bij de gratie van het vermogen van de leider om het gedrag van de andere mensen binnen het netwerk te beïnvloeden.

Dit resulteert in de volgende definitie van leiderschap:

*Leiderschap als een *gedeeld en collectief proces* waarin *complementaire leiderschapsprofielen* onderling gerelateerd zijn in *het netwerk*. De effectiviteit van *dit netwerk* bepaald *het succes van de organisatie in verschillende contexten*.

Voor deze studie worden de acht leiderschapsarchetypes van Kets de Vries gebruikt om de verschillende leiderschapsstijlen te indiceren: de innovator, the katalysator, de coach, de strateeg, de processor, de bouwer en de communicator. ‘Een leiderschapsarchetype karakteriseert de manier waarop leiders omgaan met mensen en situaties in een organisatorische omgeving’ en het archetype wordt gezien als een specifiek gedragspatroon en biedt een model waarin mensen kunnen worden beschreven en vergeleken. Volgens Kets de Vries et al. (2010)hebben leiders meerdere matchende profielen en zijn ze in staat, afhankelijk van wat de situatie van hen vraagt, te switchen tussen deze profielen: het vermogen om het gedrag aan te passen (Kets de Vries, 2007).

In de literatuurstudie naar leiderschapstheorieën zien we drie perspectieven op leiderschap: de individuele, situationele en netwerkbenadering.

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<th>Individueel</th>
<th>Situationeel</th>
<th>Netwerk</th>
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<tr>
<td>effectiviteit benaderen vanuit de persoonlijke kenmerken van een <em>individu</em> (de leider)</td>
<td>effectiviteit bepalen door de match tussen de <em>situatie</em> (organisatie en context) en de leider</td>
<td>effectiviteit vaststellen binnen de meerdere relaties tussen actoren binnen een <em>netwerk</em></td>
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De definitie van leiderschap in dit onderzoek wil deze drie aspecten: het individu, de situatie en het netwerk samenbrengen, omdat ze gerelateerd zijn en onderling afhankelijk. Dit onderzoek beschouwt de persoonlijkheid en de ervaring van een individu (informele zelf), de situatie waarin deze persoon werkt (achtergrond, organisatie en positie) en de samenstelling van de groep actoren en de interactie binnen het netwerk.
Impasse
Wanneer er sprake is van een impasse in een project kunnen we de vraag stellen: *wat is de oorzaak van deze impasse?* De onderliggende basis van de impasse in gebiedsontwikkelingsprojecten kan geëvalueerd worden als een impasse in het besluitvormingsproces. De economische omstandigheden zetten druk op de projecten en zowel publieke als private partijen bevinden zich in een moeilijke positie waarin ze genoodzaakt zijn hun belangen, financiële positie en de risico’s in het project te heroverwegen. De statische en gedetailleerde overeenkomsten uit het verleden, bedoeld om een juridische zekerheid in de samenwerking te bieden, kunnen gaan conflicteren met dit proces van vernieuwing en heroverweging van het project. Dat draagt bij aan een mogelijke *deadlock* in het proces: het heroverwegen van de belangen in het project kan verwarring, wantrouwen en zelf conflict tussen de partijen teweegbrengen.

In deze situatie is besluitvaardigheid vereist. Maar juist besluitvaardigheid is moeilijk te verkrijgen binnen een interorganisatorische samenwerking waarin verschillende besluitvormingsprocessen naast elkaar plaatsvinden. Binnen een gezamenlijke taakstelling is het uitoefenen van effectief en beslissend autoritair leiderschap niet mogelijk. Het is noodzakelijk visie en vertrouwen binnen het netwerk te bewerkstelligen, waarin de verschillende partijen in het besluitvormingsproces zich kunnen vinden.

Het moment van impasse markeert het punt waarop het project geen enkele vooruitgang meer maakt. Als de actoren in het project in staat zijn deze impasse te doorbreken door een beslissing te nemen, komt het project weer in beweging. Dit kan resulteren in een nieuwe overeenkomst tussen de partijen, een verandering van een overeenkomst of het ontsluiten van het bestaande contract.

Er zijn meerdere manieren mogelijk om het project voort te zetten. De economische crisis wordt ook wel benoemd als het moment om systemen en patronen te veranderen en innovatieve manieren van werken in gang te zetten. Twee aspecten, institutionele verandering en leeroriëntatie, laten zien *hoe* vooruitgang geboekt kan worden als de impasse eenmaal doorbroken is. Op basis van de informatie uit innovatie theorie (Buitelaar et al., 2007, Keskin, 2006 en Rosing et al., 2011) kunnen meerdere indicatoren vooruitgang aangeven: aanwezigheid van aanjagers van verandering, besluitvaardigheid, gezamenlijke visie, vertrouwen, identiteit, kritische reflectie, promotionele actie en leeroriëntatie.

Deze indicatoren vormen de basis voor het antwoord op de sub vraag *welke leiderschapsprofielen belangrijk zouden kunnen zijn bij het doorbreken van een impasse binnen gebiedsontwikkelingsprojecten.* Er worden door Kets de Vries verscheidene leiderschapsprofielen aangegeven die van belang kunnen zijn bij het doorbreken van impasse en het weer vooruit helpen van het proces. Het profiel van de *katalysator* is gericht op veranderen en moeilijke besluiten nemen. De *communicator* is in staat deze verandering naar buiten toe te promoten. Het creëren van een gedeelde visie en een open-minded leeroriëntatie passen bij de karakteristieken van een *strateeg*. Kets de Vries heeft geen profiel waarin vertrouwen en identiteit expliciet zijn opgenomen, maar het zou kunnen passen bij het profiel van de *coach*: empathie, motivatie en emotionele intelligentie. Ook de communicator zou invloed kunnen hebben op vertrouwen en identiteit door excellent stakeholder management skills. De
De situatie van gebiedsontwikkelingsprojecten

De aard van de impasse in gebiedsontwikkelingsprojecten hangt af van de situatie waarin het project zich bevindt. Iedere stad, iedere organisatie, elke gemeenteraad of private partij heeft zijn eigen specifieke, unieke problemen. Door het gebruik van het analyse kader worden de situationele aspecten van gebiedsontwikkelingsprojecten beschreven en kan het antwoord op de sub-vraag gegeven worden: *hoe kan een impasse in gebiedsontwikkeling gekarakteriseerd worden?*

Het analyse kader maakt onderscheid tussen verschillende externe omstandigheden die van invloed zijn op de impasse van een project. De vier relevante aspecten binnen de context van gebiedsontwikkeling zijn: het beleid op stedelijke planning, *urban governance*, de economische omstandigheden en de politiek en maatschappij (Heurkens, 2012). Het beleid op *stedelijke planning* in Nederland is gebaseerd op een bindend bestemmingsplan, het uitgeven van vergunningen en juridische zekerheid. Dat zijn tijdrovende procedures en ze zijn afhankelijk van verschillende afdelingen binnen de gemeente. Het begrip *urban governance* staat voor publieke partijen die administratieve macht en beleid op de ruimtelijke omgeving uitoefenen. Hoe gemeentes hun urban governance uitoefenen is verschillend, en dat
beïnvloedt de mate van invloed die de overheid uitoefent op gebiedsontwikkelingsprojecten. De economische crisis van 2007 tot op heden wordt gezien als een zeer ernstige. De conditie van de vastgoedmarkt is kritiek en zowel de overheid als de marktpartijen proberen verbetering in de situatie te brengen. Verbetervoorstellen komen en gaan en de richting van mogelijke oplossingen verandert voortdurend. Vandaag de dag is de maatschappij gericht op een globaal netwerk, gekenmerkt door informaliteit, grenzenloosheid, anonimiteit, oriëntatie op de markt en oncontroleerbaarheid. De politieke context is, nu al enige tijd, onstabiel en gebiedsontwikkelingsprojecten zijn sterk gerelateerd aan wat op politiek niveau besloten wordt.

Voor iedere impasse is de manier waarop het project georganiseerd is specifiek. De samenwerking tussen partijen kan met behulp van verschillende formele structuren georganiseerd worden. De keuze voor de manier van organisatie is nauw verbonden met de juridische en financiële posities die partijen wensen te hebben, afhankelijk van het belang van de partijen in het project. Ook de organisatietaken en -verantwoordelijkheden, de juridische regels en eisen en de financiële risico’s en opbrengsten zijn opgenomen in het analyse kader. Deze drie aspecten worden afzonderlijk beschreven, maar zijn sterk geïnterrelateerd.

Het centrale thema van dit onderzoek, leiderschap, wordt opgedeeld in drie cyclische lagen: leiderschap binnen het netwerk (1), leiderschapsprofielen (2) en leiderschap in het proces (3). De context van de impasse in een gebieds-ontwikkelingsproject wordt gekenmerkt door de projectorganisatie (4) en door externe invloeden uit de context op het project (5). Al deze componenten bij elkaar creëren een kader waarmee de informatie over de impasse gestructureerd en geordend kan worden, zodat een karakterisering gemaakt kan worden (zie figuur op pagina 21)

**Methode**

Het theoretische model is getoetst in de praktijk van gebiedsontwikkeling. Dit is gedaan met behulp van een kwalitatief case studie onderzoek om het begrip leiderschap in gebiedsontwikkelingsprojecten beter te kunnen begrijpen. Met deze methode kunnen diverse variabelen worden meegenomen en kan intensief diepe onderzoek gedaan worden. De basis om op te generaliseren blijft in dit onderzoek beperkt gezien het beperkte aantal casussen dat wordt onderzocht. In de studie worden vier methodologische stappen gezet:

**STEP 1** PREPARATIONSDocuments
**STEP 2** GATHERING DATAInterviews
**STEP 3** EDITING DATA
**STEP 4** ANALYSING DATACONCLUSIONS

CASE 1
PREPARATIONS Documents
GATHERING DATA Interviews
EDITING DATA
ANALYSING DATA

CASE 2

Bij de laatste stap (vier) zal het abstractieniveau van de analyse steeds hoger worden: eerst wordt de casus accuraat beschreven, dan wordt de informatie over leiderschap geconfigureerd en deze configuraties worden over de casussen met elkaar vergeleken. De vergelijking wordt in een brede context geïnterpreteerd in de aanbevelingen.

Graduation thesis Iris van Loon
**Case studie**

In de case studie zijn de sub vragen, die al eerder theoretisch waren onderzocht, bestudeerd in de praktijk: gebiedsontwikkelingsprojecten die in een impasse terecht zijn gekomen. Twee casussen zijn onderzocht. In de eerste casus heeft de samenwerking de impasse kunnen doorbreken, in de tweede casus is het niet mogelijk gebleken de impasse te doorbreken.

De case studie is gebaseerd op interviews met de betrokken actoren van zowel publieke als private partijen, en hun ervaringen en interpretatie zijn leidend voor de analyse van de casus. Om redenen van vertrouwelijkheid blijven de actoren anoniem en daarom worden geen referenties van de originele interviews met de bijbehorende respondenten gegeven. Ook wordt de locatie van de casussen niet bekendgemaakt.

**Casus 1: De voorwaarden uit 2005 heronderhandelen**

In deze casus belanden drie partijen in een impasse wanneer zij gaan heronderhandelen over de afspraken uit het raamwerkovereenkomst, getekend in 2005. De afspraken over het grootschalige gebiedsontwikkelingsproject rondom het centraal station, waren niet langer realistisch. Het kostte de partijen meerdere jaren om deze impasse te doorbreken.

De gemeente had een overeenkomst gesloten met twee private partijen, een grote Nederlandse projectontwikkelaar en de projectontwikkelaar van de Spoorwegen, georganiseerd in een consortium. De gemeente richtte een projectorganisatie (een BV) op om de ontwikkeling uit te voeren namens de gemeente en is 100% aandeelhouder van deze BV.

Door de gevolgen van de economische crisis en de aanvankelijke tekortkomingen in de overeenkomst van 2005, komen de afspraken tussen de partijen over een vastgestelde grondprijs onder druk te staan. Het contract blijkt geen uitsluitst te bieden over de vastgestelde grondprijs en over de verwachting opbrengsten voor de gemeente, die naar hun idee gegarandeerd waren. Dit resulteert in een discussie over wie van de partijen zal gaan ingeven op de grondprijs. De sfeer binnen de samenwerking wordt gespannen en beide partijen bestuderen hun juridische positie. In 2010 kan de situatie worden beschreven als zijnde een impasse, er zit geen beweging meer in het project, noch in de samenwerking.

De gemeente en de gemeenteraad verkeren in de veronderstelling dat de grondopbrengsten vastliggen, maar als blijkt dat hieromtrent onzekerheid is ontstaan, gaat de gemeente zich intensiever bemoeien met de gemeentelijke projectorganisatie. In de loop van 2011 wordt het mogelijk de impasse te doorbreken wanneer de gemeente een nieuwe richting in haar strategie voorbereidt. Zij wil meer controle op en invloed over de ontwikkeling krijgen van dit cruciale deel van de stad en is bereid om daarvoor ook extra risico te nemen. Dit betekent dat de gemeente van plan is de rechten van het ontwikkelconsortium om vastgoed in dit gebied te ontwikkelen, terug te nemen. Een van de partijen binnen het consortium ziet hier de gelegenheid om de ontwikkelrechten terug te geven aan de gemeente (50% van de totale ontwikkelrechten), omdat ze, door verandering in de corporate strategie, eruit willen stappen. De andere ontwikkelpartij in het consortium wil de ontwikkelrechten juist behouden. De onderhandelingen hierover resulteren in het recht voor de projectontwikkelaar om 33 procent van het vastgoedprogramma in het gebied te ontwikkelen. De raamwerkovereenkomst uit 2005 wordt hierbij ontbonden en de gemeente en de projectontwikkelaar tekenen een grond uitgifte overeenkomst.

Het doorbreken van de impasse is deels te danken aan ontwikkelingen in de context die de partijen in staat stelde de overeenkomst te sluiten. Maar, net zo belangrijk voor het continueren van het project, is de manier waarop de betrokken mensen handelden en hun leiderschap in het netwerk. De volgende representatie van het netwerk laat de meervoudige relaties tussen de individuen zien, en hun prominente leiderschapsprofiel, volgens de theorie van Kets de Vries.
Een samenvatting van het diepgaande onderzoek:

- De grote hoeveelheid externe analyses en collectief onderzoek zijn behulpzaam geweest bij het proces van politieke besluitvorming en het gelijktrekken van de verschillende verwachtingen.
- Zowel formele als informele leiders moeten voldoende kennis hebben van –en ervaring met- gebiedsontwikkeling. Deze casus laat zien dat een gebrek aan kennis de effectiviteit binnen het netwerk kan verstoren en het persoonlijk leiderschap kan verzwakken.
- De leiderschapsprofielen van de coach en de katalysator zijn nauwelijks tot niet aanwezig in het netwerk.
- Projectmanagers binnen het netwerk vinden het moeilijk zelfreflectie toe te passen op hun eigen leiderschapsprofiel en het profiel dat ze zelf inschatten blijkt vaak niet te corresponderen met het gemiddelde profiel dat door anderen wordt geëvalueerd.
- De wethouder, die in 2011 bij het project betrokken raakte, is belangrijk in de politieke context, om publiek draagvlak te creëren. Dit is tot stand gebracht met zijn sterke communicator profiel.
- Het transactor profiel is aan het netwerk toegevoegd in de persoon van de strategische onderhandelaar, om in de laatste fase van het proces, de deal te sluiten.

Casus 2: De impasse rondom drie sub contracten
In de tweede casus zijn er door de betrokken actoren meerdere pogingen gedaan om de impasse in het gebiedsontwikkelingsproject te doorbreken. Deze impasse is een voorbeeld van een complexe juridische constructie waarin de partijen verstrikt zijn geraakt door veranderende omstandigheden. Tot op heden hebben de partijen nog geen manier gevonden om deze impasse te doorbreken.

In juli 2009 kwamen de onderwijsinstelling, de gemeente en de woningcorporatie tot een onderhandelingsresultaat waarbij ze een intentie ondertekenden om een package deal te sluiten, bestaande uit drie sub contracten tussen de drie partijen. De eerste twee contracten werden eind 2009 vrijwel meteen getekend; het derde contract is echter tot op de dag van vandaag niet ondertekend. De gemeente en de woningcorporatie kunnen niet tot overeenstemming komen over de grondprijs en de restricties in het bestemmingsplan. Aangezien de andere twee contracten gerelateerd zijn aan het derde contract, is de ontwikkeling van het gebied op een
dood punt terechtgekomen. De impasse is eind 2011 het meest zichtbaar, als de projectmanagers van de gemeente en de woningcorporatie niet meer in staat zijn constructief samen te werken. In een poging de sfeer binnen de samenwerking te verbeteren, en misschien zelfs de impasse te doorbreken, zijn er nieuwe projectmanagers op dit project gezet. De onderwijsinstelling is de gebruiker van het gebied, en ervaart grote urgentie tot het ondertekenen van de contracten. De school probeert nu een oplossing te creëren op zijn eigen grond, waardoor de urgentie minder zal worden. De vraag is wat er nog over blijft van de aanvankelijkeintenties om dit gebied te ontwikkelen.

Een combinatie van factoren maakt het tot nu toe onmogelijk vooruitgang in het project te maken. Het bestemmingsplan beleid in dit gebied veroorzaakt heel wat discussie. De vereiste 30 procent sociale woningbouw in het gebied en de afspraak over compensatie hiervan op een ander gebied (in een ander contract), zorgt voor een grote onderlinge afhankelijkheid tussen de drie sub contracten. De deal is dan ook complex in zijn opzet en verweven met andere contracten. Daardoor is er geen ruimte voor veranderingen die vereist zijn anno 2013. Ook is de communicatie over de belangen tussen de drie partijen niet transparant. De woningcorporatie blijft vaag richting de andere partijen over zijn strategie in dit gebied. Dit veroorzaakt bij de andere actoren speculatie en zelfs wantrouwen over de 'verborgen agenda' van de woningcorporatie.

De weergave van het netwerk laat de meervoudige relaties tussen de individuen zien, en hun prominente leiderschapsprofiel, volgens de theorie van Kets de Vries.

De volgende conclusies kunnen getrokken worden, op basis van het diepgaande onderzoek naar de casus:

- De samenwerking tussen de partijen is zeer formeel, met weinig gedeeld eigenaarschap en teamspirit. Dit kan te wijten zijn aan een gebrek aan overtuigende coaches en/of communicators in de groep.
- Er is weinig diversiteit in leiderschap binnen het team en in het bijzonder niet tussen de mensen die op hetzelfde niveau binnen de samenwerking opereren.
- De leiderschapsprofielen van de coach, de communicator en de katalysator zijn nauwelijks of niet aanwezig in het netwerk.
• Individuen binnen het netwerk beschrijven vaak een leiderschapsprofiel in hun zelfreflectie, anders dan de inschatting die andere actoren over de betreffende persoon maken. Niemand gaf alle top drie profielen aan, maar ze herkenden een of twee van de profielen.

Conclusies
De conclusies zijn gebaseerd op de resultaten en bevindingen van het onderzoek. De eerste conclusie gaat over de impasse in gebiedsontwikkelingsprojecten. De onderliggende oorzaak van de impasse lijkt een gebrek aan besluitvaardigheid te zijn. Als partijen niet de moed hebben om transparant te zijn en beslissingen te nemen over de toekomst van het project, is het erg moeilijk uit een impasse te komen. Het analysekader kan ertoe bijdragen de aard van de impasse te karakteriseren en onderling te vergelijken. Het ruimtelijke aspect zou echter aan het kader toegevoegd moeten worden om een volledige karakterisering mogelijk te maken.

De tweede conclusie verwijst naar de theorie van Kets de Vries en de acht gekozen archetypen. De profielen en de daaraan gerelateerde leiderschapskenmerken zijn bestudeerd in de twee casussen. Het theoretische model is in de praktijk getoetst om te beschrijven of en hoe de verschillende profielen bijdragen aan, of juist tegenwerken, bij het doorbreken van de impasse in de casussen. De casussen die in dit onderzoek bestudeerd worden illustreren dat de theoretische propositie niet geheel bevestigd kan worden. Verschillende nuances moeten worden gemaakt:

• Het katalysator profiel is in beide casussen afwezig. Echter is er ook geen sprake van een echte vernieuwing bij de doorbraak in de eerste casus. Het katalysator profiel zou dan ook belangrijk kunnen zijn om echte verandering tot stand te brengen.
• Het communicator profiel is belangrijk bij het doorbreken van een impasse, vooral waar het politiek-draagvlak en besluitvorming betreft.
• Het profiel van de strateeg is bijzonder relevant in de beide casussen. Dit is echter ambigue: de strateeg wordt beschouwd als een profiel wat kan bijdragen aan de doorbraak van een impasse, maar ook afbreuk kan doen aan de doorbraak.
• Het coach profiel is gerelateerd aan leiderschap binnen een organisatie, en blijkt daardoor niet aanwezig te zijn in de samenwerking.
• Het processor profiel wordt vaak gecombineerd met dat van de bouwer, en deze profielen worden vaak gebruikt bij de beschrijving van de projectmanagers in het netwerk. Beide profielen komen dan ook vaak voor. Het statische gedrag dat past in het profiel van de processor, neigt het proces van het doorbreken van de impasse te vertragen.

De derde conclusie heeft te maken met het collectieve aspect van leiderschap binnen het netwerk en de toepasbaarheid van de leiderschapsprofielen. Op basis van deze casussen is het niet mogelijk conclusies te trekken over de toepasbaarheid van de collectieve netwerkbenadering in gebiedsontwikkelingsprojecten. Mensen onderkennen het belang van gedeeld en collectief leiderschap in interorganisationele samenwerking, omdat er meerdere leidinggevende bij betrokken zijn. Desalniettemin zien we dat hiërarchie binnen de organisatie ook een belangrijke factor speelt in de tweede casus, en dat is te zien in de impact beoordelingen van de actoren. In een breder perspectief zien we dat de collectieve netwerkbenaderingen van leiderschap meer en meer ontwikkeld worden. Een andere bevinding is dat over het algemeen de mate van zelfbewustzijn van de actoren over hun leiderschapsgedrag laag is. Vooral op het niveau van projectmanagers is hier duidelijk sprake van.

De leiderschapsprofielen (volgens de theorie van Kets de Vries) kunnen relevant zijn om het menselijk gedrag in kaart te brengen, maar de theorie is niet volledig toepasbaar in de context van gebiedsontwikkeling. Dit impliceert dat er meer onderzoek en aanpassingen in de theorie nodig zijn om leiderschap in gebiedsontwikkelingsprojecten volledig te kunnen definiëren en te ontwikkelen.
Discussie
De conclusies van dit onderzoek geven, op basis van de combinatie van theorie en praktijk, een antwoord op de onderzoeksfragen. Wanneer we deze antwoorden in een breder perspectief plaatsen, kunnen we zowel de mogelijkheden, alsook de beperkingen van de gebruikte onderzoeksmethode aangeven. De restrictie is dat we leiderschap niet objectief maken door gedrag te observeren; in dit onderzoek is ervoor gekozen de perceptie en interactie van leiderschap, *binnen* het netwerk te indiceren. Een relevant voordeel van deze onderzoeksmethode is dat het mogelijk wordt om onvoorziene interessante variabelen in de studie op te nemen.

Ook al behelst het onderzoek slechts twee casussen, het geeft inzicht aan leiders en experts binnen gebiedsontwikkeling, en voldoet hiermee aan het aanvankelijke doel van dit onderzoek: een bijdrage leveren aan kennis en bewustzijn van leiderschap in gebiedsontwikkelingsprojecten. Een complicerende factor voor dit onderzoek waren de strikte eisen van vertrouwelijkheid en aarzelende actoren. Omdat er grote belangen bij betrokken zijn, zijn partijen bang om hun relatie schade toe te brengen.

Als we reflecteren op leiderschap vanuit een meer fundamenteel perspectief, moeten we dit onderzoek naar netwerkleiderschap in perspectief plaatsen. De complexe processen in zo’n netwerk gaan bijna buiten onze grenzen van begrip en bewustzijn. Dit betekent niet dat we deze menselijke factor dan maar moeten negeren. We moeten juist op zoek gaan naar manieren om leiderschap in deze complexe interorganisatie van samenwerkingen te benutten en ontwikkelen. Door netwerk leiderschap te verweven in onze bedrijfsstrategie, kunnen we mogelijk het innovatie potentie van deze samenwerkingen benutten. In plaats van enkel de verliezen in efficiëntie en effectiviteit te beperken, die zo’n samenwerking met zich meebrengt.

Aanbevelingen
Op basis van de resultaten en ervaringen van dit onderzoek kunnen verschillende aanbevelingen worden gedaan. De eerste aanbeveling is om een gewijzigde methode te gaan gebruiken om een gebiedsontwikkelingsproject in de praktijk te leiden: gebruik de positieve effecten van betere communicatie binnen de teams, verhoog het niveau van zelfbewustzijn over leiderschap in het netwerk en maak gebruik van de kracht van een katalysator om een impasse innovatief te doorbreken.

De tweede aanbeveling gaat over de originele theorie van de acht archetypen. In dit onderzoek konden wij concluderen dat de vijf profielen die vanuit de theorie naar voren kwamen als belangrijk (katalysator, strateeg, communicator, processor en coach) in de praktijk niet direct bevestigd werden. Deze profielen zijn aangepast zodat ze beter aansluiten bij de context van gebiedsontwikkelingsprojecten. Deze richtingen van leiderschap worden beschreven in vijf termen: politicus, verbinder, katalysator, ondernemer en architect.
En dit resulteert in de derde aanbeveling: het starten van verder onderzoek naar leiderschap in gebiedsontwikkeling in drie richtingen: (1) publiek leiderschap en de positie van de wethouder, (2) netwerk leiderschap bestaande uit meervoudige relaties tussen leiders, en (3) extensief onderzoek naar de eigenschappen (op basis van de bovenstaande vijf profielen) van leiders in gebiedsontwikkeling.

Dit onderzoek zet de eerste stap richting de verbetering en ontwikkeling van leiderschapskennis in gebiedsontwikkeling. Met behulp van deze studie, hebben we richting kunnen geven aan vervolgonderzoek.
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1. INTRODUCTION

The importance of leadership in organizations is recognized by many people and shown by the numerous books that have the word leadership in their title. Leadership is about individuals, about qualities that leaders have in relation to each other and to the organization they represent. Although leadership does not appear to be a common topic in the Delft University of Technology, in technical contexts, individuals and their leadership are also important. The combination of people with specific qualities makes it possible to realize a vision, to convince others of this solution and to cooperate successfully (or not) within a team.

In this graduation thesis, the concept of leadership is studied in the context of urban development projects in the Netherlands. The thesis offers a glance into leadership in the complex processes of urban development and offers an introduction into the latest theories concerning leadership development. The versatility and applicability of this research makes it interesting for theorists as well as practicing leaders.

Reading guide:
An overview of the structure of the thesis is as follows:

In the second chapter, the problem in the subject of my study is defined through an exploration in both theory and practice. The focus appears to be mainly on practice, since the knowledge on leadership in urban development projects appears to be very limited. With this stated in the problem definition, the concepts leadership and urban area development are explored separately from each other. This results in some starting principles for the study on which the research questions are based. At this point, the concept of impasse is introduced to frame the research scope.

In the chapters three and four, the concepts of leadership and urban area development are studied in-depth using the theory. The study in these theories provides theoretical propositions to the research questions and links the concepts together. This concludes in a proposition on contributing leadership to the breakthrough of the impasses in urban development projects (paragraph 3.6). Since the content of every impasse is unique, the fourth chapter presents an analytical framework to characterize urban development projects (paragraph 4.3).

Chapter five presents the method on how to study the theoretical proposition in the empirical object: urban development projects that encountered an impasse situation. The methodology chapter provides an accurate description of the qualitative case study and the preparation, collection, editing and analysis of the data.
In *chapter six*, the study of two urban development cases is shown. The first case represents a breakthrough in the impasse and the second case shows the attempts of the actors to make progression in the project. The impasse is studied by describing the process and by analyzing how leadership was performed by the actors.

Based on the comparison of the insights of these two cases, conclusions are drawn in *chapter seven*. This chapter provides answers to the research questions that are formulated in chapter two. The empirical findings are reflected on the theoretical propositions, so that we can draw conclusions on the applicability of the adopted leadership theory in urban area development. In the discussion, we reflect on the initial problem statement, the research method and leadership.

In *chapter eight*, we formulate recommendations with regard to the urban development practice and what could contribute to breaking through the impasses in projects. Based on the insights of this study, we propose to change the adopted leadership theory in the context of urban development projects into an adapted set of leadership profiles. Further research is recommended in order to validate and expand the knowledge of leadership in urban area development.
“Everything that can be counted does not necessarily count; everything that counts cannot necessarily be counted.”
Albert Einstein cited in Dijkstra and P. Feld (2012, p. 25)
2. PROBLEM

Leadership and urban area development are the two main concepts in the study. To translate these concepts into a relevant research proposition, the concepts are analyzed and a definition of the problem is made. The chapter starts with the motivation for the study (2.1) and an exploration and definition of the problem (2.2). Based on the problem statement, the relevance and goal of the study is indicated (2.3 and 2.4). The scope of the study is determined by setting up several starting principles (2.5) that indicate what is included in the study, and very important: what not. The chapter concludes with the research questions (2.6) that provide the basis for the study.

2.1 MOTIVE
The reason why I did this study has to do with my personal fascination for leadership and processes. Making decisions in collaboration between different people is difficult, partly since there is the level ‘between’ the people, and ‘within’ the people. It is possible to influence the first level, between the people, by applying some ‘rules’ of decency and respect, but the second level might be more difficult to influence because it is related to personal ideals, background, religion (amongst others) or even the way they woke up that morning. This creates a difficulty in the collaboration. Every actor that is added to the network will increase the complexity. In this complexity there is the cry for leadership: someone who is able to align the individuals behind a common goal, and to pull the project towards its realization.

With this thought in mind, urban area development projects are interesting to explore. These projects are an example of a situation in which the collaboration between the individuals in the realization of a project is crucial in order to be successful. Since the public and the private parties that collaborate in urban area development projects are interdependent, they cannot work without each other. However, the parties have their own background, organizational culture, beliefs and their own leaders. This adds another level to the complexity: next to the relation between individuals, the personal level, the level of the organization the individuals represent is added as well. In urban area development projects, it is even more difficult for a leader to organize the individuals and the organizations towards the realization of the project.

The above mentioned is the motivation to ask the question what is leadership in urban area development? In the first exploration for the answer to that question, it became clear that not so much has been written on the combination of leadership and urban area development. It was not possible to answer this question in a way that respects the amount of knowledge there is on both leadership and urban area development. That it is also relevant to study this gap of knowledge is proven by the various opinions on leadership in urban area development. The viewpoints of Karin Laglas, dean of the Faculty of Architecture Delft University of Technology, are the main reason why I did this research. From her experience in urban area development projects, she points out that leadership in the process and the content, is vital in accomplishing consensus in the increased complexity of the built environment (Laglas, 2011).

2.2 PROBLEM ANALYSIS
The two concepts, urban area development and leadership, are explored in the problem analysis. Three interrelated factors make this research topic interesting: the difficult context of complex multi-organizational partnerships, the importance of the human factor in these processes and the contextual developments that currently pressure the projects. The lack of knowledge on leadership in urban area development projects is a problem, since it is one of the factors that influences successes in the process.

Complex multi-organizational partnerships
In urban area development, public and private parties collaborate in order to realize large scale developments. Heurkens (2012, pp. 30-32) describes that in this inter-organizational
partnership, it is important to streamline the value systems which have differences in their principals. The private parties seek profit and business continuation, while the public parties serve the public interest of democracy, safety and health. The risks of strict legal collaboration models between the parties, like a joint venture model, are that they become inflexible and therefore cannot cope with dynamic context. Also misconceptions arise between the parties as a result of lack of transparency which creates negative energy in projects. Heurkens therefore articulates that it is important to take the relational aspects of mutual dependencies into account.

“The majority of partnerships in the Netherlands seem to face (...) inter-organizational partnership problems. The parties involved have difficulties in combining the demands of partnership with their internal demands. It seems that the inter-organizational capacity is just too weak to achieve added value, even if this value can be verified on paper”. Teisman cited in Heurkens (2012, p. 30)

Besides the difficulties and problems as defined by Heurkens and Teisman, Pettigrew introduces the concept of conflict in multi-organizational partnerships: ‘High levels of diversity and interdependence within an organization are naturally linked to conflict, whose effective resolutions are complex and difficult. This complexity factor is multiplied when working within a multi-agency partnership at a number of different levels’ (Pettigrew, 2003).

The social side of development

In urban area development, there is currently extensive attention for the development of new financial and legal models in respect to the financial crisis. In these models, the focus lies on flexibility and being able to adapt to changes in the environment rapidly and on the models which are mainly orientated on the EU and the rest of the world (Praktijkleerstoel Gebiedsontwikkeling TU Delft, 2011). These models search for new ways to organize the process, to organize the land development and to attract finance. These changes are mostly based on hard skills and result in hard information, such as numbers and statistics. However, there are several downsides when using hard information (Mintzberg, 2010):

- Hard information has a limited area of application,
- The hard data often cannot encompass the entire situation,
- It takes time to translate information to hard data and might, therefore, reach the management level too late,
- Hard information is sometimes unreliable (Mintzberg, 2010).

Innovations and developments in law and finance are important to pull urban area development through the crisis; however, the relevance of the human factor should not be underestimated. Hans de Jonge (professor real estate development at the TU Delft) advocates in an article on urban area development for an increased focus on this human factor in times of crisis. ‘The acting of individual people in key positions in urban area development is a (maybe even the) crucial factor. The continuous misunderstanding is that for successful projects the measurable knowledge is important, instead of the social revolutions in our thinking and acting’ (De Jonge, 2009, p. 20).

Also Hobma (2011) includes the human factor in the exploration for success in urban area development. Hobma determines three levels for success in urban area development: the so called critical success factors trust, leadership and reduction of complexity, veto criteria which consist of feasibility studies and planning aspect, and contextual variables that are determined by the economic and political climate. All these three levels are relevant to achieve successful development results.

However, the human factor and soft skills (critical success factors) have not gotten that much attention in urban area development projects in comparison with the hard skills (veto criteria). It is difficult to measure or formalize the soft skills because it is about people with ideas who communicate with each other. In the process of interaction between people there is always an
aspect of interpretation between what somebody is trying to express and how the other one interprets it. Parts of people’s behavior are also constituted by processes that are not rational, but which are prepared in the subconscious part of the brain (Dijksterhuis, 2008). Communicating and understanding one another is very important in a collaboration and this makes the social skills in urban area development projects very relevant.

The developments in the context of urban area development
The economic crisis causes several difficulties for urban area development. As a response to the situation, parties start to think of solutions which consider new ways of attracting investment, of dealing with laws and regulation, of planning the development process, and of constructing new collaboration models (Praktijkleerstoel Gebiedsontwikkeling TU Delft, 2011). Currently, the progress in several projects is stagnating and this is caused by several factors (Praktijkleerstoel Gebiedsontwikkeling TU Delft, 2011):

- It is hard to make the project financial feasible;
- The market demand has decreased;
- There is a need for both public and private parties to minimize risk;
- There is a lack of trust within collaborations and it is a fragile balance in a dynamic context (van Overmeeren, 2011);

Due to this pressure on urban area development, development projects often face a slow progress and difficult decision-making processes which might even result in legal conflicts. Several projects are not making progress anymore, are put on hold or are radically changed. The economic and legal context creates an uncertain situation in which parties are risk-averse and hesitant to make big decisions. Also trust between the parties is very fragile since there is very much at stake, and this indicates a situation of impasse in the decision-making (a situation that is so difficult that no progress can be made).

The economic crisis is a contextual development that influences urban area development projects, but in a larger context, the economic crisis also motivates parties to consider new ways of doing business.

“We can, however, begin to identify a set of forces, distilled and documented, playing out in our society that will most certainly power a real Great Reset and a more sustainable new way of life. They are emerging organically across our economy, rather than resulting from top-down policy or programs. We can see them in new consumption patterns, new ways of organizing and managing businesses, and the factors that determine where and how we live” (Florida, 2010, p. 107).

The current situation of the economy and society is a concern of several theorists who noticed that the speed of transactions in the financial sector has increased, and that a virtual value is created in order to yield more (short-term) profits. Financial structures lost connection to the purpose they serve, namely in the technology and services sectors (Florida, 2010). Characteristic to the current system in the Netherlands is that the government often takes responsibility when things go wrong, and that there is no personal responsibility for mistakes made in the financial sector (Dijkstra & P. Feld, 2012, p. 18). The response is to search for new economic business models in which sustainability, long-term orientation and flexible characteristics are the basis.

The current situation and the search for new ways of working are not only influenced by economic developments and circumstances; also the information systems have experienced a revolution in the last decade. Information is no longer an exclusive right for some of us, it is a global common good for (almost) all individuals. ‘By making clever use of modern technological opportunities (like internet and social media), it is possible to build up knowledge of the same quality, or even better, than the established knowledge’ (Dijkstra and P. Feld (2012, p. 20). This wide access to information and fast communication might also function as an influence on
politics. The results of this influence can be seen in the actualities where citizens strive for transparency of and influence on politics, for example in Egypt in the revolution in 2011.

Likewise, the way people work in organizations is also changing. One movement is that more and more people are working on independent entrepreneurial basis (ZZP’ers), which results in less employees with a permanent position within organizations. Besides this, there is also more participation of employees in processes of collaboration and co-creation in changing social contexts, also outside the organization. This indicates that the ways of working are changing into more network-oriented approaches (Dijkstra & P. Feld, 2012, p. 24). ‘Characterizing for the new situation is that organizing, collaboration and leadership are no longer static requirements for work and work processes, but that they organically and dynamically move along with the changes that appear constantly in work and processes’ (Dijkstra & P. Feld, 2012, p. 27).

The Dutch journalist Jeroen Smit (2010) explored how leadership should respond to the changes in the environment concerning the fast and soulless economy, the information decade and the flexible organizations. The textbox below elaborates on the five areas of attention that Smit found throughout his research, in which he focused on large financial institutions such as banks and investment funds. The focus in this research lies on real estate and urban area development projects. Besides the difficult economic situation in which they are, the whole real estate sector is put under a microscope these days, just like the large financial institutes. The Dutch newspapers and magazines write about a third crisis following after the credit crunch (1st) and the debt crisis (2nd), namely a real estate crisis (van Rijswijk, 2012).

Brookes (2011) indicates that when inter-organizational partnerships face a crisis, the required innovation in order to offer an accurate response to the crisis, demands more than only management and governance. It requires leadership at all levels in the partnership to determine a vision that can be translated by the public towards a valuable reality (Brookes, 2011). This requirement might face some difficulties in the Netherlands in the year 2013. A Dutch newspaper (de Volkskrant) presented a research which showed that the confidence of Dutch citizens in their leaders is at the lowest point since 2009. Only six per cent of Dutch citizens think that politicians speak the truth and ten per cent think that leaders of commercial companies speak the truth (De Waard, 2013). The author of the article even indicates a fourth crisis in the Netherlands: a leadership crisis.

<table>
<thead>
<tr>
<th>BOX 1: Leadership as an answer</th>
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<tr>
<td>Jeroen Smit, a Dutch journalist who made a documentary comprising seven episodes on leadership with the belief that leadership of the last century does not meet the standards of the current time (Smit, 2010). He sees vanity, greed, arrogance and blind proud as habits that characterize current leaders and these habits form the basis of the existing crisis. In his documentary he searches for new ways of leadership that provide answers to the current problems. Firstly, he discovers that women are important in the board of large companies, because they have the ability to listen and show empathy. The combination of both women and men creates balance and will, therefore, improve the performance of the board. Secondly, globalization has made leadership less bounded to location and because of this leaders should be able to behave within different cultures. Thirdly, the checks and balances of leaders should increase; by this Smit means that there should be a reality check and reflection on the work of leaders. Fourthly, sustainable awareness is growing and this means that there should be less focus on short-term profits and more on long-term social and environmental considerations. A fifth and last observation of Smit is the growing interaction and transparency in work. Due to the developments in media, information is more readily available and, therefore, it becomes harder for a leader to force decisions on the employees (Smit, 2010).</td>
</tr>
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</table>
**Problem Statement**

Throughout the problem analysis there is information about the inter-organizational collaboration and the crucial human factor in urban area development projects, the changes in the environment and the context of these projects. In all these three paragraphs, the importance of leadership is confirmed by means of the available theory and by the experts. However, the answer to the question 'what is leadership in urban area development projects?' is not provided. This indicates that there is a gap in the knowledge about the combination of those two.

Urban area development projects need to encounter conflict and impasse, currently even more than before. The implications of the economic crisis dominate the progress of the projects that were initiated before the crisis started in 2008. With legal and economic interventions in the project organization the urban professionals try to pull the projects through the difficult situation. How leadership can fit in this development, is not clear. Leadership is indicated as a factor of influence on the success of urban area development projects, and, therefore, more knowledge is needed about the combination of leadership and urban area development.

The main problem and starting point of this research is:

> There is not enough knowledge about leadership in urban area development in order to indicate how leadership could be used to respond to current contextual changes.

In this problem, the concepts leadership and urban area development are important. In paragraph 2.5 the starting principles concerning these concepts are explained in such a way that boundaries are set for further analysis.

**2.3 RELEVANCE**

The scientific relevance of this research is to contribute to the understanding and application of leadership in urban area development and how it is relevant in achieving progress in the projects. There are several people that write and talk about the importance of leadership in urban area development, but it is still unclear how and to what extent it can contribute to the process. This research attempts to answer the question what leadership in contemporary urban development projects is opposed to what it should be. This research tries to contribute to the theoretical knowledge and attempts to create applicable insight with that knowledge. This directly implies what the social relevance of this research is: to increase the understanding of leadership in urban area development projects. With this understanding, managers and leaders, both from private and public parties, could also express their influence in a more effective way.

**2.4 GOAL AND RESULT**

Goals of the research and users potential:

- To translate knowledge from leadership development theories into the practice of contemporary urban area development
- To create consciousness about the importance of soft and social skills in large urban area developments, and thus to contribute to a better understanding of the process
- To contribute to understanding inter-organizational collaboration processes and a method to study them
- To contribute to knowledge and expertise that can pull urban area development through the economic crisis
- To provide insight and awareness for players in the urban area development process about their personal leadership role.

This research project positions itself within the academic field of urban area development. Its results provide theoretical insights as well as practical information and findings for today's leaders in urban development projects.
2.5 STARTING PRINCIPLES

In reaction to the problem statement, the concepts of leadership and urban area development are explored and defined. The scope of this research is determined by setting up several starting principles that indicate what is included in the research, and very important: what not. An overview of the starting principles is given in the box below:

Overview of starting principles

<table>
<thead>
<tr>
<th>2.5.1</th>
<th>Leadership in urban area development is seen as a shared and collective process in the network</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Eight leadership profiles of Kets de Vries are used to research (complementary) leadership in the network</td>
</tr>
<tr>
<td></td>
<td>Management and leadership are definitions that are complementary to each other</td>
</tr>
<tr>
<td>2.5.2</td>
<td>The focus is on one timeframe of the project; an impasse.</td>
</tr>
<tr>
<td>2.5.3</td>
<td>Private parties are involved in the development</td>
</tr>
<tr>
<td></td>
<td>Context and process is included when studying projects</td>
</tr>
<tr>
<td></td>
<td>Focus on projects that are in the planning phase</td>
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</table>

2.5.1 Leadership ...

For centuries people have written their thoughts on leadership and management. Authors that have attempted to write an overview of all these ideas have produced thick books. From all these books the one from Peter Northouse is used in this research because he also includes methods to measure leadership. He wrote a book in which he summarizes all the perspectives with their definitions and their strengths and weaknesses. In the table of content of this book, there is a variety of theories and approaches on leadership. A selection of these perspectives is studied in the preparation of this research and compared with each other with the use of Northouse (2012). When we analyzed the leadership theories, we made the choice to organize them into three categories; the individual approaches, the situational approaches and the network approaches (as is explained in the figure below).

<table>
<thead>
<tr>
<th>Individual</th>
<th>Situational</th>
<th>Network</th>
</tr>
</thead>
<tbody>
<tr>
<td>approaching effectiveness from the personal traits of an individual (the leader)</td>
<td>determining effectiveness through the match between the situation (organization and context) and the leader</td>
<td>identifying effectiveness in the multiple relations between actors in a network</td>
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</tbody>
</table>

The total research that is done on leadership is included in the appendix of this report (see appendix 11.1) and will be the basis of the further research. The essence of the research is that leadership in the context of urban area development is approached as a process in which several individuals have influence through personality and knowledge, within a certain structure and culture (situation). The leadership that is expressed is dependent on the context and will, therefore, change when the project proceeds. In the following scheme some basic values of the approaches are summarized.
**Individual** | **Situational** | **Network**
---|---|---
- Personality | - Leader-member relations | - Reciprocal influence between people
- Intelligence | - Task structures | - Mutual adaptation to evolving tasks
- Expert knowledge | - Developing subordinates in knowledge level | - Connecting experience between leaders and followers
- Charisma | - Focus of organization (internal/external) | - Creating direction through the network
- Proactivity | - Flexibility of organization | - Dynamics in and within groups

➢ *Is defined in a collective network approach*

The network approach takes into account the individual and situational perception, and acknowledges the non-hierarchical character of leadership in inter-organizational collaborations. Therefore, the network approach is suitable to define leadership in urban area development projects.

The definition of leadership which is used in this research is based on the work of two leading theorists. The first one is Brookes (2011), who described leadership as *shared*, as opposed to distributed leadership, that takes place within an organization. Shared leadership is a way of encouraging multiple processes through which *‘infinite levels of intelligence can be processed’* (Brookes, 2011). The second theorist is Kets de Vries, who acknowledges the relational aspect of leadership in a *network* approach. Because there is ‘an intricate dynamic interface between leadership behavior and the organizational context in which the leader operates’, the success of an organization depends on the *complementarity* of roles in the organization’s executive teams. Eight leadership *profiles* that are defined by Kets de Vries are used in this research to structure the leaders in the network: the strategist, catalyst, transactor, communicator, builder, processor, coach and the innovator. In chapter 3.2 the eight profiles and the collective character of leadership will be explained in more detail.

This results in the following definition of leadership:

> **Leadership as a shared, collective process in which complementary leadership profiles are interrelated within networks, whose effectiveness determines the success of the organization within different contexts.**

Based on theory of Brookes (2011) and Kets De Vries et al. (2010)

➢ *Is complementary to management*

Throughout the last century, the role of management became more important when dealing with leadership. There are, overall, two approaches that deal with these two concepts. The first approach acknowledges that they are different because leadership is involved with inspiring and mobilizing people and provides them with direction to realize a vision; *doing the right thing*. Management is about planning, controlling and organizing the process; *doing things right* (Northouse, 2012).

The second approach does not make the distinction between management and leadership; Mintzberg (2010) even prefers the definition of leadership as ‘well-performed management’. From his point of view, one could not provide direction and inspire subordinates without controlling, scheduling and setting a good example. By idolizing leadership, leaders will have more pride and arrogance which will place the followers in a lower position. Van Loon (2006) shares this approach with Mintzberg and also sees the manager perform one of the three roles, which includes leadership besides the entrepreneur and the coach.

In this report, management and leadership are understood as being complementary to one another instead of being opposites or contradictory concepts, since both concepts are used in urban area development.
2.5.2 Context ...

... Is impasse

The changes in the environment of a project are relevant to the progression and development in the process. As is shortly introduced in the problem analysis, the economic circumstances have influence, but new ways of organization and sharing information have influence as well. The available time for this research is limited and, therefore, the context needs to be framed. In this research, there are two ways of doing so: focusing on one aspect of the context and its influence on the project or focusing on one timeframe of the project and the influences from the context that are relevant for the development of the project.

In this research, I chose the last one: a timeframe of the project. The reason for this choice is that it creates the possibility to make a complete study of the situation, including all the influences. The timeframe of the project is a moment in which the changing influences, the response to these influences, the progression of the project, and the leadership come together. I define this moment as an impasse. The choice for the timeframe of an impasse is, on the one hand, a methodological choice to frame the empirical object (leadership in urban development projects). On the other hand, the effects of the crisis on urban area development projects (as is described in the paragraph 2.3 and 2.4) create relevance to study the object in this timeframe. This research wants to contribute to knowledge of how to deal with changing circumstances due to the economic crisis.

In an impasse situation, both parties find themselves in a difficult position where they need to reconsider their financial position and the risks they take in the project. The static and detailed agreements that are made to create a legal foundation for the collaboration can conflict with this process of renewing and reconsidering the partnership. This contributes to possible deadlock in the process: both parties need to determine a new position for themselves within the partnership and this can cause confusion and conflict between the parties. When trust and shared interest are fragile, it might result in indecisive behavior.

2.5.3 Urban area development ...

... Is a relatively young profession subject to many changes

The term urban area development (in Dutch gebiedsontwikkeling) only exists since 2004. Before that, it was called admission planning (in Dutch toelatingsplanologie since 1950s) and development planning (in Dutch ontwikkelingsplanologie since around 1998). Not only the name changed, also the content of urban area development has changed severely over the past 60 years. It started of as a governmental task in which static master plans were used to direct planning strategy towards a desired spatial environment. In the process of privatization of public bodies and decentralization of the government (90s), the spatial planning tasks were assigned to municipalities and provinces to create a local level of scale. After this, private parties came into the picture as spatial planning became more market-oriented for financing purposes, and public and private parties started to collaborate in spatial development projects. Since 2004, the term urban area development was used and this accentuates that spatial interventions are the result of co-production of a broad group of actors. Spatial tasks include multiple perspectives: finance (risk and return), politics and social goals. Since the economic crisis (2008), the daily practice of urban area development has changed a lot. Several knowledge networks are set up to drive change and development and to structure the experiences. Examples of this are Platform 31 and the Praktijkleerstoel Gebiedsontwikkeling.
... Is defined in this study as:

In the book *Management of Urban Development Processes in the Netherlands*, urban area development is described as follows:

*Urban area development may be described as the sum of a large number of complex processes performed by many individual actors and organizations with their own interest and claims, and involving international competition between cities while being subject to the influence of events from far beyond the region itself*  
(Van ’t Verlaat & G. Wigmans, 2011b)

In this description, the international competition between cities is included. For this research, the aspect of international competition is not relevant, since the focus lies on a smaller scale to remain grip on the research, namely on one city. However, the influences from the context and the diversity of actors are pertinent in different scales of the project and very much related to leadership. It is therefore important in the definition.

In this report, the concepts of networks and inter-organizational cooperation are used next to each other. The term *network* includes the aspect of dependency and diversity. Inter-organizational cooperation also underlines the diversity in background of actors and the dependency is the reason to cooperate towards the realization of a goal. The reason for using both concepts separately is to make a distinction in the dynamics of the collaboration between multiple parties from the capricious decision-making process and leadership within the network. The terms *network* and *multiple organizations with their own background* are, therefore, added to the definition of urban area development.

*’Gebiedsontwikkeling stands for a way of working, in which government bodies, private bodies, and other actors involved reach an integration of planning activities and spatial investments, eventually resulting in the implementation of spatial projects’* (Daamen, 2010, p. 3).

In the definition that Daamen (2010, p. 18) uses in his dissertation, the process of integration of activities is accentuated and indicates the relation with the implementation in actual projects.

For this research, the description of Van ’t Verlaat and G. Wigmans (2011b) is supplemented with concepts that are presented by Daamen (2010). This results in the following definition of urban area development:

*Urban area development may be defined as a *process* shaped by a *network of actors with their own organizational background*, interests and claims, *collaborating to integrate* activities and investments in order *to implement* spatial projects while being subject to the influence of the *economic, social and political context**

Based on Van ’t Verlaat and G. Wigmans (2011b) and Daamen (2010)

Within this definition of urban area development there are different projects seen in practice. To further indicate which projects are implicated in this research, or better yet to indicate which are *not*, several criteria for the selection of projects are made.

*... Involves private parties*

In urban area development, three main groups of actors can be distinguished; (1) the public sector, (2) the private sector and (3) the citizens and interest groups (Van ’t Verlaat & G. Wigmans, 2011b). Within the public sector, departments of the municipality are involved, mainly because it involves public law and public goals. In the private sector, project developers, investors, builders, urban designers and architects, property owners and real estate agents can be involved. Even though all these actors are categorized as private parties, their interest and resources in the process are very different. The citizens and users of the area is an important
category of actors, but the group is large and the interests within the group can differ. Therefore, it can be difficult to take all of them into account. (Van 't Verlaat & G. Wigmans, 2011b).

It might be possible that urban area development projects would take place with only public partners, but in this research the focus will lie on projects in which private parties are involved, since the inter-organizational collaboration context creates complexities that are interesting to research.

- **Is very much related to context and complex processes**

There are four aspects described in Van 't Verlaat and G. Wigmans (2011b) text which influence the complex processes in urban area development.

- The implications of urban area development often go far beyond its physical boundaries. It influences economic structures, social structures and spatial structures.
- There is a high number of procedures that deal with those implications.
- Urban area development often concerns redevelopment of existing areas (brownfield developments) which imply an intervention in existing structures and occupation by people during the process.
- The content of a development is influenced by the actors involved and, therefore, a tailor-made approach is always necessary.

Interventions in spatial structures often have the goal of creating new spatial relationships. Initiatives for intervention can occur as a response to problems, opportunities or to other triggers. These spatial interventions relate to the living, working, learning and shopping sector, and all these sectors are influenced by physical, economic, ecological, social and cultural facets (van 't Verlaat & G. Wigmans, 2011a). Interventions can be made in the infrastructure (below and above ground level), houses, work, leisure, parking, green and water structures. Therefore, the urban area development includes the preparations on the ground work, acquisition and exploitation of land and real estate through public or private investments, but also includes the design and planning of the public space. This process is described as ‘calculate and design’ (translation from Dutch) by Van Joolingen, R. Kersten, and Franzen (2009).

- **Focuses on planning phase of process**

The process of urban area development can be divided into four phases (van 't Verlaat & G. Wigmans, 2011a) and the focus of this research lies on the planning phase:

- Initiation phase (establishing ambition within social and political context and the conditions for infrastructure with committed parties)
- Planning phase (integration into one plan that is feasible by distributing risk amongst parties)
- Realization phase (construction related activities in which discrepancy between formulated and evolving plans is handled by creative solutions)
- Maintenance phase (requires specific skills, organizational talent and a proactive approach to shortcomings and opportunities).

In reality, these phases are more volatile than imagined in theory because ambitions and plans can be adjusted during the process due to changes in the political context, the social and/or the organizational context (van 't Verlaat & G. Wigmans, 2011a).

Throughout the process, there is the need to steer on the integration of spatial and market quality in the planning and realization of the development. Spatial quality can be defined as a 'visually observable quality of an area' in which it is important to set up objective criteria to measure the results. Market quality refers to the 'degree in which an area responds to the demands and desires imposed by (present or future) users of the area', in short; user-oriented thinking. Spatial quality and market quality rely on the means that are available for realization, and, therefore, an optimal balance needs to be established between the goals (spatial and market quality) and means (van 't Verlaat & G. Wigmans, 2011a).
In the development of the practice of urban projects, commercial real estate and housing are no longer the only generators behind urban area development. New ways for adding value can contribute to the development by investing in accessibility, water, energy, education and health. De Zeeuw and A. Franzen (2011) see these actors as new value generators that should be included in the process. This inclusion can result in an increased diversification in the group of actors; the network becomes even more inter-organizational.

In this research, the focus lies on urban area development projects that are in the planning phase. This phase is crucial for the inter-organizational partnerships and for the realization of the development, since this is the moment where the basis is made for collaboration, trust and agreements on assignment of tasks. The initiation of projects is most often done by public parties.

... Is studied in cities
Area developments can take place at all sorts of locations: at green fields outside the city or in the inner city in between the existing real estate stock (brownfields). In this research, we study urban area development within cities in the Netherlands and not in so-called greenfield or VINEX locations. This is because the levels of complexity are higher in the context of a city development and, currently, VINEX developments are rare since the demand of the market has changed.

2.6 RESEARCH QUESTIONS
Based on the problem statement and the starting principles from the theory, the following question is proposed:

How can leadership contribute to breaking through the impasse in an urban area development project?

1. How can leadership in urban area development projects be defined?
2. What causes the current impasse?
3. How can urban area development impasses be characterized?
4. Which leadership profiles are represented in urban area development projects?
5. Which leadership profiles could be important to break through impasses in urban area development projects?

All questions are explored on their theoretical notion. With the use of this theory, a framework is constructed in which the information is related to each other and some propositions are made. In the case studies, these propositions are tested in real life projects on their validity and applicability.
“The written word is the mechanism by which we know what we know. It organizes our thought. We may wish to understand the rise of literacy both historically and logically, but history and logic are themselves the products of literate thought.”

3. THEORY: LEADERSHIP IN IMPASSE

In this chapter, the theoretical model is composed. Three research questions are explored in the theory, in order to compose theoretic answers. Based on these answers, a proposition on contributing leadership to breaking through impasses in urban development projects is defined.

In paragraph 3.1 and 3.2 the first sub-question is researched: how can leadership in urban area development projects be defined? Due to the inter-organizational character of public and private parties, we chose for a network approach to leadership in the context of urban development projects. This implicates that leadership is a shared process in which complementary leadership profiles are interrelated in the network. In paragraph 3.3 the second sub-question is researched in the theory in paragraph 3.4: what causes the current impasse? The impasse is perceived as a decision-making impasse, and ways to break through such an impasse are indicated. The progression in the process is partly dependent on institutional change and learning orientation. Based on the theory, several indicators for progression are extracted. These indicators are the basis for the answer on the fifth sub-question in paragraph 3.5: which leadership profiles could be important to break through impasses in urban area development projects? Several leadership profiles are indicated for being important in breaking through an impasse and making progression in the project. These profiles together create a theoretical proposition (paragraph 3.6) on the main question in this research: contributing leadership profiles in impasse situations.

3.1 LEADERSHIP IN PUBLIC PRIVATE COLLABORATION

Multiple partners from different backgrounds are involved in spatial development projects. This is not only a consequence of the task; it is also a necessity in the nature of the task. When these organizations collaborate, a network of actors originates that can be characterized with the concepts: variety, dependency, closedness and dynamics (3.1.1). In urban area development projects, the actors do not only come from different organizations, the nature (public or private) of their organization also differs. Leadership in this partnership (3.1.2) is sensitive for conflict, and is related to public and shared problems.

3.1.1 Inter-organizational collaboration

In urban development projects, different organizations collaborate in order to implement spatial projects. In a research into the definition of success in urban renewal in the Netherlands, Van Bortel et al. (2007) state that ‘due to its complexity, urban renewal can only take place if multiple actors undertake collaborative action’ (Van Bortel, E. van Bueren, M. van Eeten, M. Elsinga, & Kerpershoek, 2007). The organization can be characterized as a network in which relationships between the actors can be seen as long-lasting and interdependent. According to the definition of De Bruijn and E. ten Heuvelhof (2008), a network implies a ‘number of actors with different goals and interests and different resources, who depend on each other for the realization of their goals’.

Characteristics of these networks are described by De Bruijn and E. ten Heuvelhof (2008) as:

- Variety: the network includes many different actors, products, interests and means of power
- Mutual dependence: actors are interdependent; they need each other’s resources to achieve their goals. Therefore, there is not one dominant actor
- Closedness: towards an intervening actor. Perceptions, goals and values of other actors are not easily taken into account
- Dynamics: ‘network characteristics develop due to changing actors and rules’ (Van Bortel et al., 2007).

The management of urban area development involves ensuring involvement and support of the parties and designing effective decision making (Franzen, 2011). Decision making in a network is described by De Bruijn and E. ten Heuvelhof (2008) as ‘capricious and unpredictable’. This is
due to the characteristics of network processes such as irregular activities, several rounds in the process, constant entry and exit of actors who behave strategically in a dynamic content, flexibility and unpredictability and unstructured problems.

Since urban development projects are incidental activities, there is almost always a mutation in project organization necessary to deliver the capacity for a project. The thing that makes it different from a temporary project organization is that the projects take a very long time, which requires thought on how to organize the project on a structural basis.

### 3.1.2 Leadership between public and private parties

When actors from public and private parties collaborate in urban area development projects, the leadership is shared. Shared leadership in inter-organizational context implicates specific challenges, characteristics and requirements.

In line with the definition by Brookes (2011) of shared leadership, it is a way of encouraging multiple processes through which ‘infinite levels of intelligence can be processed’ (Brookes, 2011). However, at this moment, networks of inter-organizational partnerships tend to focus on the consumption of the resources, instead of creating added value. Brookes therefore suggests that individual leaders within inter-organizational cooperation are inflexible when it comes to the focus on the drive for innovation, which is due to the pressure of outcome management.

In the context of inter-organizational and multiagency partnerships, it is important to recognize that they are sensitive to conflict and have complex resolutions. This is partly because these ‘multi-sectorial partnerships are associated with attempts to address difficult issues that span the private, public and voluntary sectors’ (Armistead et al., 2007). In a partnership like these, it is very important to attain commitment of important organizations and politicians at an early stage of the process. Without this commitment, the partnership could become an empty shell in which synergy and transformation will need to be enforced (Pettigrew, 2003).

In their research, Armistead et al. (2007) explore the critical aspects of leadership in the context of multi-sectorial partnerships. From their point of view, there are four themes that characterize the challenges:

- **Differing expectations;** by variation in input and knowledge, higher levels of innovation can be reached.
- **Consensus building;** steering with influence and aspire consensus instead of compromise. Trust can also be seen as an important element for consensus and effective cooperation. A leader could contribute to this process by generating and sharing information and by communicating the drivers of the partnership.
- **Managing conflict;** especially in times of setbacks, organizations might search for who is accountable and this might lead to a contractual relation instead of a true cooperation. When there are multiple organizations in one partnership, there is a higher chance of rivalries and conflicts. This could escalate when organizations and individuals start to compete for the power within the partnership. A leader should be able to resolve conflicts at these times.
- **Attaining performance;** the definition of performance often differs between the partners. Notions of mutual transformation could imply that partners have influence on each other and this could be valued as performance. However, it is difficult to elicit evidence of mutual transformation.

In order to deal with these challenges, Armistead et al. (2007) formulated several requirements for leaders concluding from their discussions. The status of the leader within their own organization should be high, they need to be able to demonstrate vision and commitment and to think and act. The values of the partnership should be lived up to by the leader and he or she should, therefore, inspire others by being a role model.

An interesting characteristic of partnerships that is described by Armistead et al. (2007) is that opportunities seem to arise for informal leaders because they are empowered by their
employing organizations to engage in the cooperation and since the complexity in some aspects of the partnership emerges, the need for management increases. ‘Partnership-working often involves a redistribution or even fragmentation of pre-existing power relations’ (Armistead et al., 2007).

Urban area development projects have social implications and are, therefore, related to public problems. Crosby and J.M. Bryson (2005) place their idea of leadership within a context of a shared-power world in which public problems ‘affect numerous individuals, groups, organizations and inter-organizational networks’ (Crosby & J.M. Bryson, 2005). It is important to pay attention and to deal with a multitude of stakeholders while challenging these problems towards a common good. They describe eight leadership capabilities in the achievement of a common good in a shared-power world:

- Leadership in context (understanding the social, political, economic and technological aspects)
- Personal leadership (understanding self and others)
- Team leadership (building productive work groups)
- Organizational leadership (nurturing effective and humane organizations)
- Visionary leadership (creating and communicating shared meanings in forums)
- Political leadership (making and implementing policy decisions in arenas)
- Ethical leadership (sanctioning conduct and resolving residual disputes in courts)
- Policy entrepreneurship (coordinating leadership tasks over the course of a policy change cycle)

3.2 LEADERSHIP IN THE NETWORK

Leadership in urban area development projects is defined by the inter-organizational context in which it takes place. It implicates that leadership is shared in a network and that effectiveness is closely related to the situation in which it takes place. The leadership is relational and it only exists in its ability to affect people's behavior in the network. This results in the definition that was already shortly introduced in chapter 2.5.1 of this research.

Leadership as a shared, collective process in which complementary leadership profiles are interrelated within networks, whose effectiveness determines the success of the organization within different contexts.

This definition of leadership is central in this research, and it is therefore placed in the center of the framework (see figure on the right). The definition consists of two aspects: complementary leadership profiles (3.2.1) and leadership as a collective process (3.2.2).
3.2.1 Profiles of leadership

In this research, the profiles of Kets de Vries are used to indicate the leadership in the urban area development projects. Other theorists also indicate methods to specify kinds of leadership, for example Bryson and Crosby with their eight leadership capabilities. The motivation for choosing the archetypes of Kets de Vries is based on the following reasons:

- The profiles include an explicit description of personality. The theory includes information on which profiles are matching and in what situation
- It is a way to describe rather than to prescribe persons
- The archetypes are based on research about executive leaders
- It acknowledges the relational aspect of leadership in a network approach. Because there is 'an intricate dynamic interface between leadership behavior and the organizational context in which the leader operates', the success of an organization depends on the complementarity of roles in the organization's executive teams (Kets De Vries et al., 2010).

The theory of Kets de Vries is based on executive teams within an organization instead of inter-organizational collaboration teams. This is a reason not to choose for these eight archetypes; however this is outweighed by the advantages of using the theory of Kets de Vries.

'A leadership archetype characterizes the way in which leaders deal with people and situations in an organizational context' and it is used as a specific behavior pattern and as a model by which people can be described and compared. In the studies of Kets De Vries et al. (2010), eight leadership archetypes are defined. ‘It should also be noted – given the importance of behavioral adaptability – that effective leaders will score high on a number of these archetypes. They will be able to switch focus depending on the circumstances’ (Kets De Vries, 2007).

- Strategist; leadership as a game of chess
- Change-catalyst; leadership as a turnaround activity
- Transactor; leadership as deal making
- Builder; entrepreneurial leadership
- Innovator; leadership as creative idea generation
- Processor; leadership as an exercise in efficiency
- Coach; leadership as people development
- Communicator; leadership as stage management

The eight leadership archetypes are used in this research in order to indicate the leadership in the network and these archetypes are placed in the second layer of the framework (see figure on the right).
3.2.2 Leadership in the process

In the theoretical research on leadership (added in the appendix 11.1) the individual, situational and network character of leadership were described. In the overview below, a recap is given of these aspects:

<table>
<thead>
<tr>
<th>Individual</th>
<th>Situational</th>
<th>Network</th>
</tr>
</thead>
<tbody>
<tr>
<td>approaching effectiveness from the personal traits of an individual (the leader)</td>
<td>determining effectiveness through the match between the situation (organization and context) and the leader</td>
<td>identifying effectiveness in the multiple relations between actors in a network</td>
</tr>
</tbody>
</table>

The network approach used in this research includes both the individual and situational aspect, since the relations in the network cannot exist without two individuals who represent an organization. In the framework, these three aspects are used in order to indicate what happens in the process of leadership (see figure below).

**Individual:**

The individuals that are involved in the process have a certain personality that is influenced by their character, education and experience: the informal self. The competences of an individual indicate how effective an actor can be in the network and which leadership profiles coincide with the character and behavior of the individual.

**Situation:**

The situation represents the background from which an actor operates. In the process of leadership, an actor does not only represent his or her personal thoughts and ideas, but also the values and goals of the represented organization matter. Besides this, also the formal position within the organization might influence the behavior and effectiveness of an actor in the network.

**Network:**

The network indicates the composition of the actors and the interaction between them. This indicates that adding or taking away an actor from the network implicates changing relations and possibly also different effectiveness.
3.3 IMPASSE IN URBAN DEVELOPMENT PROJECTS

The basis of the impasse in urban development’s projects is perceived as a decision-making impasse. The economic circumstances put pressure on the projects, and organizations need to reconsider their position and interest in the development. Not making a decision about the future of the projects complicates the collaboration and the project. In this paragraph, the second sub-question is answered with the use of theory: what causes the current impasse?

3.3.1 Economic circumstances pressure projects

'(…) there is more pressure on urban area development, due to a drop of demand, market parties and governments with decreasing financial possibilities and increasing risks.' (Van Joolingen et al., 2009, p. 11).

The private parties have changed their strategy towards developing smaller plots in shifting coalitions, in order to reduce their investment in land acquisition and real estate projects. Real estate developers are confronted with decreasing land value and revenues from selling real estate. Therefore, the banks that enable the developers to invest need to revalue their position as well. Builders have experienced the consequences of the crisis by a decreasing amount of orders and investors became careful because of the crisis. It, therefore, becomes harder for real estate projects to find investors which are interested (Van Joolingen et al., 2009).

The public parties need to deal with less financial resources and decreasing reserves in land development companies. The municipality mainly experiences the consequences of the financial crisis in lower revenues from selling land, if it is even possible for them to find interested developers. Within lots of municipalities, reorganizations take place in order to cut expenses (Van Joolingen et al., 2009).

In reaction to this changed economic situation, research is done on new approaches of development in urban area projects. This creates a new context with revised preconditions for urban area development (Praktijkleerstoel Gebiedsontwikkeling TU Delft, 2011).

- Macro-economic developments are more important than ever;
- Proactive attitude towards government policy;
- Increased influence of Brussels (EU);
- Dealing with a variety of plans on sub-regional level, through selection, prioritizing and adaptation;
- Increased speed and flexibility.

3.3.2 The impasse in decision-making

In this situation, both public and private parties find themselves in a difficult position in which they need to reconsider their financial position and the risks they are able to take in the project. The static and detailed agreements that are made in the past to create a legal foundation for the collaboration, can conflict with this process of renewing and reconsidering the project. This contributes to possible deadlock in the process: the reconsideration of the interests in the project can cause confusion, distrust and conflict between the parties.

Not making a decision on how to proceed in a project can harm the future of the area. Not only the collaboration between the parties is affected by the decisions made in the project, also the long term social, socio-economic and political effects are significant. These complex and important effects of the current decisions do not make it easier for either the public and private party to determine a strategy on how to proceed with the project. These effects contribute to the impasse. The impasse is a symptom of a long period of bad financial forecasting, which results in a crisis of trust. This is different from a short term urgent crisis which is caused by, for example, an environmental disaster or human error.

A requirement in this situation is decisiveness. Decisiveness is difficult to establish in an inter-organizational collaboration in which different decision-making processes occur next to each
other. In the shared-problem world, effective and decisive authoritarian leadership is not possible. There is necessity for ways that determine vision and trust throughout the network, including the different parties in the decision-making process.

3.4 BREAKING THROUGH THE IMPASSE

**Progression**  
- n. 1 forward movement towards a destination. 2 development towards a better or more modern state. ■ ORIGIN Latin *progressus* ‘an advance’.  
(Definition from the Oxford dictionary)

The moment of impasse is a point at which the project does not make progress anymore. When the actors in the project break through the impasse by making a decision, they are progressing in the process. This can result in a new agreement between the parties, a changed agreement or the dissolving of the contract (see schematic representation below).

There are different methods of proceeding in the project. The economic crisis is often indicated as a moment for changing systems and patterns that are common and known (for instance by Florida: see problem analysis paragraph 2.2) into the adaptation of innovative ways of working. These two aspects, institutional change and learning orientation, indicate how progression can be made, when breaking through the impasse.

**Institutional change**

Several conditions are required in order to enable actions of progress and change, which we could indicate as transformative capacity. The capacity of an organization or team to change is partly dependent on what is possible within the legal and financial systems and is partly dependent on the norms, values and patterns of thinking, and acting of the involved people. In the theory about institutionalism, the authors describe a factor that contributes to the capacity to change: *the capacity of agents and organizations driving institutional change to gain societal recognition, trust, legitimacy through building identity, leadership, and operational competence* (Buitelaar, A. Lagendijk, & W. Jacobs, 2007, p. 895).

In periods of rupture, there is opportunity for ’path-breaking’ and ’path-creating’ forms of action, which result in institutional change. ‘The accumulation of gradual pressure for change from within or from the margin, in the form of critical reflection by agencies, proposals for institutional (re)design, and promotional action, may produce incremental change’ (Buitelaar et al., 2007, p. 896).

**Learning orientation**

Many people connect innovation to a technological context of product development; however, innovation is a wider concept that can also be applied on processes and services. In this research, the concept of innovation tells us that the learning orientation, in achieving change and new ideas, is very important. An innovative organizational culture ‘reflects strong learning orientation that facilitates inventiveness combined with the pursuit of new and prospective knowledge’ (Keskin, 2006, p. 179). Learning-orientation is characterized by Keskin as commitment to learning, shared vision, open-mindedness and intra-organizational knowledge sharing. One can see that Rosing, M. Frese, and A. Bausch (2011, p. 2) specify the organizational learning into two forms: *exploration* (increasing variance, experimentation, searching for
organizational learning) and exploitation (reducing variance, adherence to rules, alignment and risk avoidance). These two forms of learning behaviors are related to the innovative task of creativity and implementation, since creativity can be linked to explorative activities and implementation calls for exploitative activities. However, due to the complex and nonlinear nature of innovation, one cannot distinguish the activities and stages. From the perspective of Rosing et al. (2011, p. 11), ambidexterity is a central feature of innovation (ambidexterity is the ability to engage in exploration and exploitation equally well).

Learning orientation is also relevant to the drive for institutional change: ‘the capacity of the system to learn and act upon this learning, that is, the capacity for institutional reflection’ (Buitelaar et al., 2007, p. 895). This learning orientation applies on the personal level, but also on the culture in which the individual works.

3.5 LEADERSHIP IN IMPASSE

The progression in the process when breaking through the impasse is partly dependent on institutional change and learning orientation. Based on the theory, several indicators for progression are extracted and they provide the basis for the theoretical answer on the fifth sub-question: which leadership profiles could be important to break through impasses in urban area development projects? In the elaborate description of the leadership profiles, the characteristics that match the progression are indicated and composed in a theoretical model (paragraph 3.6).

3.5.1 Elaboration on leadership profiles

| Innovator | Leadership as creative idea generation. These leaders are focused on new things and they have the capacity to solve complex and difficult problems. They are perseverant and focused and they often function as idea generators within organizations. Their downsides are that innovators tend to be introvert and narrow-minded. In combination with people who have highly developed social skills this might be a ‘powerful leadership force’. |
| Processor | Leadership as an exercise in efficiency. These leaders like an organization to be a well-oiled machine, and they are effective in setting up the structures and systems needed to support and reach objectives. Processors are people with self-discipline, who are reliable, efficient and conscious. In this role, they are adaptable and collaborative, and they can complement most other leadership styles which make them important in all the teams. The danger is that they stick to order, systems and rules which can result in inflexibility. |
| Coach | Leadership as people development. These leaders create high performance teams and high performance cultures. They contain a high empathy and emotional intelligence and therefore work best in the situation of instituting cultural change. They are effective in networking and knowledge-based organizations and they are comfortable with developing and mentoring others. Coaches might find it hard to be tough and this is why they are not suitable for dealing with crises. |
| Transactor | Leadership as deal making. These leaders are skilled in identifying and tackling new opportunities and they thrive on negotiations. The transactor has great capacity to adapt to situations. This dynamism and these judgment skills often have a counterpart of impatience when dealing with procedures and structures. Strategists, processors and coaches are needed to compensate the balance. This person works best ‘when negotiating acquisitions or other deals’. |
**Builder**

Entrepreneurial leadership. These leaders dream of creating something and they have the talent and determination to realize this on the long-term. They like to work on setting up ventures inside or outside the organization. They tend to be controlling and, therefore, have a hard time delegating tasks. Although their message can be inspirational, the controlling attitude can result in a dysfunctional organization. The processor who is organization-oriented can complement the builder.

**Change-catalyst**

Leadership as a turnaround activity. These leaders love a messy situation in which they can create new organizational blueprints. They are able to make difficult decisions and change-catalysts thrive on crises and difficult situations. The downside of this profile is that they get bored easily in a stable situation and that they miss the long-term focus. This could be compensated when they join forces with a coach, processor or communicator.

**Strategist**

Leadership as a game of chess. Strategists are good in dealing with developments in the environment of the organization. This person can provide vision, direction, confidence and strength in order to motivate people, especially in times of crisis or turbulent times. This role is characterized by a great capacity of thinking outside the box and of conceptualization. People in this role are not always good in aligning the strategy with values and behavior of people, since they may be lacking emotional intelligence. To compensate this, the strategist can join forces with coaches.

**Communicator**

Leadership as stage management. These leaders are great influencers, who have considerable impact on their surroundings. Communicators are excellent in managing various stakeholders and they have impressive theatrical skills and presence. A counterpart of this impressive presence is that they (only) look at the big picture, which might result in accusations of superficiality. The communicator works well with overcoming crisis situations by influencing various organizational constituencies.

### 3.5.2 Leadership profiles needed in the impasse

In paragraph 3.4, the following requirements to leadership in urban area development projects that experience an impasse are described:

- A. Drivers of change and institutional (re)design.
- B. Decisiveness in the network
- C. Create shared vision, trust and identity
- D. Have critical reflection
- E. Can undertake promotional action
- F. Learning-orientation (open-mindedness and intra-organizational knowledge sharing)

In accordance to the network approach for leadership, these requirements need to be seen as characteristics in the leadership process *shared* amongst several individuals, instead of the characteristics of *one* leader. Two profiles of Kets de Vries represent the requirements above: the change-catalyst and the communicator. The change-catalyst profile is focused on driving change (A) and making decisions (B). The communicator profile is capable to promote change (E). The aspects of creating a shared vision (C), and open-minded learning orientation (F) can be seen in the characteristics of a strategist. There is not a profile that includes trust and identity (C) as an explicit characteristic, but the *coach* profile might be relevant: empathy, motivation and
emotional intelligence. The profile of the communicator might also be able to influence trust and identity with the use of excellent stakeholder management skills.

The theory of Kets De Vries (2007) confirms the profiles of change-catalyst, communicator and strategist as important when facing crisis situations. However, the kind of crisis situation is not explicated in the theory. The coach profile is seen by Kets de Vries as a profile that can counterbalance the weaknesses of the strategist and the change-catalyst, in order to nullify the lack of emotional intelligence and long-term focus. However, the coach profile is indicated as not being able to deal with crisis situations since they cannot be though, which is important when being decisive. The processor is described in the theory of Kets de Vries as being able to complement all leadership profiles. Processors are good in actually realizing new structures and do this in a reliable, collaborative and effective manner. This might coincide with the requirements of trust (C) and knowledge sharing (F).

3.6 THEORETICAL MODEL
Based on this chapter, the following propositions can be made about the relation between leadership and progression in urban area development projects:

**Proposition:**

The *change-catalyst, communicator* and *strategist* profiles are essential for breaking through impasses that occur in the context of urban development projects. The profiles of processor and coach are needed as *complementary leadership* profiles within the network.

![Leadership profiles in a network](image)

**The profiles:**
- Change catalyst,
- Communicator,
- Strategist,
- Processor,
- Coach

**Relation**

**Breaking through the impasse**
4. THEORY: SITUATION OF URBAN DEVELOPMENT PROJECTS

In this chapter, the situational aspects of urban development projects are described and the answer to the third sub-question is given: how can urban area development impasses be characterized?

The impasse in urban area development projects is dependent on the situation the project is in. Each city, each organization, and each municipality or private party has its own, unique problems. To organize the aspects that are of influence to the impasse in urban area development, a model is used which is based on the conceptual integrative urban management model of Heurkens (2012, p. 55).

The model of Heurkens indicates three components (context, project organization and process) which reflect the dynamics of urban area development projects. In this research, these three components are used to characterize the projects, but the model is modified for the purpose of this research. The following modifications are introduced:

- The context of urban area development is replaced by external influences. Since the goal of this research is to characterize the aspects that are relevant in a specific project, this research only includes contextual developments that influence the project. It is not the overall context that is important, it is the external influence that is caused by the changed setting that matters.
- The aspects politics and economy (external influences) are separated from each other. Both aspects overlap, but since the economic situation is currently under a lot of pressure, the aspect becomes more prominent. The developments in society are included in the politics, since the society is represented in the political parties in the Netherlands.
- The components are translated into cyclical layers which indicate the proximity to the project.
- In the model of Heurkens, the process component is not further specified. In the previous chapter, leadership in the process is described in three parts: individuals, situation and network. These are included in the model, so that the relation can be made between the urban area development project and the leadership. This connects to the description in paragraph 3.2.2.

In this chapter, the aspects of the external influence (4.1) and the project organization (4.2) are introduced and explained. These aspects are combined with the indication of leadership (made in chapter three) and will create an analytical framework (4.3) in order to structure and order the information from the impasse so a characterization can be made.

4.1 EXTERNAL INFLUENCES

In the Netherlands, the central government has a prominent position in the economy of the country. The government creates jobs, invests in healthcare and infrastructure and regulates the private sector so that the quality of life in the Netherlands is high. According to the Rhineland model, the social-democratic systems in society and economy are based on the power of collective and social consensus, with an active role of the State and a long term policy horizon. (Heurkens, 2012, p. 63 & 64).

The state also has a large influence on urban area development projects in the Netherlands. There are many procedures and regulations that enable the local, regional and/or central government to influence the quality and content of developments in the spatial domain. Decision making in the Netherlands is based on consensus, and less on negotiation, which is related to the so-called 'poldermodel' (Heurkens, 2012, p. 68).
Four aspects that occur in the context of urban area development and which influence the project are described in the text below: the planning policies (4.1.1), the urban governance (4.1.2), the economy (4.1.3) and the politics and society (4.1.4). The figure on the right indicates these four aspects.

### 4.1.1 Planning policies and systems

‘Planning systems can be considered as a grounded set of legal rules for carrying out spatial planning and regulating land use developments’ (Heurkens, 2012, p. 77). Spatial planning is based on a binding land use plan, a limited imperative system, permitted planning and legal certainty. The Netherlands can also be characterized as a comprehensive integrated model, in which it is mostly about coordination. It has a strong public sector component which is translated in ‘mature planning institutions and mechanisms in a context of political commitment and public trust in planning’ (Heurkens, 2012, p. 82). Heurkens indicates a movement of authority in spatial planning from central to local governments and a market-oriented approach. He indicates that the way in which public and private parties plan cities and execute these plans, is affected by neoliberalism.

What is neoliberalism? This is a political ideology that arose in 1938 as a counter movement to the Keynesian ideology. The ideals underlining neoliberalism are individual freedom, market freedom, a non-interventionist state, focus on consumers rather than citizens, deregulation of the market, decentralization of state powers and privatization of public services (Heurkens, 2012, p. 70). These ideals entail physical effects on the cities, since there is more attention for profitable and economic developments. The state often chooses for property-led regeneration and flagship projects and focuses less on public housing and public projects. This results in social segregation, unequal developments and urban sprawl (Heurkens, 2012, p. 84).

‘Nowadays, (…) one argues that land and property development can be seen as the main production process that creates the built environment, which is constrained by institutional structures and spatial policy instruments. Then, the impact of spatial planning on urban development projects operates through four types of policy tools intended to influence markets; shaping, regulating, stimulating and capacity building tools’ (Heurkens, 2012, p. 86). The planning policies influence the urban area development projects, since they are time consuming and dependent on different departments within the municipality.

### 4.1.2 Urban governance

*Urban governance* is the term for public parties executing administrative power and policy in the spatial context. According to Heurkens (2012, p. 73), ways of working urban governance have changed since the 1970s from a managerial approach into a more entrepreneurialistic character. These changes can be related to macro-economic developments, for example to globalization, the declining power of the nation-state and the influence of other actors on urban planning. But also neoliberalism has had its influence on urban governance: cities and places are more competitive and public subsidies and regulations are reduced. The state becomes more and more a facilitator for initiatives from the market, and, therefore, becomes dependent. Heurkens indicates an ‘emerging direction towards more demand-driven development approaches, where business and user need to become more important in Dutch urban development. These needs are, most likely, facilitated by public actors, with an increasing leading role for private actors to
determine development demand in cooperation with civic actors, in order to produce a specific supply for urban areas' (Heurkens, 2012, p. 140). How municipalities execute their urban governance differs and this influences the prominence of the state in urban area development projects.

4.1.3 Economy
The main economic external influence on urban area developments is the economic crisis of 2007 up to 2013, which has been considered a severe crisis since the 1930s. The origins of this crisis can be traced back, amongst others, to the collapse of the sub-prime mortgage boom and house price bubble in the USA (Martin, 2010). The sub-prime mortgages are related to the risky mortgages of less creditworthy borrowers. The house price bubble refers to an increase of housing prices, which caused home owners to refinance their homes. The crisis has swept through the global financial system and has also influenced the Dutch economy and the real estate market. How has the real estate market been changed?
The housing market in the Netherlands is characterized by one of the highest mortgage debts in the EU, up to almost 99% of mortgage debt in 2008. This is partly due to the beneficial tax environment and the mortgage guarantee funds. However, Forrest and Yip (2011) argue that the Dutch mortgage system has proven itself comparatively robust. The influence from the financial crisis on the housing market shows a decline in house prices and a drop of housing transactions. In combination with high mortgages, there is the risk for negative debt value, which could cause trouble for homeowners with paying their monthly costs. The president of the Dutch Bank (De Nederlandse Bank, 2011), Knot, warns the banks to be prepared for a depreciation of their mortgage debt in the housing stock. The office market is characterized by structural oversupply and saturation (Van Joolingen et al., 2009). Therefore, the main challenge in the office market is transformation towards other functions.
The condition of the real estate market is critical and both state and market parties try to improve the situation. Proposals for improvements come and go and the direction of the possible solutions changes fast.

4.1.4 Politics and society
The current social context is described by Castells, a city sociologist, as one that is organized around flows of goods, people, money, and information (Wigmans, 2011). This space of flows is a global network which is characterized by informality, limitlessness, anonymity, market-orientation and uncontrollability. The space of flows tends to dominate the space of places, which refer to the spatial organization, such as local culture, urbanity, historical shapes and identity (Wigmans, 2011). Wigmans (2011) described the influence of the social context on the process of urban area development as a two-way interaction. 'The context of a city must not only take into account and anticipate the effects of social developments and translate them into tasks, but it must also acknowledge that the management approach itself will be influenced by the same social developments'.
Currently, the users and local entrepreneurs have more freedom of choosing their own products, since there is much supply on the real estate market. This translates into more specific demands and it is important for the developer to include the consumer in the planning and realization process in order to create a fit between supply and demand (van der Heijden & K. van den Hoek, 2012).

Urban area development is connected to various levels of policy authorities. Besides the municipal level, also regional, provincial, national and European levels are related. The levels of policy are intrinsically linked. They are, however, not always completely consistent (Van ‘t Verlaat & G. Wigmans, 2011b). Therefore, it is very important to identify the political context and act upon it, because it can have extensive influence on the process concerning decision-making, planning and progress.
Since 2002, the political context in the Netherlands is very unpredictable, because some major shifts have occurred. In the past ten years, people's, Christian, and liberal parties were elected as
the biggest party and all of these did not complete the four year term. Some did not even succeed in forming a government. In the election of September 2012, the VVD (Dutch liberal party) became the largest party, followed closely by de PvdA (social democratic party). Together, they try to reform the state's finance in order to lower the debt of the country and to overcome the crisis.

4.2 PROJECT ORGANIZATION
The collaboration between parties can be organized in various formal structures and is closely related to the legal and financial position the parties wish to have. These are dependent on the interest of the parties in the development project. The organizational tasks and responsibilities (4.2.1), the legal rules and requirements (4.2.2) and the financial risks and revenues (4.2.3) are introduced in the text below and shown in the figure on the right. The three aspects are very much interrelated even though they are described separately.

4.2.1 Organizational tasks and responsibilities
Typically there are different models of partnership. In the most extreme case of partnership, the public and private parties constitute a legal entity from which they cooperatively develop the land and, possibly, the real estate (Wolting, 2006, p. 127). In the more conservative models (traditional and building claim model), both parties organize their task within the existing organization. In practice, one can see that the public organization (the municipality) sometimes founds an entity especially for the area development project. The municipality is then 100% shareholder in this company which creates the possibility to separate the ‘temporary’ organization in a company under private law from the daily activities. However, it is also possible for the municipality to organize the activities within the municipal structure. With the help of the GREX (land Exploitation Company), they separate the cash flows from the normal budget.

4.2.2 Legal rules and requirements
All the partnership models have in common that they find their existence in a juridical context in which agreements are made in order to determine how the parties relate to each other. These agreements attempt, especially in the building claim and traditional model, to assign prices, obligations and risks to the parties. A characteristic of a contract is that it is made to arrange responsibilities and, therefore, it is static and fixed. The agreements are often very specified and contain complex and elaborate arrangements to secure development. However, it could happen that the contract blocks the progression in the project because the parties result in a claim situation. Changed circumstances of the project might be the cause for this situation. The contract is not conclusive anymore on the rights and obligations of the parties.

4.2.3 Financial risks and revenues
In the Netherlands, the residual land value method is often used in urban area development in order to indicate the land price. This method implicates that the value of the land can be determined by subtracting the costs of the development from the revenues. The time between the acquisition of the land by the municipality and the sale to a real estate developer often complicates the feasibility of the project for the municipality (Buitelaar & Witte, 2011). Project
developers have acquired land in the past as well, which might, nowadays, result in a higher risk in the realization of real estate.

Urban area development projects deal with great amounts of money, long-term investments and long-term commitment. Investment in real estate has always been considered as a solid investment with a low risk, but under the influence of the economic crisis this point of view has changed. The financial risks and revenues of a development project are important and these are determined in the legal agreement.

4.3 ANALYTICAL FRAMEWORK
In paragraph 3.2, the central theme in this study, leadership, is cut up into three cyclical layers: leadership in the network (1), leadership profiles (2) and leadership in the process (3). As is stated in one of the starting principles in chapter two, leadership is dependent on context and is different in several situations. In chapter 4 (paragraph 4.1 and 4.2), the way of characterizing the context of the impasse in urban area development projects is composed. This model implicates the project organization (4) and the external influence from the context on the project (5). All these components together create a framework which structures and orders the information from the project so a characterization can be made (see figure below). However, it is not a holistic scheme in which everything can be captured.
5. METHODOLOGY

In the third chapter (paragraph 3.6), the following proposition was made on the relation between leadership and progression in urban area development projects:

**Proposition:**

*The change catalyst, communicator and strategist profiles are essential for breaking through impasses that occur in the context of urban development projects. The profiles of processor and coach are needed as complementary leadership profiles within the network.*

This theoretical framework is empirically tested in the practice of urban area development. The method of how to do this will be explained in this chapter.

This chapter starts with the design of the qualitative research (5.1). An assessment of the available research methods concludes in the choice for the case study method. The case study methodology enables the inclusion of many variables and to perform in-depth research, but provides limited grounds to generalize on. The considerations for this method are described in paragraph 5.2. The selection process for three cases will be explained in paragraph 5.3. Unfortunately, the third case is excluded from this research due to the lack of actors willing to participate. In paragraph 5.3, this case is shortly introduced. The last paragraph (5.4) elaborates on the method of case study that is used in this research. The four described steps are: how to prepare the case, how to collect the data, how to edit the data so that it is prepared for the last step, the analysis. The level of abstraction in the analysis increases while we work towards the conclusions and recommendations.

### 5.1 DESIGNING A QUALITATIVE RESEARCH

In the literature review which is presented in chapter three and four, it became clear that leadership is an ambiguous concept which can be interpreted in different ways. Therefore, it is impossible to develop a method that measures leadership in an objective manner. Leadership is often interpreted by either the researcher or the ones that are researched, and might be translated into data by ordering it on a scale. For example, a researcher could interpret leader X as being competent in facilitating skills, resulting in a 4 on a scale of 1 (not facilitative) to 5 (very facilitating). Even though this data consists of numbers, it can still not be perceived as quantitative data because its content is subjective. Therefore, this study adopts a qualitative research approach.

"Quantitative research: refers to counts and measures of things, the extents and distributions of our subject matter.

Qualitative research: refers to the meanings, concepts, definitions, characteristics, metaphors, symbols, and descriptions of things." (Berg & Lune, 2012, p. 3)

In social research, a distinction can be made between intensive and extensive research. In extensive research, a large amount of units (e.g. persons in a large sample group) is analyzed
using several variables (e.g. length, weight and origin). In intensive research, only a select amount of units is examined, but this time using all the relevant variables, so that the explanation for an occurrence can be made. A case study is an intensive form of performing research (Swanborn, 2008, p. 13).

There are several qualitative research methods that structure the gathering of data and the analysis. In the book by Berg and Lune, action research is distinguished as ‘a kind of collective self-reflective enquiry undertaken by participants in social relationship with one another in order to improve some condition or situation with which they are involved’ (Berg & Lune, 2012, p. 258), historical research that is ‘a method for discovering, from records and other accounts, what happened during some past period’ (Berg & Lune, 2012, p. 304) and case studies. Berg and Lune (2012, p. 325) merge several opinions on the definition of case studies into one definition that suggests that ‘case study is an approach capable of examining simple or complex phenomena, with units of analysis varying from single individuals to large corporations and businesses to world-changing events; it entails using a variety of lines of actions in its data-gathering segments and can meaningfully make use of and contribute to the application of theory’.

The design of the method for this research should comply with a couple of criteria that are determined considering the goal and research question of this study. The goal is to produce insight and useful knowledge concerning leadership that contributes to breaking through the impasse in urban area development projects. Because there is not a lot of research done on the combination of leadership and urban area development, it is important to perform a descriptive, explanatory and all-inclusive research. By going in-depth and performing intensive research in situations where leadership and spatial developments occur together, one could compare findings from the current crisis situations to findings from the literature.

When summarizing the criteria in a table, they can be tested on the three research methods; action research, historical research and case study.

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Action research</th>
<th>Historical research</th>
<th>Case study</th>
</tr>
</thead>
<tbody>
<tr>
<td>Descriptive</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Explanatory</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>All-inclusive</td>
<td>•</td>
<td>•</td>
<td>✓</td>
</tr>
<tr>
<td>In-depth</td>
<td>•</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Intensive</td>
<td>•</td>
<td>✓</td>
<td>✓</td>
</tr>
</tbody>
</table>

In the overview it shows that a case study is the best method to study this topic because it matches all the criteria.

5.2 CONSIDERATIONS OF THE CASE STUDY

There is no unanimous opinion on the exact definition of a case study. There are different opinions on the operating and functioning of case studies. Some researchers even claim that case study research is not really a methodology. In a study by Flyvbjerg (2004) on case study methodology, he mentions that there are five misunderstandings that create the conception that ‘one cannot generalize on the basis of a single case’ and that ‘case studies are arbitrary and subjective’. Without going in-depth on these five points, (for more information see Flyvbjerg (2004)) Flyvbjerg argues that case studies are of value in the process of attaining scientific innovation by giving a description of a case or several cases. Although case studies do not provide a large sample to base a generalization on, the ‘force of example’ should not be underestimated and case studies have the possibility of approaching ‘the complexities and contradictions of real life by having good narratives’ (Flyvbjerg, 2004, p. 430). The case study approach will be the best method to perform research, since the diversity of relevant variables and the complexity of urban development projects. Flyvbjerg argues that both research on large samples and case studies are necessary in the development of social sciences. Research on large
samples might be possible when there is more sound knowledge on leadership in urban area development.

Since leadership is related to the behavior of individuals, it is important to achieve openness and to go in-depth in the interviews so that people are prepared to share their thoughts with the interviewer. To achieve this, the scope of the research needs to be emphasized: it searches for an understanding of leadership in which there is no definition of good or bad leaders, but only of leadership qualities that contribute, in a larger or smaller extent, to the project. The research attempts to make a reconstruction of the process in the case and the performed leadership, without judging who acted good or bad. The analysis and fact-finding is most important, and with this information reflection is offered to the actors in the process.

5.3 CASE SELECTION

Berg and Lune (2012, p. 337) present three types of case studies: the exploratory, the explanatory and the descriptive ones. The exploratory approach can be seen as an orientation or a pilot study. The explanatory approach is helpful in examining the plurality of influences; it ‘attempts to discover and analyze the many factors and conditions that can help us to build a causal explanation for the case’. In this approach, the pieces of information from the case are related to some theoretical propositions. The descriptive approach implies a viable theoretical orientation before enunciating research questions. The case study is then designed to measure several factors the researcher believes to be relevant.

In this research, both the explanatory and the descriptive approach are relevant. The explanatory approach is important for gaining information of how leadership in urban development projects can contribute to progression. The descriptive approach is useful for measuring factors which are indicated to be relevant in the literature on leadership. It is also useful for comparing the findings in the case.

Due to the main question in this research, how leadership profiles can contribute to breaking the impasse in projects, multiple differing cases are needed in order to compare the leadership and the breakthrough of the impasse. Due to time restrictions on this research, three cases are chosen. The cases are selected based on expectations of their information content (Flyvbjerg, 2004, p. 426). This means that the case needs to entail an impasse in order to provide the information content for this research and that there is a significant impact of the economic crisis on the progress of the development.

Another important basis for the selection of the cases is the accessibility of information and interview respondents. Because the case criteria indicate that the project needs to be situated in an impasse within the recent past, the partnerships are often under pressure. This makes it difficult respondents because the research requests them to be very open about each other on a personal level. Actors might be reluctant to participate because they think this research could harm the progress of the project. This process is beyond control of the researcher. By using existing relations from the University of Technology Delft and AT Osborne, the actors are, more likely, eager to participate.

With these selection criteria, three cases are included in the research. However, it is not possible to make a complete analysis of the third case, unlike the other two cases. The third case had the potential to be very interesting in this research due to a political profile and a difficult spatial problem. It was, however, impossible to reach a significant amount (minimum is five) of interviews with actors in the process to base an analysis on. There are four actors interviewed on project leader, manager and secretary level, but it was impossible to find project directors willing to participate in the research. Therefore, this specific case is excluded from the analysis. In the box on the next page, the case is shortly indicated:
5.4 METHOD OF RESEARCH

For this research, we developed a method for creating an understanding of leadership in urban area development projects. This method contains the following steps, which are described in more detail in this paragraph:
5.4.1 Preparation of the case (step 1)

Firstly, in order to prepare the case, the factual development needs to be explored. This is done by studying the notes, public decision-making documents and online information about the project, so an impression of the case can be made.

As indicated in the problem analyses (chapter 2), this research explores leadership in one timeframe of the process: an impasse. This timeframe provides a focus on a specific moment in the process where the project organization was confronted with a deadlock situation. By using project documents and the help of people active within the project, this period of impasse in the project is indicated.

The requirements of the timeframe in the case are:

- It represents an impasse in the collaboration in the project. This means that the project does not make progress,
- There are multiple stakeholders involved (public and private) from different backgrounds,
- It is a recent development (between 2009 and now),
- In the past three years, the stakeholders in the project have attempted to break through the impasse.

When the scope of the case is established, the involved actors in the process can be determined. These actors can then be contacted for the interview.

5.4.2 Gathering data (step 2)

‘Those of us who aim to understand and document others’ understandings choose qualitative interviewing because it provides us with means for exploring the points of view of our research subjects, while granting these points of view the culturally honored status of reality’ (Miller & Glassner, 2011, p. 133).

The interviews with the stakeholders needs to be done in a short time frame (two months) so that the circumstances are about the same in each interview. The goal is to interview each stakeholder in a network that influences the process.

When the respondents are willing to participate in the interview, the respondents will receive an email in which they are informed about the topic of the research, the goal of the interview, the timeframe of the case on which the interview is focused and an overview of the structure. In this email, a short introduction is given on the definition of leadership used in this research. An overview of the profiles by Kets de Vries is given as well. The respondents are asked to think beforehand about which profiles fit themselves and others best in the process. From the experience of the test interviews, these preparing questions can help to create a certain mindset in the interview, so that the respondent is guided in his or her ideas on leadership. Due to the fact that all the respondents are guided into the interview the same way, there is no bias between them.

In the interview, a semi-structured approach is used in which questions about several themes are asked. Depending on the case, the questions differ, but they always concern the following themes:

- The network (missing actors and relations between actors)
- The process (role of respondent in the process, specific questions concerning certain events)
- Aspects that contributed to the impasse and the break through (economic crisis, politics, decision making)
- Future of leadership in urban area development projects
- Completeness and opinion of profiles by Kets de Vries.
Throughout the interview, the leadership profiles by Kets de Vries are used to indicate leadership in the process. By using an ordinal scale, the stakeholders are asked to indicate their personal match with the profiles in a top three (1st is matching very well, 2nd is matching okay and 3rd is a proper fit). This indicates the profiles of the respondent and his or her opinion about the profiles of the other actors in the network. The stakeholders are also asked to indicate, on an ordinal scale, the impact they think they have on the behavior of others, and the other way around (1 is no impact, 5 is lots of impact).

This interview protocol is tested on multiple professionals who work in urban area development projects. Role-plays and normal test interviews were used to exercise the technique and to optimize the interview structure. This resulted in several considerations that are relevant for the interviews: the set-up of the interview needs to have enough variation so that they challenge the respondents (in the appendix 11.3 an interview protocol of one of the cases is added). This is done by using a whiteboard during the interview, at which the respondent is asked to indicate the relations in the network. In the picture above (left), an example is given of a network indication as a result of the interview. Using a whiteboard offers the respondent a framework to base all the information on. This makes the conversation easier. The respondent is also busy with a pen and this keeps them occupied and interested.

Another consideration is to ask the respondents to rate the leadership profiles and impact during the interview. In the test interviews, the rating was given in the form of a survey afterwards. The problem with this was that the respondents did not have the possibility to give nuances or variations, which resulted in less correct results. The advantage of asking for the ratings during the interview is that the respondent is challenged to think about leadership in abstract terms and that the respondent is able to explain some of the choices that have been made.

The aspect of confidentiality is very important and even in the test interviews this was noted. This indicates that special attention to confidentiality is required and, therefore, the introduction of the interview explicitly states that all the information is unanimous. Both the project location and the involved parties are made anonymous, but the functions of the persons are included. The information in this research cannot be related to companies or institutions. Therefore, outsiders that read this thesis will be unable to link information to individuals. The involved
actors in the case are (probably) able to link the information to themselves or other actors. The information is not censored and the research tries to provide a reconstruction that comes as close to reality as possible.

5.4.3 Editing data (step 3)

In the interviews, an extensive amount of information is gathered about the process and leadership. An important consideration is how to bring this information together so that it is possible to answer the sub and main questions of this research. The data is edited in three phases in order to prepare it for the analysis and interpretation.

First, it starts with writing a summary of the interview based on the sound recording. In this summary, all the information given in the interview remains intact, but double information is filtered out. This summary is presented to the respondent with the question if the information is correct and if the summary is a good representation of the conversation. This is an extra step in order to validate the information and the approved information will be the basis for the next step of preparing the data for the analysis.

Secondly, the information in the interviews is organized. The interview is coded on sentences that represent certain information that can be tagged (Berg&Lune p. 55). With the use of qualitative analysis software (Atlas.ti), the information is grouped. Some groups of information and codes can be linked directly to a proposition in the research, and other groups represent information that appears to be relevant throughout the different interviews (the coding protocol is shown in the appendix 11.4). This results in an overview of quotations mentioned by the respondents per topic. With this overview, the content of the quotations of the respondents can be compared. Due to the fact that the interviews are semi-structured, it is impossible to interpret the amount of quotations per code as information on which statistical analysis can take place. When an argument is mentioned by several actors in the process, it means that the opinion is shared and the relevance increases.

In the third step, the leadership ratings are prepared for analysis. The top three rated roles are put into data: the first best profile gets three points, the second best profile gets two points and the third best gets one point. After this, several calculations are executed on the raw data.

- The average profile per actor in the process: the total amount of points given to the actor per profile is calculated and then divided by the amount of ratings that is given. Two averages can be calculated: the one in which the self-reflective rating of the actor is included, and one in which this rating is excluded.

\[ \text{Average per profile of actor (APA) = Sum of scores per actor per profile / amount of ratings} \]

Rule:
- A minimum of three ratings (either self-reflection or by others) of the leadership profiles of an actor is required in order to represent an average profile of this specific actor in the process.

- The average of profiles represented in the whole network: the total amount of points acknowledged to the profiles and then divided by the total amount of ratings that is given. Several averages are presented: without and with self-reflective ratings, and averages of profiles in the network when only including private actors and public actors.

\[ \text{Average per profile in whole network (APN) = Sum of scores per profile / amount of ratings} \]

Rules:
- No minimum of ratings of the leadership profiles of one actor is required to be included in the average.
- To be included as an average of profiles, a minimum of 10 ratings in total is needed.

- Weighted representation of profiles in the network: the amount of relations that an actor has in the network also indicates how much influence the leadership profile has in the network. For this calculation, the average per profile of actor (APA) is used without self-reflection. The three profiles with the highest APA score are translated into a top three (the highest APA gets three points, the second highest gets two points and the third APA gets one point). This creates a top three score per profile per actor (TTPA). This TTPA is multiplied with the amount of relations that the actors have in the network and results in a weighted score of each actor on the profiles. The WPA of all the actors per profile can be summed up to determine the weighted profiles in the network. A top three of profiles can be set up.

\[
\text{Weighted profiles of actor per profile (WPA)} = \text{Top three score per profile per actor (TTPA) x Amount of relations within the network}
\]

\[
\text{Weighted profiles in network (WPN)} = \text{Sum of WPA per profile}
\]

**Rules:**
- To determine the TTPA: in total six points can be granted to the profiles of one actor. When profiles have the same APA, the division of points can vary, as long as the total is equal to six points.
- To determine the amount of relations, the schemes made on the whiteboard during the interviews can be used. In order to determine whether two people have a relation in the network, at least two actors need to verify this in their network representation. The relations between actors who are each other’s successors are not included in the network relations.
- A high TTPA score indicates that this actor shows a strong leadership profile in the network towards several relations. The value of the TTPA depends on the amount of relations and, because of this, no absolute number can be determined. The eight highest TTPA scores are perceived as a significant profile of the actors in the network.
- The WPN is a score that includes all the TTPA scores of the profile. The highest three WPN scores represent the top three roles that are the strongest in the network.

- The impact of each other’s behavior on the relation between two actors: this is indicated by both the actors in both ways on a scale from one to five. If there is a difference of >1 between the ratings of the two actors, it is deemed significant. To determine the strength of relation, the average of the impact rating is calculated.

### 5.4.4 Analyzing data (step 4)

The edited data provides a structured and accessible overview of the information of the case. With this information, we will go through several stages: the case is accurately described, the information about leadership is configured, the configurations of the cases are compared with each other and the comparison is interpreted in a larger context. Through these steps, the level of abstraction and generalization becomes higher and the subjective value increases (see schematic representation on the next page).
Phase 1: From description to configuration
In the case analysis, the information of the interviews is used to provide a complete description of the case. In this step, the actors’ opinions in the cases are most important, so the description becomes a representation of their narrative of the process.

At first, the question of how can the case be characterized is answered. By using the analysis framework, the case is structured, the information is ordered and used to characterize the case by indicating the relevance of the aspects at the different levels of the framework. To indicate the relevance, we ask the question how prominent the aspect was throughout the process (the capital bold letters in the text refer to the layer in the framework represented on the right). This is done for the outer layer (A), the external influences, and the layer of the project organization (B). The aspects within the layer are rated on the scale from double minus (--, not relevant), to double plus (++, very relevant). It is also possible that one of the aspects is not applicable (n/a) in the case.

For the aspects in the layer of the process (C), the relevance is indicated by the amount of interventions made (for example the changes in the network or prominent individuals with personal style and opinions). In the description of the process, an indication is given of the aspects in the process that are relevant for certain events or discussions. After this, the question of which leadership profiles are represented in this case is answered. At first, the individual leadership of the actors is indicated by using ratings, self-reflective ratings and information from the interviews. Then, the leadership is considered in the network and the weighted average is used to indicate prominent leadership styles. In the end, an overview of the answer to what contributed to breaking through the impasse is given.

All these aspects result in an overview of the case in which the original data is configured into a more abstract characterization and into conclusions of the level of an individual case. This provides the basis for a comparison between the cases.

Phase 2: From configuration to comparison
In the conclusions, the case characterizations are compared with each other. In this step, the findings from the different cases are placed next to each other and similarities and differences are indicated. The reasons for the occurring similarities or differences are indicated by using
information extracted from the interviews and the theory that is used in the theoretical model. In this comparison, the research questions are answered based on the cases. In the conclusions, urban area development projects, leadership in urban area development projects and breaking through the impasse are discussed.

**Phase 3: From comparison to interpretation**

In the recommendations, we take one step back from the research and try to interpret the comparison of the cases. Statements and observations of this research are made on a higher level of abstractness, and a reflection is given on the applicability of the used theory. This reflection is based on the findings of the research, the experiences throughout the research process and the personal assessment of the researcher. Recommendations are given for specific cases and urban area development practice overall.
"We’ve already seen that innovation tends to slow down in the early phases of economic crises, only to restart during the Resets that follow those crises."

Florida (2010, p. 110) The Great Reset
6. CASE STUDY

In this chapter, the sub-questions that have already been researched in the theory are looked at in the empirical object: urban area development projects that experience impasse. Two cases have been examined. In the first case, the partnership broke through the impasse (6.1), unlike the second case, in which the impasse remained unsolved (6.2).

This case study is based on interviews with involved actors from both the public and private parties and in this research their opinion is the most important factor in the analysis. In this phase of the research, there is no interpretation from the researcher unless this is explicitly stated. For confidentiality reasons, the actors remain anonymous and so there are no references to the original interviews with the corresponding respondent. The location of the case is also not released. The information from the interviews is added in the digital appendix and appendix 11.2 (in confidential version).

Each case starts with a description of the process (first paragraph), in which several phases or events are defined in time. In a chronological order, the phases are described and characterized using the three outer layers of the analysis framework (as presented in chapter 5.4.4 phase 1). The relevant aspects of the analysis framework are indicated in italics throughout the text.

(1) What is the prominent external influence on this phase? (grey box)
(2) What aspect of the project organization does the phase mainly concern? (light green box)
(3) What happened in the process during this phase concerning the network, situation and/or individual? (green box).

The occurrences in the process are displayed as either contributing (+) or weakening (-) the progress. In the second paragraph, the whole case is characterized in the framework by asking similar questions about the total process. In the third paragraph, the two inner layers of the analysis framework are used to indicate the leadership in the cases. In the fourth paragraph, the impasse and the breakthrough of the impasse is evaluated in order to provide an overview of the case in the chosen time frame. In the last paragraph, an overview is given of the main conclusions that can be drawn from the case. They will provide the basis for the comparison of the cases and the overall conclusions of this research.

6.1 CASE 1: Renegotiating terms from 2005

In this case, three parties find themselves in an impasse situation when they are renegotiating the terms of a framework agreement they signed in 2005. The arrangements of the large scale urban development around the central train station are not realistic anymore and it takes the parties several years to break through this impasse. In this paragraph, the process and the role of leadership concerning the breakthrough is described and analyzed.

The first case is a large development in a small city in the Randstad of the Netherlands. In this city, the railway, the train station and the surrounding area will be renewed. In the schematic map on the right, an overview of the program is shown.
The total surface of the development area is about 30 hectares and around 1200 residences are expected to be realized. The first initiative for this development started in 1988 and since 2005, the development started with building the railway. The necessity for development is partly based on the public rail operator's need to improve the infrastructural connection throughout the city.

The total development in the city is cut up into two pieces: (1) the development of the railway, the central station and a parking garage below ground level and (2) the urban area development on ground level, which include the public space and the real estate developments. The case's focus in this study is the urban area development which, currently, is in the planning phase.

For this case study, nine actors in the network have been interviewed about the process and leadership in this process. The actors are active in the municipality, municipal development company and development consortium.

6.1.1 The description of the process

The following abbreviations are used in the description of the process:

DC = Development consortium,

MDC = Municipal development company

MUN = Municipality.

Start: agreement in 2005

For the urban area development, the municipality made an agreement with two private parties (a large Dutch project developer and the railway project developer) who organized themselves in a consortium. The municipality founded a project organization (B.V.) to be able to execute the development and is 100% shareholder of this company.

The agreement of 2005, which was based on a master plan designed by an urban planner, contained several aspects that made it impossible to immediately effectuate the contract. Firstly, the plan contained a few factors that were still undefined when the agreement was signed in 2005. The solution for parking was not yet specified and the master plan was too opportunistic and the density was too high. These factors of uncertainty caused some changes in the price agreements with the private parties in the development consortium. The expectation and intention in 2005 was that the parties, together, would figure out a way to specify the uncertainties. Secondly, the contract contained a fixed price for the land which the private consortium would pay to the municipal development company. This price was determined by multiplying a certain volume with the revenues the real estate would raise. This land price is needed in order to pay for the construction of the infrastructure and railway station at the location. For the municipal development company, it is very important to retain this fixed transfer price from the private development consortium in order to ensure the total development of the area.

An overview of some of the practical information:

<table>
<thead>
<tr>
<th>What?</th>
<th>How?</th>
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<tbody>
<tr>
<td>Kind of agreement</td>
<td>Framework agreement in 2005</td>
</tr>
<tr>
<td>Organization of private actors</td>
<td>In consortium with two development companies</td>
</tr>
<tr>
<td>Municipal project organization</td>
<td>Yes, a B.V. of which the municipality is 100% shareholder</td>
</tr>
<tr>
<td>Focus on impasse</td>
<td>From 2010 to 2012</td>
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</table>

In the beginning of 2009, the consortium starts to give signals that they really cannot guarantee the land price revenues for the municipality, since the economic crisis puts more pressure on the project. Several actors in the process identify the financial crisis not as a direct cause of the difficulties in the effectuation of the agreement, but as a contextual factor that accentuates the defects of the original legal contract. The economic crisis creates a context of opportunity in which the old agreement can be changed.

2009-2010: Discussion consortium and municipal development company

The municipal development company determined their strategy, in which they were not prepared to give in on the fixed land price, and in which there was no discussion possible on that matter. They tried to search for solutions in the content of the plan. From the perception of the municipal project company, the private project developer appears to have two faces: when the content of the plan was under discussion, the project developer was enthusiastic. When the costs or revenues of the plan were discussed, the project developer was aversive: the developer said that those matters were only up for discussion at moments when they were negotiating. The intention of the employees of the municipal development company (mainly the project manager and one prominent involved employee) was to make progression and to create an innovative plan for urban area development at the location. Supported by the project director of the company, the employees had the intention to make this city a showcase for a so-called urban area development 2.0. Therefore, they used the knowledge of several experts in the area. They perceive an innovative plan as one in which there is a lot of flexibility, so that it will fit the dynamics of the context and society.

In this phase of the process, the private parties worked together and had the perception that the agreement of 2005 did not ensure the rights of the municipality to receive the fixed land price. The private parties did not intend to pay this price for the land.

This phase results in different expectations of the parties about the realization and continuation of the legal agreement. The parties tried to solve the differences by performing a collective examination of the content, in order to make a financially feasible plan for the location. In this research, the private parties attempt to provide insight in the original agreement that is infeasible in their opinion, and to work towards a new plan that is realistic in the current economic circumstances. However, they perceive the behavior of the municipal project company as continuously trying to remain the initial land price by changing the plan, to ensure the whole development. The private parties keep on persuading the municipal project company by presenting factual analyses which show that it is impossible to create feasible revenues with the fixed land price.

In response to the uncertainty of the partnership at that time, all the actors try to secure their interests in this development. This results in a closed manner of collaboration and communication between the parties in which the actors were trapped in a yes/no discussion. This also results in a lack of tangible deals. Several actors describe this moment as a deadlock in the partnership: it might become a legal procedure and the collaboration was tense. A conflict between the project manager of the municipal development company and the director of the project developer contributed to the strained atmosphere.
2010: Involvement municipality with municipal development company

In 2010, the politicians in the city (municipal board and council) start to realize there is a problem with the agreement made in 2005. The revenues might not be as certain as they thought they were. This becomes even more important since the economic crisis also puts pressure on the municipal finances. This results in close involvement of the board of Mayor and Alderman (that was newly assigned in the spring of 2010) in the process. They are concerned about the developments since there is a lot at stake: not only the spatial quality in the area, also the financial prosperity of the municipality. They want to take full control of the development. They assign several consultancy agencies in order to assess the legal position of the municipality.

What?

- Several assessments of prominent agencies on the legal position of the municipality.
- Several individuals of B&W board are involved with strong change capacities

Begining of 2011: Position of municipal development company changes

In October 2010, the board of Mayor and Alderman gave the political administrative assignment to the municipality to become closely involved in this development, to examine their legal position and to solve the situation. The municipal development company was founded with the intention to only execute the agreement of 2005. When significant decisions needed to be made, the municipality took a more prominent role and, so, the organizational focus shifts. This shift indicates that the municipal project company needed to provide more accountability for their actions and decisions towards the municipal organization and the board of Mayor and Aldermen. Together with this shift, also the personal relations changed, especially between the strategic advisor of the municipality and the project director of the municipal development company. In the board of Mayor and Aldermen, there is one alderman with this specific project in his portfolio. The other aldermen (with finance, real estate, housing and spatial planning in their
portfolio) have overlap with this specific project. Especially the alderman of finance and real estate starts to get more involved. The alderman sees this task as a challenge for every public leader: ‘It cannot get any better than this!’ Up to this moment, the municipality still had the perception that the agreement offered a guarantee of receiving the fixed land price from the development consortium. In this line of thought, the private parties were perceived as the ones with a problem, since they were going to break the agreement, and not the municipality.

What?

- Personal conflict between strategic advisor of the municipality and the project director of the municipal development company.

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In the course of 2011: The ‘what-if discussion’ in the municipality

Through the collective research on the content of the plan in the course of 2010, the municipal organization started to realize that it might not be possible to transfer a significant share of the risks to the private party. The agreement of 2005 does not offer guarantees. The project director of the municipal development company starts to create awareness: ‘They have a problem, but we also have a problem’. This process of realization is also influenced by the independent analysis of the agreement made by a large consultancy firm. The municipal development company presented four scenarios to the board of Mayor and Aldermen. This analysis clarified that it was not beneficial for the municipality to enter a legal process. This consciousness caused a shift in the expectations of the board and the council concerning the process. Indirectly, this shift offered room for negotiation.

When the risks for the development came back to the municipality, the municipality figured that it would be better to get the development back in their control. This urban governance strategy makes it possible to work with other partners out there in the field. The private parties started to think the municipality was going to break with the consortium and excluded the project developer and the rail project developer from this project. The project manager of the municipal development company acknowledges this intention of the municipality. The partnership was made in a different context and under different circumstances. Back in the days, the private party offered a large compensation for the development rights at this location (money and knowledge). However, now the collaboration has changed. The municipal development company believes the project developer ‘needs to earn the exclusive right to develop’. The new strategy of the municipality attempts to offer space for other project developers in a more flexible development strategy.

The public and private parties agreed that a legal process has significant downsides and they decided to choose for the harmonious process. The agreement is prone to various interpretations in court since the original agreement of 2005 was constituted with the idea that some aspects would be further specified in mutual consultation. Therefore, both public and private parties expected that the judgment would be uncertain. Besides this, a legal procedure is very expensive and during this process the development of the project would stagnate. This is unfavorable for all the involved parties. The combination of the changed role of the municipality and the choice for the harmonious process creates a fertile situation in order to break through the impasse and make progression again.
Around May 2011, the board of Mayor and Aldermen determined a strategy for the negotiations in which the municipality intended to prevent a legal procedure, to dissolve the agreement of 2005 and to agree on a new contract with the project developer for a share of the area. In this strategy, the municipality also decided to hire an external consultant for the organization in order to help with the negotiations, in combination with a taskforce that consisted of people from the municipality and the municipal development company. In this taskforce, the strategic advisor of the board of Mayor and Aldermen takes part.

**What?**

- Close involvement of Alderman on finance and real estate and its strategic advisor.
- Several assessments of prominent agencies on the juridical position of the municipality
- The project manager of the municipal development company leaves the organization in the summer of 2011.

**Process:**

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<tr>
<td>NETWORK</td>
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<td>INDIVIDUALS</td>
<td>+/-</td>
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**Second half of 2011: Preparation of change of direction by municipality**

The external consultant, from now on named strategic negotiator, is assigned by the municipality not to talk about the fixed land price and not to give in on that aspect. The first step of the strategic negotiator was to examine the legal analyses made in the past two and a half years. These showed that the position of the municipality was interpretable in several ways. The strategic negotiator tried to manage the expectations of the politics in the city (both the municipal board and the council) by talking to them. Since the strategic negotiator has a lot of experience and status, the message was received well. Part of this message is that ‘if you stick to your opinion, with the idea ‘I am right!’’, the other will also stick to his or her opinion and a confrontation will be the result. Then there will be no conversation, and no progress can be made in the process’.

**What?**

- Inviting of the strategic negotiator to the process
- The alderman of finance and real estate formally takes over this development project from the former alderman (end of 2011).
- The project managers are excluded from the negotiation in this phase.

**Process:**

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<tr>
<td>NETWORK</td>
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<tr>
<td>INDIVIDUAL</td>
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<td>NETWORK</td>
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To indicate the following development, a small step back in time is needed. In 2008, the board of the railway development company changed the corporate strategy. Before 2008, the company focused on the development of real estate at and around rail infra points. When the occupation in the board changed, the focus of the company was limited to rail-related developments. The board instructed almost all the project directors to withdraw from real estate development projects. The involved director in this project estimated that it would be impossible to retreat from this agreement without a legal claim or many expenses. The project director of the railway development company therefore, in 2009, determined the strategy to work on a feasible plan in which the development rights would retain value again. Then, they could sell it to the project developer in the consortium or to another developer.

The moment the director of the rail project developer noticed that the municipality wanted to get the development back in control (changed urban governance strategy), the director did two things. Firstly, he informed the partner in the development consortium, the real estate project developer, that the rail project developer had the intention to exit the project. With this announcement, the project director started the negotiations: they aimed high and the first offer to the municipality and the project developer was that they could buy the development rights back. Although the original task assigned by the board in 2008 was to leave this development project without costs, the project director knows from experience that it is important to create room for negotiation. Secondly, when the project director of the rail project developer heard the strategic negotiator requested a meeting, someone from the board of the rail project development company was also asked to join the meeting.

The strategic negotiator saw an opportunity with the rail project developer. The main interest of the municipality was to gain more control over the development. The strategic negotiator noticed that the developer was pulling back from several real estate developments throughout the country and this could indicate that they might step out of the consortium and hand in their (50%) share of the development rights. The negotiator prepared a meeting with the director of the rail project developer and the strategy was to let go of the developer, without costs for the municipality. Together with the project director of the municipal development company, the strategic negotiator approached the rail project developer.

In this meeting, the strategic negotiator asks the rail project developer what exactly it is that they want to achieve in this development, since they were pulling back from several other projects. Throughout the meeting, the two parties came to the understanding that the rail project developer would give their share of the development rights back to the municipality without further costs. The strategic negotiator offered a moment of reflection for the rail project developer at the end of the meeting, since it appeared that they were making a concession on
their initiated objective. The strategic negotiator substantiates this act with the statement that it is very important not to make decisions in a rush because the error margin is large. After the break in the meeting, the rail project developer agreed with this deal. Although the interests initially communicated by the parties were different from each other, the actual intended strategies are similar. So in the end, both parties got what they wanted, but with a diversion.

**What?**
- Negotiation between project director and board member of rail project developer and the strategic negotiator.
- Close collaboration between director of project developer and project director of rail project developer.

**Process:**

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<th>NETWORK/SITUATION</th>
<th>INDIVIDUAL</th>
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**Beginning of 2012: Dissolving the original agreement and signing a new contract which includes 33% development share for the project developer**

The deal between the rail project developer and municipal development company created room to break through the impasse and to make the next step in the negotiations: the agreement between the real estate project developer and the municipality. Since the municipality already had gotten 50% of the development rights back, the strategic negotiator intended to take back another 20% of the development rights from the project developer. The private project developer perceived the municipal strategy as a strategy that reduced the share of the developer towards 0% and which would exclude them from this project. Nonetheless, the project developer had an interest in securing the development capacity of the company on the long-term. The director of the project developer was relieved when the strategic negotiator assessed it was reasonable to maintain a share for the project developer. The strategic negotiator was therefore perceived as standing in between the parties, instead of only serving the interest of the municipality. The strategic negotiator perceives the decision of giving a share to the project developer as a decision which is realistic about the position of the municipality and which accentuates the underlying goal (getting in-control of the development). Then the municipality should be satisfied with a solution that comes close to this goal. 'It is a give-and-take situation. One cannot always achieve the maximum, but at least you keep the momentum going'.

In December 2011, the result of the negotiation is prepared by the strategic advisor of the board of Mayor and Aldermen, the strategic negotiator, the director of the municipal project company and the director of the project developer. These results present a 33% share of the total real estate development programme for the project developer and the land price for the project developer will be calculated by using the residual land value method. The municipality is in control of the development of the urban area (including public space and social services) and the municipal development company will be influential in the realization of the plans.
With this outline for the new deal, the strategic negotiator has fulfilled the assignment at the end of 2011. The specifications of the outline are prepared in the first six months of 2012. The common director of the project developer stepped into the background at this stage and another director (of real estate) completed the final phase of the negotiations together with the project manager involved in this project since the beginning. From the municipal development company, the project director and one of the employees are involved.

The next step in the process is to make sure this negotiation result obtains political support and is approved by the council. The alderman organized three sessions in the spring of 2012 in which the implications of the decisions are elaborately discussed, so all the involved actors on the public side are fully aware of the decisions. During these sessions, the political decision-making process is prepared. The alderman is convinced that it is important 'to always organize your own counter power. It is good when critical questions are asked'.

The new agreement between the municipality and the project developer indicated a significant turn of events. At first, the message is received with disappointment in the municipal council. However, the combination of the urgency of the situation and the detailed attention for the process of communication proved to make the decision-making process successful in the end. The council requested a second opinion on the legal position and the content of the new strategy in the spring. The project director of the municipal development company already anticipated this request and approached two large independent consultancy firms to provide these second opinions. Their assessment resulted in a positive decision of the council concerning the new agreement by the end of June 2012.

What?                                         Process: + / -
• Duo between the real estate director of the project developer and the project director of the municipal development company.
• The role of the employee of the municipal development company in the process is not really clear since the project manager has left in the summer of 2011.
• Second opinions are prepared by two external agencies.
• The alderman is preparing the political decision-making process.
• Change in composition of organization of the municipal development company

6.1.2 The characterization of the impasse
How can the impasse between collaboration partners in urban development projects be characterized? This evaluation is based on the experiences of the actors in the network, which indicate how they understand the context and the impasse. This evaluation takes place on the level of the external influences, the project organization and the process, as proposed in the analysis framework in chapter 5.4.4.

What profile of external influences characterizes the impasse?
The influence from the politics on the project is intertwined throughout the whole process. The tone in the discussion between the parties was indirectly influenced by the determination of the board of Mayor and Aldermen and the municipal council to obtain the fixed land price. Since the summer of 2011, this influence on the process becomes more direct, since the new direction of the municipality needed to be approved. It takes time to change the perception of the politics and the municipality on the issue of the fixed land price, and this contributes to the impasse in the partnership.

When, in 2011, the municipality determined they wanted to take back the control of the development, the urban governance strategy changed. The original agreement of 2005 was an example of development planning, in which the focus was on the market parties. The changed
strategy created possibilities for the partnership to break through the impasse and to change the initial agreement.

The effect of the economic crisis on this impasse was that flaws in the initial agreement became crucial points of discussion. At first, they were perceived as unimportant, but when both parties experienced pressure on their financial situation, it was not possible anymore to make a concession. Some actors in the process also see the crisis as an opportunity changing the original agreement and for making a plan that fits the current time frame better. This indicates that, in the end, the economic crisis might have contributed to breaking through the impasse.

The planning policies did not play a role in this process. This is due to the fact that the renegotiations are concerned with the division of risk and costs, and the planning policy is not so much involved in this phase. This is probably more important in the next phase of the project, when the master plan is translated into a land use plan.

In the representation below, the aspects are summarized and organized on their relevance and motivation:

- Crisis shows and accentuates defects in original agreement.
- Not relevant in this phase of the project.
- Indirectly intertwined throughout process, became more prominent since summer 2011.
- Staging role for municipality after 2011: more risk and influence in the development.

**How can the project organization in this impasse be characterized?**

The organization of the legal rules and requirements is dominant throughout the whole process. The bottom line of the discussion is a framework agreement that implied a large set of rules and requirements, which the parties did not want to fulfill anymore. The impasse originated from the extensive search for a way to change the contract, so that it would comply with current demands.

Overall, the organization of the financial risks and revenues is very important, since parties try to protect themselves from high risks. In 2010, the finances become explicit in the project, when the public and private party are in a fierce discussion about the fixed land price. In 2012, when the new agreement needs to be specified, the financial aspects become explicit again.

The organizational tasks and responsibilities are mainly relevant in 2011, when the municipality changes position in regard to the municipal development company. The municipality takes over some of the responsibilities from the development company and this causes some disturbance on the public side of the partnership.
In the representation below, the aspects are summarized and organized on their relevance and motivation.

**How can the process towards the impasse be evaluated (network, situation, individual)?**

**Network:**
There were many interventions concerning the composition of the network in the process. Since 2009, several agencies were asked to analyze the plans and the (legal) situation and mediators were approached for assistance in the process. The strategic negotiator excluded the project managers from the negotiation table in the second half of 2011 in order to avoid having too many people at the table and to make the deal at first on an abstract level. The negotiation result indicates a completely new approach and strategy for the municipality in the project, and, therefore, it is important that the implications of this decision are embraced by the municipality and the municipal development company.

**Situation:**
*Difficulties with formal position* appeared mainly within the municipal development company. The project manager had the idea that it was impossible to express the intended input, which was partly due to the conflict with the director of the project developer. The role of the employees of the municipal development company in the process is not really clear, since the project manager left in the summer of 2011. The employee tries to contribute to the process only on the content and it appeared that there was urgency to rush the process.

**Individual:**
One prominent *conflict* in the collaboration was the conflict between the project manager of the municipal development company and the director of the project developer. The (relatively young) project manager was very driven to make this a successful project and tried to achieve a deal that guaranteed the fixed land price. The director interpreted this determination as lack of a constructive attitude and did not feel respected in the conversation. The project manager also indicated that it seemed like the director did not listen. Another actor that is not directly involved with either of the individuals is able to see two conflicting personalities who do not understand each other well. The director of the private project developer avoids the confrontation by talking only on director level. This contributes to the impasse reached in the process, since the tone of the discussions becomes more and more tense.

The manager of the municipal development left the process in the course of 2011. The conflict with the director of the project developer was solved with her leaving, and the progression in
the process increased. Based on the information of the interviews, it is impossible to evaluate whether the conflict caused the project manager to leave. The manager left the project by saying that it was impossible for her to fulfill her potential in this process. In the beginning of 2012, the vacant position of project manager within the municipal development company is fulfilled by a new project manager with the notion that the management of the urban area development would come back to the municipality. The new project manager is experienced in large scale urban area developments and in politics and decision-making.

Another conflict arises between the strategic advisor of the municipality and the project director of the municipal development company. Due to the changing position of the development company, the existing power relations also change. The project director seems to have difficulties with the position of the development company, which is close to the municipality. The strategic advisor argues that it goes beyond their own interest and that it is for the greater good of the city development.

The project director of the municipal development company has a background in infrastructure. Several actors notice a deficit of knowledge of real estate and urban area development. This implicates that there is a need for compensation by others who have more knowledge. The consequences of some decisions are not foreseen by the project director. This hinders the negotiations with the other directors. With the help and knowledge of the strategic negotiator, acceleration in the process is achieved.

6.1.3 **Analysis of leadership profiles in the impasse**

In this paragraph, the question of what leadership profiles are represented in this impasse is answered. At first, the leadership is evaluated on the level of the individuals by using the leadership profiles of Kets de Vries. After this, the leadership is assessed in the collective and shared network. The individuals are represented in the network overview below: the numbers/letters in the boxes correspond with the description of their leadership or relation in the paragraph below.
The individual leaders
The description is structured in three steps: first, the average rating of other actors on the individual is mentioned. Then, these ratings are compared to the self-reflective evaluation. In the last step, several remarkable or frequently mentioned statements are presented concerning the individual.

The director of the project developer (1) is convincingly rated by the other actors as a communicator. The communication skills of this person are, on the one hand, perceived as valuable for the process because they create enthusiasm and generate vision in the collaboration network. On the other hand, the message is sometimes difficult to translate into actions and the closing of a deal, because it is perceived as very abstract. In the self-reflective rating, the communicator is the most prominent profile. Remarkable is that several public actors perceive the director of the real estate developer as someone who is strategic, while this person does not recognize this in his self-reflection. The actors in the process explain that the director can communicate well about the future of the development, but that there appears to be an underlying strategic interest for the own organization.

Although communication and empathy are important for this individual, the relation (A) with the project manager of the municipal development provides an example of occurring difficulties in communication and empathy for each other’s position and personality. The project manager is profiled strongly as innovator, who is persistent and who focuses on details, but the counterpart of innovators is that they can be narrow-minded and introvert. Downsides of communicators are that they can be superficial and only look at the big picture. The communicator and innovator can be a strong complementary leadership duo; detail and overview come together. But since these persons come from different organizations, a counter reaction is created. This results in very low impact on each other.

The project manager of the project developer (2) is rated by other actors as a processor who mainly contributed to the vision and direction in the network by working with the content, by showing the pros and cons of decisions and preparing solutions for the problems. The self-reflection indicates that the change-catalyst is the strongest profile, followed by the builder and the innovator. This results in a complete mismatch between the self-reflective evaluation and the assessment from the other actors, because none of the profiles match.

The interviews clarified that it was difficult for the project manager to indicate self-reflective leadership profiles. There was not one profile that was a clear match with the respondent. Notable is that the influence of the project manager should not be underestimated, as indicated by one of the actors, and this is confirmed by the impact ratings. The project manager often underestimates his impact in the relations.

The director of the rail project developer (3) does not have a significant amount of ratings from others in order to determine an average leadership profile. Based on the factual developments in the process one can see that this individual has behaved very strategic and was aiming for closing a beneficial deal for the own organization. This profile adds qualities of direction and confidence to the network, since the transactor is not represented in the network at the level of directors. The impasse is about closing a new deal.

The involvement of the strategic negotiator (4) in the process at the end of 2011, is perceived by various actors as crucial for the breakthrough through the impasse. This person is hired by the municipality to negotiate for them, and can be seen in the leadership ratings of this individual: the profiles of the transactor, strategist and communicator are strong. Remarkable is that this person is the only involved actor whose self-reflective rating of the top three profiles coincides with the average rating of the others.

Since transactors have the risk of being impatient with procedures and structures, the combination with strategist is seen as valuable by Kets de Vries. The strategic negotiator is perceived to be very important for the course of the process. Nevertheless, the number of
relations in the network is relatively low and also the impact on others is not remarkably high. This can be explained by the fact that the strategic negotiator tried to make the negotiation table smaller, and worked effectively but not dominantly. Another explanation given by one of the actors is that many analyses and assessments have been made in the course of the process, and the strategic negotiator was only needed to conclude the deal and to justify the decision to the municipal council.

The director of the municipal development company (5) is rated by others as the processor and builder. The choice for these profiles is motivated by several actors by explaining that the project director was very goal determined (attaining the fixed land price), persistent and has a strategic capacity and lots of energy. The counterpart of this is that the director is perceived not to be able to deal with the dynamic context of urban area development due to inflexibility. This was partly assigned by the actors to the lack of experience and knowledge in this working area, but it can also be assigned to the personality of the director which is described as very contract-managing and result driven (processor). The role the director rates as most prominent in the self-reflection, the coach profile, is not at all acknowledged by the other actors.

The director has the most relations in the network of actors. It is therefore possible to use the individual profile in order to influence other actors in multiple relations. However, there is no one in the network who also indicates the project director as an important or crucial actor in the process.

An involved employee of the municipal development company (6) is rated as having a strong profile as a strategist and builder. The employee is part of the urban area development team and has the second most relations in the network, following the director of the municipal development organization. This means that the leadership profiles are significant in the network. This individual finds it difficult to deal with the political and administrative side of this process. He thinks that it is impossible to find certainty that the municipality looks for in urban area development projects, since they are very dynamic and, therefore, plans need to be flexible. When the project manager of the municipal development company left in the summer of 2011, the employee fulfilled a more prominent role next to the project director of the company.

The project manager of the municipal development company (7) is rated the highest by the others on the profiles of innovator, builder and processor. Only the innovator profile matches the self-reflective rating. The project managers describes that the change-catalyst and the transactor are the intended leadership profiles, but, at a certain point, it becomes difficult to show these profiles in the network.

These difficulties are influenced by the conflict with the director of the project developer (relation A), but also the limited space offered by the project director of the municipal development organization caused the project manager to attain the profile of processor. The project manager was not positioned at the right place and this is shown in the impact ratings, which indicate that others perceive the reciprocal impact lower than is perceived in the self-reflection.

After this individual left the organization in the summer of 2011, a different project manager was assigned for this position at the beginning of 2012. Interesting is that this new project manager has almost the same leadership profiles as the precedent, only the processor and communicator profiles have changed. The communicator profile can be useful, since several public actors indicate that the political profile of this project requires knowledge and experience in the decision-making process in order to increase effectiveness.

The alderman of the development project for the municipality (8) who is involved from 2011 is rated as having a strong communicator leadership profile and this profile is confirmed in the self-reflective evaluation. The amount of relations in the network is limited and this is mainly due to the fact that the alderman is not directly involved with the negotiations and therefore does not have direct relations with the actors from the private parties.
The alderman does not have experience in or knowledge of urban area development projects but this is not perceived as disturbing in the network. Two reasons can be seen for this in the interviews; one of them is that the alderman has an advising team that provides the technical content to make decisions on. One of them is the strategic advisor (of the board of Mayor & Aldermen) who can be seen as complementary to the alderman. This is where the deficit in knowledge is nullified (relation B). Another reason might be that the alderman is focused on generating and guiding the process of policy transformation within the municipality because it is needed to comply with the dynamic and changed context. This indicates that the alderman is not so much occupied with the what-question, but more with the how-question. This “change” profile is different from the former alderman, who acted more passively and responsive. Some actors (only private) indicate that it would not have been possible to close this deal with the former alderman.

The strategic advisor of the board of the municipality (9) is perceived by several public actors in the network as an important person in the process. This individual works mostly behind the scenes and is therefore not noticed by the private partners. There are no ratings by other actors in the network of the profile of the strategic advisor. However, the advisor played a significant role in creating public and political support for the decisions needed to be made. The strategic advisor reflects on his own influence as being a confidant of the board. From there, he is able to have effect on the content of the message (strategy) and how it is communicated. The message can be enforced by empathizing with the interests of the board and council and by making an estimation of the environment. This position and these skills mainly come from experience within the municipal organization.

Leadership in the network

The following scheme is the result of putting together all these individual leaders along with their leadership profiles in the network. The prominent profiles of actors are determined by using the weighted average method in the network (which includes the amount of relations of an actor and its most prominent rated profiles. For more information see chapter 5.4.3 WPN). The strength of the relation between the actors is based on the average of the impact rating. When the line is light-grey there are no impact ratings of this relation.
Based on the data of the actors’ profiles, one could say that the profile of the *builder* is strong at the public side of the network. The downside of builders is that they have a controlling attitude that can result in dysfunctional organizations. This attitude could explain why it took a long time for the municipal development company to let go of the initial starting point. The *processor* can complement the builder profile to keep the organization going, and in this process the processor role is fulfilled at both the public and the private side. However, the danger with the processor is inflexibility, which is unbefitting in the situation in which it is needed to comply with a new demand. It might be good to create a profile within the municipal development company that is strong in dealing with developments in the environment such as the communicator and the strategist. This profile optimally would take place at the level of the project director.

The strategic negotiator complements the *transactor* role in the network at the moment a deal needs to be made, since this role is not present in the network. The preparations for this deal are already made by the others, but with the decisiveness of the strategic negotiator it is possible to use the momentum and to break through the impasse.

The leadership roles of *change-catalyst* and *coach* are not represented in this case. Some actors indicated that they use the coach profile more often within their organization, instead of in the partnership. The change-catalyst is evaluated by three actors in their self-reflective evaluation as their strongest profile, but the other actors do not confirm this in their rating.

When perceiving the average of the rated profiles of the actors in the network, one can see that *strategist* is the most represented. However, when we use the weighted average that includes the amount of relations, the strategist is only represented once. The data shows that several actors have a strategic profile, but that other profiles are more prominent, such as the builder, the communicator or the processor.

There are several duos that work together in the process. One of them is the alderman and the strategic advisor of the municipality. They have a large impact on each other and work together very closely. Another duo consists of the directors of the two private parties in the consortium that work together although their interest in the process is different. They stick together in order to convince the municipality that the fixed land price in the agreement is not feasible; this topic is their shared ground.

Overall, the impact of the actors on each other in the relation varies from moderate to significant and there are no extreme misconceptions in the evaluation of the impact in the relation by the actors.

### 6.1.4 The breakthrough of the impasse

The question of what contributed to breaking through the impasse is answered in this paragraph. First, the type of impasse is explained, secondly, the aspects that contributed to the breakthrough and finally, the appreciation of the breakthrough.

**Characterization of the impasse**

The causes for the impasse go back to the content of the initial agreement of 2005, of which the parties make different interpretations. This causes a situation in which the expectations of the municipality and the development parties about the effectuation of the agreement starts to deviate. Due to pressure from city politics and the economic situation, there is no room for easy solutions and both the public and the private parties fight for their interest. However, these interests cannot be united, so it seems impossible to make a decision and to make progression in the process. Based on the analysis of this case, the impasse can be characterized as a *decision-making impasse*. This statement cannot be supported by the information from the interviews, since, for this case, there was no question about it in the interviews.

**Breaking through the impasse**

In the actors’ opinions, who were involved in the process, three main aspects contributed to breaking through the impasse:
• The rail project developer withdraw from the project
• The involvement of the strategic negotiator
• The involvement of the municipality in the person of the alderman and strategic advisor.

The first aspect is a development that occurred outside this project and yet contributed to this specific process. However, the manner in which the rail project developer arranged the process, made the municipality perceive the retreat from development as something good instead of negative. In this process, timing and smart negotiations were very important. Both the project director of the rail developer and the strategic negotiator are key actors in this process.

The second and third aspects are very much based on individuals and their influence on the process. The strategic negotiator is perceived by several actors in the process as crucial. This person gained a position in the network and contributed to knowledge of strategy and content. The involvement of the municipality is personified by two individuals: the alderman (since December 2011) and the strategic advisor of the aldermen. These two make a strong duo. Together, they prepare and guide the change of direction within the municipality and the politics. Several actors involved in the process believe that the change-driven character of the new alderman made this happen. Therefore, the alderman might be crucial in breaking through the impasse.

Appreciation of the breakthrough
The result of the process is appreciated by most of the actors. The private parties are proud and satisfied with the result. The municipality (alderman and strategic advisor) perceives the outcome also as successful. The former project manager and employee of the municipal development company would have liked a showcase of innovative development: urban area development 2.0. While the components for a successful project were present, they think the static attitude of the board and council of the municipality caused the new strategy to become a weaker version.

Forecast for the future
Actors in the network were asked to indicate what they perceive as important factors for urban area development in the insecure future and the accompanying leadership. Below, the three main topics of discussion are indicated.

Communication:
The ability to talk and explain is very important for future leaders. Simple, authentic solutions and empathy are indicated as ways to create mutual understanding within the collaboration network. Six of the eight actors in the network mention the communicator profile as a future leadership role.

Decision-making:
For public actors, the political decision-making process is extremely relevant to the shift of direction and strategy in urban area development projects. In this context, it is important to create a new context in which decisions can be made and public support can be gathered. The courage to take risks and to make effective decisions is needed, and the expectations of the different stakeholders need to be managed. The strategic leadership profile is indicated as important and, in this profile, political awareness is needed.

Opportunities and pioneers:
The ability for leaders to behave like entrepreneurs and to find opportunities in the environment is also perceived as an important aspect for future leadership. Using knowledge and strength, one should search for the opportunities and provide vision and faith in these goals.
6.1.5 Conclusions of the case

This elaborate case description shows that breaking through the impasse is partly determined by developments in the context, because they enabled to close the deal. The way people act and their attitude towards each other in the continuation of the project is just as important. In order to summarize the intensive research, one can see several conclusions of the case below:

Conclusions of the process of the case:

- Various external analyses, knowledge and collective research helped to guide the political decision-making process and to elucidate the differences in expectations.
- Both formal and informal leaders need to have knowledge of and experience in urban area development. A lack of knowledge can create disrupts in the effectiveness in the network and can weaken the personal leadership strengths.

Conclusions about leadership in the case:

- The leadership profiles of the coach and the change-catalyst are very little, or not represented at all in the network.
- Project managers in the network find it difficult to give a self-reflective indication of their leadership profile, and this profile often does not coincide with the average profile rated by others.
- The alderman, who becomes involved in 2011, is important in the political context in order to create public support. This is done by his strong communicator leadership profile.
- The transactor profile was added to the network in the person of the strategic negotiator, in order to close the deal in the final phase of the process.

6.2 CASE 2: The impasse considering three contracts

In this paragraph, we elaborate on the attempts made by the involved actors to break through the impasse in an urban development project in the Netherlands. This impasse is an example of a complex legal construction in which the parties find themselves tangled up when the circumstances change. Up to this moment, the parties have not figured out a way to break through this impasse. In this paragraph, we examine the reason why the impasse is not solved and the role of leadership in the attempt of breaking through the impasse.

First, an elaborate description of the process is given by presenting a timeline in which the process is explained step-by-step (6.2.1). The relevant aspects of the analysis framework are indicated throughout the description in italics, and are summed up in subparagraph 6.2.2 (the external influences, the project organization and the process). The leadership in this impasse is analyzed in subparagraph 6.2.3 and concludes with a recapture of the impasse in the case and what factors were important in the attempt to break through this impasse (6.2.4). An overview of the main conclusions from the research on the impasse is provided in subparagraph 6.2.5.

This case is a large scale development of around 100 hectares in a relatively small town in the Randstad. The urban development project is situated around the central station area and the goal of this development is to give the city an impulse to become more attractive to its citizens and visitors. Part of this development in the city center has already been completed. Other parts are currently in the planning phase.

The focus of this case is on a subarea of the development that is situated in the west of the development area. In this subarea, the municipality and an educational facility (for around 6,000 students) have a land position. Since 2009, a large Dutch housing corporation became involved, when it bought land and real estate at this location.

For this case study, seven actors in the network have been interviewed about the process and the role of leadership therein. For this case, we choose to interview involved actors in the earlier
phases of the process (until summer 2011) in order to focus on how the discussion arose and developed. This means that the successors of the actors are not interviewed.

6.2.1 The description of the process

The following abbreviations are used in the description of the process:

MUN = Municipality
EF = Educational Facility
HC = Housing Corporation

In July 2009, the educational facility, the municipality and the housing corporation came to a negotiation result in which they signed the intention to make a package deal that consisted of three sub agreements between the three parties. In the period before signing, the three parties already negotiated a long time to bring the different interests together into one plan. In the schematic representation of the area (image on the right), the three contracts and their content are indicated. The educational facility is the user of the area and its interest is to ensure the future of the school. This is translated into financial revenues and quality conditions they demand. The housing corporation has the interest to obtain a position in the city so they can develop houses and social amenities. In addition, it is their goal to create revenues with this project so they create return on their investment. The interest of the municipality is the total development of the west side of the city and they find it important to continue a good relationship with the educational facility.

In the package deal, there are some details that needed to be specified, and it was crucial for the parties to sort out these last details in consultation. From the information gathered about the process, it turns out that the school had the biggest risk in this project.

An overview of some of the practical information:

<table>
<thead>
<tr>
<th>What?</th>
<th>How?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Kind of agreement</td>
<td>Intention agreement on package deal in July 2009</td>
</tr>
<tr>
<td>Organization of private actors</td>
<td>No organization structure. Bilateral agreements with the two private parties</td>
</tr>
<tr>
<td>Municipal project organization</td>
<td>No, capacity for urban area development organized within municipal organization.</td>
</tr>
<tr>
<td>Focus in process</td>
<td>From 2011 to 2012</td>
</tr>
</tbody>
</table>

November 2009: Signing contract 1 Municipality, Educational Facility and Housing Corporation

Another interest of the municipality in the area is that there is a recent problematic situation at the location. The municipality founded a new enterprise for a work-learn combination project, together with the educational facility, in the two buildings already built. The school had one of the two buildings in their possession, and the municipality the other one. When it became clear that the initiative was unsuccessful, the ownership of the buildings became undesirable for both parties. In the package deal, the housing
The housing corporation agreed to purchase both buildings from the municipality and the educational facility. Since the school needed more quality space for their students, the housing corporation agreed to rent out both the buildings to the educational facility. This deal was closed in November 2009, after the signing of the package deal.

The former alderman of the municipality indicates that this was a good deal for the municipality because this could compensate for the unsuccessful political initiative. When the contract with the housing corporation was signed, the revenues of the sale offered a financial compensation for the losses of the former investment. Besides this, a significant risk was assigned to the school in this deal. The alderman of the municipality had the feeling there was the need to compensate for this risk.

### November 2009: Signing contract 2 about the sale of land between the Educational Facility and the Housing Corporation

The second contract was signed in November 2009 as part of the package deal. This contract was the sale of land owned by the educational facility. At this plot of land owned by the school, two operational sport facilities are situated. This land is at the border of the inner city (and yet close to the central train station) and next to a recreational park. This made the location interesting for the housing corporation; they wanted to develop ground-tied dwellings in the private lease sector. The housing corporation and the educational facility signed an agreement in which there are two restrictions.

The first one is the planning policy: the land use destination of the area needs to be changed into a residential area. The second one is that the agreement expires at the end of 2011. This caused dependency of both the educational facility and the housing corporation on the municipality for the land use plan. The municipality has a policy that requires at least 30% social sector housing in development projects, and this caused difficulties since the housing corporation only wanted to build private sector housing. The municipality offered that the 30% social sector housing could be compensated with social housing at the other location on which the housing corporation intended to develop (contract three, see below for more information on this contract).

This is where the interdependency between the subcontracts starts to become evident. On top of this social housing policy, the educational facility has two sports facilities planned to be realized on the land of contract three. The educational facility is dependent on the municipality to make this happen, since they have the intention to sell the land to the housing corporation. The department of the municipality that is responsible for the procedure is different from the team that works on this urban development project. Therefore, the municipality cannot guarantee a positive outcome of the procedure. The alderman promises to do their very best, and the educational facility just needed to trust this effort.

<table>
<thead>
<tr>
<th>What?</th>
<th>Process:</th>
<th>+/-</th>
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<tbody>
<tr>
<td>Overlap in interest: the housing corporation wants to get involved in the area.</td>
<td>SITUATION</td>
<td>+</td>
</tr>
<tr>
<td>Pressure on the network since educational facility owes a deal</td>
<td>NETWORK</td>
<td>-</td>
</tr>
</tbody>
</table>

### Trust is crucial.

<table>
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<tr>
<th>What?</th>
<th>Process:</th>
<th>+/-</th>
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<tbody>
<tr>
<td>Trust is crucial.</td>
<td>NETWORK</td>
<td>!</td>
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</table>
Almost all actors interviewed about this project indicate that the economic crisis mainly affects the housing corporation in this collaboration. The housing corporation sees that the environment and context are changing and they find it necessary to reconsider the project and to look for options and possibilities, since their available financial budget and room for investments has decreased.

The actors of the municipality and the educational facility think the housing corporation has less urgency to develop at this location due to the decreasing demand in the housing market. They indicate that flexibility in the plan becomes more important for the housing corporation. Some of them even interpret the strategy of the housing corporation as one in which they want to withdraw from this development. This interpretation is partly based on an annual report that mentions several focus areas, of which this city is not one.

What? \hspace{1cm} Process: \hspace{1cm} +/-
Interpretation of strategy of housing corporation \hspace{1cm} $\bullet$ NETWORK \hspace{1cm} -

2010-2011: INFLUENCE: Urgency of the educational facility in area is high

As already became clear in the description of the second agreement, the deal between the educational facility and the housing corporation is very much related to the third contract. The essence of this relation is that the educational facility has a direct spatial interest in the area, since they are a user of the space. This causes that they need the third contract between the municipality and the housing corporation to work out well. If this does not work out well, the school will have no sport facilities for their students. In addition, the municipality gives the indication that they can only change the land use designation on the property the educational facility wants to sell to the housing corporation if they are certain that the 30% social sector housing target is compensated in the third contract.

This condition implicates difficulties in the contract negotiations of the third agreement that takes place around the same period. Although the educational facility is not directly included in the negotiations, they try to influence the contract negotiations as much as possible to make sure that progress is made. This is done by the new president of the board, who becomes involved in this project in 2009. The board member is the only actor that represents the educational facility in this project and is involved at all the levels in the partnership.

What? \hspace{1cm} Process: \hspace{1cm} +/-
New/other board member involved in this project \hspace{1cm} $\bullet$ INDIVIDUAL \hspace{1cm} +
New negotiator of the educational facility at all levels involved \hspace{1cm} $\bullet$ INDIVIDUAL \hspace{1cm} -
The third agreement of the package deal entails that the municipality will sell the land situated next to the two buildings in which the school is situated (contract one) to the housing corporation. The housing corporation would develop two (almost) similar buildings on this land that would offer room for sports facilities, apartments, a parking garage and some social functions. In November 2009, the parties did not sign the third contract. More time was needed for both the municipality and the housing corporation to further specify the initial deal into a satisfying legal contract. The main difficulties of this process of specifying the contract are the land price and the restrictions in the land use plan. This process takes place in the course of 2010 and 2011.

During this period (May 2010), the involved alderman leaves the board and another alderman takes over the project. The successor has a different way of working, and the actors in the network state that they needed time to get used to this. The former alderman indicates that the expectations for the future of the project were positive at the moment he left.

The contract negotiations take a long time and the collaboration between the parties becomes tense. The involved actors explain that it was difficult to switch between the organizational layers in the negotiation. The alderman of the municipality, the board members of the housing corporation and the educational facility negotiate on an abstract level. The directors and the project managers in each organization experienced difficulties with translating the abstract deal into specifications, and then the translation goes back again to the board members.

All the interviewed actors describe the beginning of 2011 as a moment of impasse. The involved actors perceive that a large part of the impasse was caused by the difficult collaboration. Especially between the project managers of the housing corporation and the municipality the conflict took such a shape that it appeared to be impossible to continue on the same path. One of the actors indicates this moment as one where ‘none of the parties were sitting at the table to find a solution. As a matter of fact, new interests were continuously added to the negotiation game’.

<table>
<thead>
<tr>
<th>What?</th>
<th>Process:</th>
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<tbody>
<tr>
<td>The involved alderman leaves the project</td>
<td>• INDIVIDUAL</td>
</tr>
<tr>
<td>Communication between organizational layers</td>
<td>• NETWORK</td>
</tr>
<tr>
<td>Conflict between project managers</td>
<td>• INDIVIDUAL</td>
</tr>
</tbody>
</table>
Summer 2011: The project managers have changed

In an attempt to break through the impasse, the project managers of both the housing corporation and the municipality were dismissed from this project. One of the actors indicated that this decision in the composition of the organization was made at the level of the alderman and board members, with the intention to restore the atmosphere in the collaboration: ‘It was no solution for the contradicting interests, but at least they could talk to one another again’. This resulted in a situation where there was less conflict in the collaboration of the parties, but the negotiations for the third contract were still not finalized.

**What?**

<table>
<thead>
<tr>
<th>Change of the project managers of municipality and housing corporation</th>
<th>Process: +/-</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less conflict in the network: room for good discussion</td>
<td>• INDIVIDUAL +</td>
</tr>
<tr>
<td></td>
<td>• NETWORK +</td>
</tr>
</tbody>
</table>

**End of 2011: Destination of land use plan is changed and contract 2 is extended**

It was very important for the educational facility that the conditions of the agreement were fulfilled, since the agreement (second contract) between the municipality and the housing corporation about the sale of the land was about to expire by the end of 2011. One of these restrictions is the change of the land-use designation by the municipality. To make sure that this happens before the end of the year, the board member of the school increased pressure on the municipality. The board member invited a legal advisor to the process in order to accentuate the necessity of the land use procedure, and to keep the process going. Just before the end of the year, the municipality approved changing the land-use destination (planning policy) into a residential area and the negotiations between the educational facility and the housing corporation about the extension of the contract started. The strategy of the educational facility was to clearly state the interest and goal of the negotiations: to extend the agreement. They also
identified several points where there was room for negotiations: the land acquisition and the payments could be phased in time. The solution was created on the spot and the parties agreed on the extension of the legal contract, in which the payments were phased.

<table>
<thead>
<tr>
<th>What?</th>
<th>Process:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Educational facility invites legal advisor to the collaboration</td>
<td>+/-</td>
</tr>
<tr>
<td>Effective negotiations between board members</td>
<td></td>
</tr>
</tbody>
</table>

In the course of 2012: Housing corporation raises objections against conditions of the land use plan – not granted

Even though new project managers were at the table representing the housing corporation and the municipality, it turned out that the parties still disagreed with the third contract. Even though the original development concept of the area is already changed, the interests cannot be brought closer together. The parties do not agree on the land price. Moreover, the requirement for compensation of 30% social housing is included in the land use plan that is under discussion, and is related to the land the housing corporation agreed to buy from the educational facility. Because the housing corporation felt manipulated, they started a legal procedure against the municipality to dismiss these requirements. The procedure was not granted by the court in the second half of 2012 and this means that the 30% requirement is still valid.

2012-2013: INFLUENCE: Urgency of the educational facility decreases in the area

The problem of the sport facilities kept pursuing the educational facility. Because they did not foresee that their problem would be solved in the coming period, the school started to search for other solutions. Together with the housing corporation, they figured out a spatial plan to build the sport facilities at their own location, but this plan was still uncertain at the time of this research. This spatial intervention would cause the urgency of the educational facility in the (third) contract to decrease significantly. The school would, then, not be dependent anymore on the negotiations between the two parties, because they would solve the problem themselves.
Currently: No agreement on third contract and no urgency for parties

Several actors in the network indicate that throughout the whole process, the educational facility was the party that had a high urgency in the development, and that they caused progression in the negotiations. When the urgency of the educational facility decreases, the result would probably be that none of the actors will persist on continuing the discussions of the third contract. It will remain a question whether the housing corporation will start developing dwellings on the land they bought from the education facility anytime soon.
6.2.2 The characterization of the impasse

How can the impasse between collaboration partners in urban development projects be characterized? This evaluation is based on the experiences of the actors in the network, and indicates how they understand the context and the impasse. This evaluation takes place on the level of the external influences, the project organization and the process, as proposed in the analysis framework in chapter 5.4.4.

What profile of external influences characterizes the impasse?

When the impasse is compared with the analysis framework and the defined external influences, the planning policies and systems seem to have the largest influence on this process. The land use plan and its regulations are the main source of discussion between the municipality and the housing corporation. The procedure was a reason for the educational facility to interfere in the negotiations of 2010 and 2011. The educational facility was also directly affected by the planning policies since these policies cause uncertainty on their contract with the housing corporation its effectuation. In 2011, the housing corporation feels manipulated by the municipality and their demand for compensation of social housing, which even led to a legal procedure.

The economic crisis has a moderate influence on the process. Mainly the position of the housing corporation is affected, since they cannot afford a high land price anymore and they have less room for investments. The speculations about the financial strategy of the housing corporation partly create a tense atmosphere in the collaboration.

The political influence on the impasse is rather minimal. The politics were important in 2009, when the municipality needed to resolve the situation caused by the initiative for an enterprise in the two buildings on-site. Throughout the whole process, several actors described it was impossible for the municipality to publicly let down the educational facility. This indicates that the school had some leverage in the politics, and that it was difficult for the municipality to exit this collaboration.

The attitude of the public party towards urban development (urban governance) does not influence this process. This is due to the fact that the municipality does not really change or accentuate their attitude towards the society and the market/private parties.

In the representation below, the aspects are summarized and ordered on their relevance and motivation:

| Effect of crisis mainly on the housing corporation | Causes lots of discussion between parties. |
| Mostly in the first phase of the process | Not of influence on this process |
How can the project organization in this impasse be characterized?

The legal rules and requirements is the most dominant organizational factor in the process leading towards the impasse. The discussion in the partnership is based on the package deal, signed in 2009 and the specification of this deal into several notarial acts. Since all three parties signed the initial agreement and since all the sub contracts are interrelated, the actors hold each other in a grip. The legal agreements make it difficult for the parties to really change their collaboration, both formal and informal. The actors are stuck in their own discussion, and the legal impasse appears to be causing an impasse between the actors.

The main attempt to break through the impasse is the intervention in the composition of the team and, therefore, the organizational tasks and responsibilities are relevant in the characterization of the impasse. However, this attempt did not succeed to break through the 'legal' problem.

The organization of the financial risks and revenues is not so dominant in the impasse, since it is mainly relevant in the first phase of the process, when the municipality and the educational facility need to determine a price for the two buildings. Throughout the process, the financial risks and revenues are always taken into consideration when determining what is feasible and what not, but it cannot directly be related to the impasse.

Since this impasse concerns specific real estate development plans, the spatial plans occur as well as a solution and as a problem in the impasse. On the one hand, the user of this space has direct needs, which causes urgency and complexity in the project. On the other hand, the spatial intervention currently seems to be the solution for one of the problems of the educational facility.

In the representation on the next page, the aspects are summarized and organized on their relevance and motivation:

How can the process towards the impasse be evaluated (network, situation, individual)?

Network:
Around 2009, the aspect of trust in the network was very important because the educational facility wanted something from the municipality, and they needed to trust them in order to get it. In an interview, the alderman (who was involved at that time) described that there was something that complicated this relationship: the alderman had a good relation with the president of the board of the school and they trusted each other, but when the successor of this board member got involved in the end of 2009, the relationship changed. The new board member saw that the deal was not so beneficial for the educational facility and tried to make
changes in the agreement. The alderman and the new board member had complicated their collaboration and the amount of trust, which set the tone for the rest of the collaboration.

Several interviews state that the strategy of the housing corporation is interpreted by others as a strategy in which they are trying to delay the negotiations of the third contract since 2010. The motivation mentioned for this behavior is that the housing corporation would try to prevent this development from continuing so the corporation can step out, which is partly due to the bad circumstances in the real estate market. The housing corporation never confirmed this strategy towards its partners, so this assumption is based on the interpretation of the other parties on the behavior of the housing corporation. Because the parties seemed to have a 'hidden agenda', the atmosphere in the collaboration became tense.

*Three levels of actors* were involved in the process: the project managers, the project directors and the board members/alderman. At each level, there was a different manner in which the actors collaborated and the communication between the levels often created distortion in the message. One of the actors described that the board members decided that this situation needs to be solved with ideas and vision, and they gave the assignment to the directors in order to specify this solution. Along with this solution, also boundary conditions were provided and when the directors almost figured it out and assigned the project managers to work out some details, it appeared that there were, in their opinion, still fundamental differences. At this level, the project managers tried to solve the situation by using examples that were known. Striking in this process is that the board member of the educational facility is the only involved actor on behalf of the school. Since the school has the highest urgency in the development, this actor is involved at all three levels and tries to influence the process from all sides. The input from this individual is explored in more detail in the next paragraph.

**Situation:**
The background and position of the actors were not that relevant in this project. However, there is one actor that had an *undefined role* in this process: the housing advisor. This individual was, until 2009, already involved as a project developer in the realization of the first two buildings at the location. When the housing corporation became involved, the role of the actor changed into the role of an advisor who offered consultancy to the housing corporation on this specific development and who worked closely together with the project manager of the housing corporation. From this moment on (2009/2010), the role of the advisor became unclear to the other actors in the network. This is shown in the network representation made by one actor, in which the housing advisor is excluded due to the undefined position. Another actor described the role of the housing advisor as being different from the formal situation, and this also indicated that the position of the housing advisor is unclear. Besides this unclear position, someone indicated that the message this advisor sent, was sometimes even different than the message of the project manager of housing corporation, which increased confusion.

**Individual:**
A radical *change of individuals* occurred after the project managers of the housing corporation and the municipality had been changed. This was a result of the conflict between the two project managers. The information from the interviews on the source of this conflict is very limited. The reasons for this are mainly factual, while the description of the conflict indicates that it concerns the individuals and their behavior as well, rather than just the facts they are presenting. One actor described the two project managers as individuals that enlarge problems, instead of solving them. The factual analysis of this conflict is that it became impossible for the project managers to collaborate in a constructive manner due to the fact that they have different interests. As a result, the atmosphere in the collaboration became very tense and the managers’ personal relation was put to the test. These two individuals were no longer able to generate enthusiasm and creative solutions due to the difficult relation. The intervention in the organization caused the new project managers to have a fresh start which made the negative energy in their personal relation to disappear. This created a short revival in the process, but
after a while the collaboration got into the same patterns as before the intervention: the interests in this partnership seemed irreconcilable.

The board member of the educational facility was an important actor in this process. Almost all the actors that were interviewed position this actor in the middle of the network, due to the many levels at which the individual operates. The personal style of this individual was described as business-like, strategic, transparent and a bit hard-headed, which resulted in a significant impact on the process.

6.2.3 Analysis of leadership profiles in the impasse

In this paragraph, the answer to the question which leadership profiles are represented in this impasse will be answered. At first, this is evaluated at the level of the individuals with the use of the leadership profiles of Kets de Vries. These are then assessed in the network of collective and shared leadership. The individuals are represented in the indication of the network below: the numbers/letters in the boxes correspond with the description of their leadership or relation in the paragraph below.

**The individual leaders**

The description is structured in three steps: at first, the average evaluation of other actors on the individual are mentioned, then these ratings are compared to the self-reflective evaluation. After this, some remarkable or frequently mentioned statements are presented concerning the individual.

For the project manager of the housing corporation (1) the builder profile is evaluated by the others in the process as the strongest profile. The other profiles evaluated for the project manager are very diverse; every profile is rated. The only profile that is not rated by the others is the communicator profile. This is the strongest profile, as evaluated by the project manager in the self-reflective ratings. The project did also manage to not include the builder profile in the
self-evaluation. This could be interpreted in two ways. One is that the project manager is capable of switching between the profiles, and this causes the other actors to interpret different leadership styles for this individual. Another interpretation could be that the individual is not self-aware of the behavior in the network that results in misinterpretation by the others.

The impact of the project manager of the housing corporation on the behavior of the other actors is relatively high when it concerns people within the housing corporation. Remarkably, the mutual impact on the project manager of the municipality is rather high, even though there is a conflict in their relationship (A).

The board member of the educational facility (2) was seen as a business-like leader that was characterized by strict leadership. This evaluated leadership profile indicates three strong profiles: the processor, the strategist and the transactor. These three profiles, with the exception of the processor, were also recognized by the board member in the self-evaluation as important styles in this process. The strategist profile indicates that the board member is skilled in identifying new opportunities and dealing with developments in the environment. Several actors point out that the board member has a large analytical capacity and in the actual development of the project we see that this individual contributed to the process with smart solutions, for example the solution for the sport halls in 2012/2013. Nevertheless, this person is interpreted by other actors in the network as formal and rigid, and the impact that they think to have on the behavior of this board member is moderate to low. The impact of the board member on others has been also evaluated as moderate to low. The counterpart of a strategist is that they may lack emotional intelligence, which could explain the rigid attitude. The profile of a coach can complement the profile of this board member. This way, the mutual impact can be improved and the effect of the leadership can be increased. In the network, we see that there are three actors with ‘coach’ characteristics (the former alderman, the project manager of the municipality and the project director of the housing corporation). Collaboration with these people might prove itself to be useful.

The board member of the housing corporation (3) is evaluated by the other actors in the network as a strategist, communicator and change-catalyst. These actors indicate that this board member has good communication skills and that this person has an informal style. The board member recognizes the communicator in the self-reflection, but sees the transactor and innovator as other prominent roles. The meaning of the message that the individual sends is often seen as very strategic and one actor indicates this style as a ‘strategic talker’. This style results in two things. Firstly, that the message is always viewed critically to search for the real (strategic) message behind the smooth talks. This is indicated by the actors of the municipality who perceive the impact this board member has on others as moderate and this is confirmed in the evaluation of the board member. Secondly, the impact the actors think they have on the behavior of the board member is low. This can also be related to the fact that the other actors had their own idea about the strategy of the housing corporation. This caused the interpretation to become clouded by the idea that there might be a hidden agenda behind everything that was said. The board member confirms their low to moderate impact on his behavior. The profile of change-catalyst cannot really be explained by looking at the opinions of the other actors.

The project director of the housing corporation (4) is evaluated as a builder and innovator. Based on the interviews, there is not much information about the leadership of this individual since few actors in the process elaborated on the profile of this individual. One actor indicated that the project director did a lot of work behind the scenes, and that could explain the unspoken profile of this individual. We do see that the impact of the project director on the behavior of others has been moderate to good, which indicates that this person is a ‘strong’ individual in the network.

The alderman of the municipality (5) who was working until the May 2010, was evaluated by the other actors in the network as a real innovator. From the explanations of the other actors, persistence and enthusiasm is crucial when choosing the innovator. This characteristic can also...
be found in the builder. The alderman refers to the profiles of the builder, communicator and strategist in the *self-evaluation*. In the course of the process we cannot confirm or reject this profile due to the abstract level at which the process before 2010 is described, since the focus is mainly on the process in 2011. This alderman indicates that the mutual impact in the relationships in the network is always relatively low and most of the time this is confirmed by the other actor in the relation. The mutual impact in the relationship between the municipal program manager and the alderman is an exception because it is indicated as high. The successor of this alderman had a different style, and several actors indicated that they needed some time to adjust to this 'new style' of leadership. One of the actors described the change of leadership, and stated that the new alderman has less influence on the content of the development and on the way in which the problems were solved. The alderman was mainly interested in solving problems in a politically diplomatic manner.

The *program manager of the municipality (6)* was evaluated by the other actors as a processor, transactor and strategist. The strategist and transactor are acknowledged by the program manager in the *self-reflective* assessment, the processor, however, was not. The program manager claims he is aware of the importance of influencing other people in the collaboration, and tries to do this by taking on different profiles that fits the person on the other side of the table. This shows that the actors think they are able to have impact on the behavior of the program manager but this cannot be verified in the impact ratings. However, the program manager thinks he has a big impact on the program manager, but this is not confirmed by the program manager himself.  

The *relation (B)* the municipal program manager with the project manager of the housing corporation shows a remarkable impact rating. Both individuals claimed to have no impact on the behavior of one another. This is not further explained by either of these individuals. Another actor in the network did notice tension between the two, which could indicate a conflict.  

The *project manager of the municipality (7)* was convincingly evaluated as a builder. This is also the most prominent role in the *self-reflective* evaluation. To a lesser extent, the profiles of communicator and coach are also assessed by other actors in the network. Remarkable is that the project manager of the municipality in this project appears to have no to little impact on the behavior of the people working 'above' him: the alderman, the program manager and the board member of the educational facility. The project manager claimed to have 'quite a lot' of impact on the latter, so this contradicts to their indication. Both project managers (of the municipality and the housing corporation) are builders. A characteristic of a builder is to be determined in realizing a dream. Another characteristic of builders is that they have a controlling attitude, which can result in dysfunctional organizations. This characteristic could point towards the source of the conflict between these two project managers (*relation A*): they both try to create a good project, but they tend to do this by themselves. It is hard for builders look at the project from a different perspective and to think in a more abstract manner. This could create a stubborn attitude. Both project managers claim to have a significant impact on each other. This indicates that it is not a conflict in which they ignore each other. There is no data in the interviews about this conflict, so it is not explained by actors within the network.  

**Leadership in the network**  
The following scheme is the result of putting all these individual leaders in the network along with their leadership profiles together. The prominent profiles of actors are determined by using the weighted average method in the network (which includes the amount of relations of an actor and its most prominent rated profiles. For more information see chapter 5.4.3 WPN). The strength of the relation between the actors is based on the average of the impact rating. When the line is light-grey there are no impact ratings of this relation.
The profile of the builder is represented as being the strongest in the network, both for the public and private parties. A difference between the public and private actors is that the strategists are mostly found at the private side, and not so much at the public side. The speculation of each other's strategy in this project could be a cause for this difference.

In this network, there are four profiles that are less represented: the communicator, the coach, the transactor and the catalyst. The first two profiles absent in this network indicate that there is not much attention given to the team and the relations between the actors. The communicator role might be less important in this development since the political profile is moderate. That the transactor profile is not much represented is very remarkable, since the project is very legal-oriented and is about signing a deal. This would indicate that the characteristics of a transactor would be relevant. One can see that several actors have some characteristics of transactor, but they are not prominent.

In the network, it is remarkable that the alderman of the municipality is perceived to be an innovator. The counterpart of the innovator is that they tend to be narrow-minded and introvert, and that their social communicative side might be less developed. Regarding the position of the alderman, one might expect that an abstract style of leadership might be more appropriate due to the different projects in which the municipality is involved. Communication is much needed when the alderman needs to convince the municipal council, so this should not be a weak side.

There are almost no duos; only the program manager of the municipality and the alderman evaluated having a high impact on each other. The advisor and the project manager of the housing corporation also have a high impact on each other. Throughout the whole network, the impact in the relation is moderate to low, which indicates that the collaboration throughout the whole network might not be so good.

One could even ask the question of when the character of the project became very legal and focused on planning policies and contracts, if there was such thing as a collaboration or partnership, or whether this collaboration just became a legal agreement. One could even wonder whether it is desirable to proceed the development in the partnership with this atmosphere, even when the parties might achieve consensus to sign the third contract.
6.2.4 The breakthrough of the impasse

The main question answered in this paragraph is: What contributed to the break through the impasse? First, the type of impasse is explained, and after this, the aspects that contributed to the breakthrough and the appreciation of the breakthrough.

Characterization of the impasse

All the interviewed actors (both public and private) experienced an impasse in the process in the first six months of 2011. The actors described various reasons for the impasse, there is no unanimous reason. A lot of the reasons refer to the initial package deal in which the setup was made for an innovative and all-including solution for the development of the area. This deal is not yet specified in detail and therefore still contains some undefined aspects. However, the moment the parties signed the package deal in July 2009, they agreed to define these aspects. Because the subcontracts are so interrelated, there seems to be no exit option from this process. Since the beginning of 2009, there are instances of imbalance risks for the parties, dependency on land use procedures and lack of trust between individuals. When the context of this project changed due to the economic crisis, the interests of some parties also changed. Due to the static and interrelated character of the initial agreement, it is very hard to add these ‘new’ interests to the existing agreement of 2009. Based on the analysis of the information, the impasse can be defined as a legal impasse. There was almost no transparent communication about the underlying interests, which caused speculation on each other’s strategy. This added a layer of difficult collaboration between the actors, which caused an impasse on a personal level. This personal impasse is an effect of the legal impasse. Due to the tense atmosphere, this impasse was also the most important one.

Attempts to break through the impasse

The main attempt of breaking through the impasse was during the summer of 2011. This attempt was characterized by the recompositioning of the team. Although the majority of the actors did not believe this intervention to be the solution for the difference of interest, they did think that a better atmosphere in the network could result in an environment in which they would be able to sort things out. With the new composition of the team they were able to break through the personal impasse, but the legal impasse remained unsolved. There were no noticeable attempts to break through this legal impasse.

This concludes in a situation where several actors recognize that the impasse is not solved. The real problems were of a legal nature and the interests of the parties seemed incompatible. Since this discussion had been going on since 2009 without much progress, one would expect the collaboration to slowly come to a halt. Up to now, the educational facility had always been stimulating the other parties to make progress, but when the school solves their problem in another way, their level of urgency to develop in this area will also decrease.

Appreciation of the process

The data retrieved from the interviews is unable to deliver a complete picture of the actors’ appreciation of the process. There are clearly positive moments in this process, but the fact that the real problems are not completely solved, causes an ambiguous evaluation.

Forecast of the future

Actors in the network were asked to indicate what they perceive as important factors for urban area development in the uncertain future and the accompanying leadership. Below, three main topics are discussed.

Transparency and trust

According to the municipal alderman, we need ‘negotiators who are able to approach the other with openness and trust’. The themes of trust, empathy, communication, transparency, respect and sharing interests occur very often in the opinions of the actors. When we consider the difficulties of the process in this case, it is perhaps logical that, since transparency and trust were
lacking in the development, it is desired. In the current situation, in which there is no money to solve the problems with, the actors need to solve it by communicating (with each other).

Rise above interest
It is important that leaders are able to give and take in projects like these. This means that they should be able to rise above their individual interests, without losing track of the long-term goals. The former alderman in the partnership indicated what the urban development practice needs: ‘leaders that dare to be creative, without losing themselves in their ideals’.

Realistic deals
Several actors emphasized the importance of making realistic deals: agreements in which you do not force the other into risks they do not want to take, and in which the deals are negotiated in detail. The viewpoint of the actors in this project is understandable, since their original deal appeared to be unrealistic. The question is whether this is caused by the original (unrealistic) agreement, or by the actors’ viewpoints that had changed during the process. Their expectations of the revenues are subject to changing market conditions and political forces.

6.2.5 Conclusions of the case
Throughout this elaborate case description, it became clear that, up until now, the breakthrough of the impasse in this urban development project had not occurred. The inability to make progression in the project was caused by a combination of reasons. To summarize this intensive research, several conclusions of the case can be made:

Conclusions of the process of the case:
- It is a discussion of legal arrangements, based on a package deal signed in 2009. The deal is complex in its setup and very intertwined with other contracts. Therefore, it is not flexible to changes that are needed in 2013.
- The communication of the interests of all three parties is not really transparent and this causes speculation on the ‘agenda’ of the other actors which sometimes even results in distrust.

Conclusions of leadership in the case:
- It is a very formal collaboration between the parties with little shared ownership and team spirit. This might be due to a lack of convincing coaches and/or communicators in the group.
- There is little diversity of leadership in the team, especially between the people on the same level in the partnership.
- The leadership profiles of the coach, communicator and the change-catalyst are little to not represented at all in the network.
- Individuals in the network often refer to different profiles than the other actors in their self-reflection. No one indicates all three profiles, but they did recognize one or two of the profiles.
‘There is a transition occurring from the old paradigm in which leadership resided in a person or role, to a new one in which leadership is a collective process that is spread throughout networks of people.’

Petrie (2011, p. 6) Future trends in leadership development
7. CONCLUSIONS AND DISCUSSION

7.1 CONCLUSIONS
In this chapter, conclusions are drawn, based on the results and findings of this research. The first conclusion (7.1.1) is related to impasse in urban development projects. The underlying cause of the impasse appears to be a lack of decision-making. If parties do not have the courage to be transparent and to make decisions about the future of the project, it is very difficult to break through the impasse. The analytical framework contributes to the comparison and characterization of the content of the impasse. The spatial aspect should be added to the framework in order to make a complete characterization.

The second conclusion (7.1.2) refers to the theory of Kets de Vries and the eight chosen archetypes. In this section, profiles and their related leadership characteristics are discussed in relation to their relevance of breaking through impasses. The theoretical model is used as a guideline to describe if and how the different profiles showed to be contributing or working against a breakthrough in the impasse of the cases.

The third conclusion (7.1.3.) relates to the applicability of the leadership profiles to defining leadership in urban development projects. The distinction of profiles is relevant, but not entirely applicable. This implies that we need to further research and adapt the theory, in order to be able to completely define leadership in urban development projects. In general, the actors’ level of awareness about their leadership behavior in urban development projects is low. Based on these cases, it is impossible to draw conclusions on the applicability of the collective network approach in urban development projects.

7.1.1 Impasse in urban development projects

*What causes the current impasse?*

The impasse examined in the two cases are both caused by arrangements between parties that were made in the past, which do not comply anymore to the requirements of involved parties at this moment. When the arrangement was made, parties required certainty which needed to be captured in an agreement. This included fixed prices, specific real estate programs and a clear division of tasks and responsibilities between parties. The underlying expectations of these legal arrangements have changed, for example the financial resources (as a consequence of the economic crisis) and company strategy. Nowadays, the arrangement has to be more flexible and adaptive, so that it can comply with the changing demands of all parties. Actors search for agreements that offer the right to develop further, without the obligation to take risks. However, it appears to be very difficult to change these original agreements.

In theory, the expectation that the impasse was mainly caused by *not* making a decision, is not explicitly confirmed in the two cases. Parties indicate that the legal content appears to be impossible to unite with their (changed) contradicting interests and the stakes are high. Actors in the cases indicate that this situation might be simplified when they work together with transparent interests. This becomes clear in the second case: all parties rely on public money, which would suggest that they can cooperate in a transparent way. However, the parties mainly take care of their own interest and behave tactically and not transparent towards their collaboration partners. Even though parties acknowledge that the problems might be solved if all parties put their cards on the table; this endangers the position of the one who starts first. For this reason, all parties were reluctant and did not dare to really open up in a transparent way; they remained stuck in the impasse. In the first case, the actors made the decision to go for a harmonious process to prevent a legal procedure. In this case, they made the choice to figure it out together.
Overall, the cases show that it requires *all* parties to make a decision about the future of the project and this requires courage *and* collectiveness in the network. *Not* making this decision caused the parties to get stuck in a situation which resulted in an impasse. The following conclusion can be drawn: both cases confirm the theoretical hypothesis of the decision-making nature of the impasse in urban development projects.

*How can urban area development impasses be characterized?*

Based on the theory of Heurkens (2012), a framework was composed in order to analyze the impasse of the two cases and to structure the information. This framework has proven itself to be helpful in this research. It visualized the impasse and compared the content of the cases. However, the framework does not have explanatory capacity in itself since it is primarily a tool. Hence, the framework should be used in that way.

Another conclusion of the use of the analytical framework can be drawn. The spatial aspect appeared to be crucial in the second case and, therefore, it could be added to the project organization layer. The spatial characteristics concern, amongst others, aesthetic and technical considerations, architecture, quality for users and required square meters. This spatial aspect is not indicated in the first case, since the impasse concerned the renegotiation of financial and organizational arrangements in the early stages of the planning phase. The second and third case (the third case is shortly described in chapter 5.3) refer to a smaller area which is already specified in a spatial and architectural plan. The impasses in these cases are related to the technical content and spatial plans and they are partly even causing the impasse to occur. Consequently, when the project organization of an impasse is studied, also the arrangements concerning the technical content and spatial quality need to be included to make a complete characterization of the impasse. This spatial aspect is interrelated with the legal, financial and organizational aspects of the project.

7.1.2  **Leadership profiles in the impasse**

Based on the theory of Kets De Vries (2007), Rosing et al. (2011), Keskin (2006) and Buitelaar et al. (2007) the following answer was given to the main question *how can leadership contribute to breaking through impasse in an urban area development project?*

The change-catalyst, communicator and strategist profiles are essential for breaking through impasses that occur in the context of urban development projects. The profiles of processor and coach are needed as complementary leadership profiles within the network.

The two cases that are examined in this research illustrate that the theoretical proposition cannot be confirmed completely, due to the following aspects:

- The change-catalyst was absent in both cases.
- The communicator profile is important when breaking through an impasse, mainly when it involves political support and decision-making.
- The strategist profile is extremely relevant in both cases. However, this is perceived in an ambiguous way. It is seen as both contributing and diminishing when breaking through an impasse.
- The coach profile is related to leadership within an organization, and is, therefore, not present in the partnerships.
- The processor profile is often combined with the builder, and these are typically the profiles that were used to describe project managers in the network. Both profiles are often represented. The static behavior of the processor profile tends to slow down the process of breaking through the impasse.

In the next section, the conclusions of the presence of the profiles are drawn in more detail.
**Change-Catalyst**

In the theory of Kets de Vries, the *change-catalyst* profile is the driving force behind change and the ability to deal with chaos and difficult decisions. In theory, this profile should be important in order to break through an impasse *and* to make progression. In the research into theory, institutional change and learning orientation are implied to be indicators of progression. The empirical research shows that the profile of the change-catalyst is not represented in any of the cases. Even in the case in which a breakthrough was reached, the change-catalyst profile was not present.

This could suggest – based on these two cases - the leadership qualities associated with the change-catalyst profile of Kets De Vries are not necessary in order to break through an impasse in urban development projects. However, an observation was made in both cases. The activity patterns and ways of working in neither of the cases really changed during the periods of examination. In the case in which a breakthrough was reached, a new agreement has been made in which the same type of arrangements (namely: land prices and program) were included as in the old contract of 2005. One could say that the power of the actors to innovate was quite limited.

Theoretically, a change-catalyst could contribute to breaking through an impasse in a more innovative way, which would implicate change in the collaboration and the agreement between the involved parties. This, however, was not confirmed in the cases.

**Communicator**

In the theoretical model of this research, the *communicator* profile was seen as important in breaking through an impasse in the context of urban development projects. Based on the two case studies, this hypothesis can be confirmed. In the first case, the communicator profile (acted out by the municipal alderman) played a crucial role in breaking through the impasse. This relates well to the political character of the impasse, in which the decision to terminate the original contract of 2005 needed to be consulted with the municipal council. In the second case, the communicator profile played a crucial role as well, but, this time, in a negative sense. The actors in the process did not succeed to align their interests, and remained stuck in the old agreements. This can be explained by a lack of transparency and poor communication.

**Strategist**

The *strategist* is significantly present in both cases. The strategist profile is often evaluated in this research as the second or third profile to match with an individual. It is not perceived as the most dominant profile. The description of the strategist leading like a game of chess is acknowledged by many actors in the cases, sometimes in a negative way. In the second case, the amount of strategists is high. This can be related to strategic and defensive behavior of actors in which they try to take care of their own interests instead of the public interest. From this viewpoint, a strategist does not contribute to breaking through the impasse. However, strategists are also indicated as valuable, as is seen in the first case, in which the strategic negotiator enables a breakthrough of the impasse. The characteristics of thinking outside the box, working on an abstract level and dealing with changes in the environment are seen as valuable.

**Coach**

The *coach* profile is not represented in both impasses. Some actors indicated that they adopted this leadership profile within their organization, but not in the urban development project collaboration. The need for empathy and trust is accentuated in the second case, since actors in this project had a hard time trusting each other. The coach profile could have been a good combination with the strategic character of the leaders who dealt with the impasse. However, the soft skills are not represented to counterbalance the hard skills.
**Builder and processor**

In both cases, the builder is seen to be a very prominent profile. This is striking, since the theory indicates that the builder, as well as the transactor and innovator, is not specifically desirable in these situations. A person’s or duo’s builder profile is often combined with the *processor* profile and they occur on the levels of project managers and project employees. This indicates characteristics such as determination and persistence in realizing ideas, a long-term focus, a controlling attitude, effectiveness and reliability, efficiency and discipline. Although these profiles are a strong combination, both have difficulties with rising above problems and dealing with dynamic situations. In the cases, individuals associated with these profiles were often described as being static. Therefore, this combination of profiles does not contribute to breaking through the impasse in urban area development projects. The impasse is caused by legal agreements based on specific expectations about the outcome of the project. These new conditions require the builder and processor to change their static behavior.

The profiles in Kets de Vries’ theory helped to describe what happened in the cases and when and where leadership did, or did not, contribute to break through the impasse. The profiles themselves cannot directly explain why one impasse is broken through, and the other is not. The profiles enable the actors to interpret leadership in the collaboration network: they require the respondents to look beyond prejudice and to really observe the other in his or her personal role. In general, the conclusion can be drawn that the eight profiles of Kets de Vries do not perfectly match the situation in urban development projects. Some revision and critical thinking is needed.

**7.1.3 Leadership in the context of urban development projects**

*How can leadership in urban area development projects be defined?*

Based on the theory about leadership and urban area development, a definition of leadership was proposed that included two related aspects: (1) collective leadership in the network, consisting of (2) complementary leadership profiles.

In relation to the first aspect (1), the case study shows that participants in the research perceive leadership in a network approach as accurate. These participants acknowledged the importance of shared and collective leadership in inter-organizational partnerships. They confirm that several executives (board members, aldermen, directors) from different organizations are involved in the process and there is not one authority in this collaboration. Nevertheless, we noticed that hierarchy and position in the organization are also relevant as was shown in the impact ratings. In the second case the board members and/or directors expressed that they had a high impact on ‘their’ project managers, because they are their ‘bosses’. This is often confirmed in the evaluation of the project managers. The impact of the project manager on his or her superiors was often evaluated by the board members as being lower than the project managers indicated themselves. Even though the project managers often have more knowledge of the details of the project, this is not always taken into consideration by their executives. In the first case, we see ignorant behavior of the actors in the network towards the project manager of the municipal development company. This individual appeared to have less impact on the other actors in the network, than indicated. This might relate to the conflict between this individual and a director in the private party.

The data of this research is contradictory and, therefore, it is hard to confirm or reject the network approach in leadership. The research method chosen for this research is not focused on proving the network definition of leadership, but on indicating leadership in impasse situations. In a wider perspective, we do see the tendency towards a more network oriented approach in leadership theories and development. Petrie (2011) mentioned the focus on collective leadership as one of the future trends in leadership development. Kilburg and M.D. Donohue (2011) confirm that leadership can be expressed by all members of a system, and that leadership
is dependent on personality of the individuals, the composition of stakeholders and the circumstances and timeframe (situation). They also define leadership as an emergent process that arises from the interaction between situation and human relations, through which structure, strategy and process are co-created.

In response to the second aspect (2) of the definition, the profiles distinguished by Kets de Vries are perceived by the participants of this research as being complete. However, what is striking is that the self-consciousness of leadership in these two urban area development projects is very limited. This can be derived from the fact that only one out of 16 participants indicated the same top three profiles as the average evaluation of the other actors. Overall, in the two cases, the board members and directors showed the ability to evaluate their own leadership profiles better than the managers who worked at a lower level within the partnership (the project managers). This indicates that they seemed to be more conscious about how their leadership behavior and their intended behavior coincided with the behavior that is perceived by the others.

The data retrieved from the interviews shows that it is difficult for project managers to define their own behavior in terms of leadership profiles. This might be related to two reasons. First, they are not really perceived as leaders in the network by themselves and other actors. This reason is seen in the self-reflection of project managers. The other actors assign this reason as a motive for the difficult evaluation as well. Secondly, in the eight leadership profiles used in this research, there is no profile that fits an expert of content and details. Currently, the builder or processor profile is assigned to these experts, but often the following characterization of these experts is made: they are persistent, focused on details, and they are strongly focused on realizing goals. Another characteristic of these experts is that they find it difficult to look beyond their own interests and to adapt to changes in the environment in a flexible manner.

Only one individual rated the processor profile in the self-reflective evaluation. This could indicate that people in an urban area development do not recognize themselves in the description of the processor profile. Since the theory of Kets de Vries points out that this profile is essential for working in teams, this is a striking result. The question remains whether this result is caused by the way the profiles are described, or by the character of the actors involved in urban development projects. The empirical information collected in this research cannot answer this question.

7.2 DISCUSSION
The conclusions of this research provided an answer to the questions, based on a combination of theory and practice. In this paragraph, the research is placed in a broader perspective. We reflect on the research method: the initial problem statement and the opportunities and limitations of the method (7.2.1). Even though the research only included two cases, the research provided insight to leaders and experts in urban area development, which responds to the initial goal of this research. The data collection in the urban development projects will also be discussed (7.2.2), since it was dominated by strict confidentiality requirements and hesitant actors. After this, we reflect on the concept of leadership in partnerships and the purpose of performing research into this topic (7.2.3). Even though the human factor adds a layer to the complex situation, ignoring it, is also not a solution.

7.2.1 The research method
In the problem analysis of this research, it became clear that leadership is relevant and interwoven throughout the course of a project, in a complex and relational way. The focus of this research lies on the border between psychology and urban area development, and it appears to be an area of expertise that is underdeveloped. This research attempts to provide more insight in the role of leadership in urban development projects and how certain leadership qualities might be more consciously in order to give projects that have recently reached an impasse a boost.
By using the leadership profile definitions of Kets de Vries, leadership in the empirical object, the impasse, has been examined. The profile definitions are based on recent theory, but this is just one of several other possible ways to frame this research object. It is also possible to examine leadership in terms of styles or competences, but in this research profiles that refer to a combination of characteristics have been chosen. The research method, in which the respondents were asked to define their leadership in terms of profiles, offered chances and also brought along limitations. The research method offered the possibility to indicate leadership in accordance to the adopted network definition of leadership: What is leadership between people within the collaboration? With this method, the option of observing leadership between people was excluded. The choice for this method decreased the level of objectiveness in the research; it did, however, enable individuals to reconsider their personal input in the process and their influence on one another. Another limitation resulting from the choice of focusing on leadership profiles is that the network definition is used as an assumption instead of a research topic.

The archetype descriptions by Manfred Kets de Vries were used to make an overview of the profiles for the interview respondents. They are translated into Dutch and summarized in bullet points. During the interviews, it sometimes became clear that some of the descriptions appealed less to the reader than others, and this influenced their decisions when they evaluated themselves and others. It might even be so that the position of the profile on the paper influenced its prominence to the reader. However, within this research the same overview was used for all the interviews, therefore, the bias this may have caused is equal between all the respondents. The influence of the profiles’ description and position on the choice of the respondent might be avoided by presenting the eight leadership profiles onto different cards. Thereby, the configuration of the profiles can be changed by the respondent.

The findings of this research are based on two cases, which make it hard to draw general conclusions about leadership that contributes to urban development projects in the situation of an impasse. The profiled human behavior is comparable, but the differences between the content of the projects in which the leadership is examined is a complicating factor. The content the project is concerned with is always unique, since it is related to a specific location and a spatial strategy. The case study method made it possible to carry out an in-depth analysis and to include lots of variables; such as the unique content of the project. Another consequence of choosing the case study method is that it is possible to include unforeseen interesting aspects into the research. The respondents are invited to talk about their experiences and ideas during the interviews and sometimes this lead to interesting lines of thought for further research.

For example, the position of the alderman in the project is often mentioned during the interviews. The topics that were discussed are the alderman’s detachment from the project, their lack of knowledge of urban development, their prominent political agenda and personal interests in politics. Even though these characteristics can be seen as negative conditions for an alderman to be closely involved in the project, they do often take a very directive role in the development. The effects can turn out positive (as is seen in the first case in this research) or negative. It is interesting to study public leadership, specifically the leadership of an alderman, within this collaboration network with private partners. Is the alderman’s role to facilitate the public decision-making process and to leave the content of the plans to the urban area development professionals? Or is the alderman the front (wo)man of the project who should lead the planning process and the negotiations with the private party?

The goal of this research was not to create a general theory, but to find out how leadership in urban area development can be understood. Even though a generalization cannot be made based on these two cases, this research does provide insight about leadership for the readers, the leaders and the experts. More awareness of personal and network leadership can result in growing understanding of processes in the network and multiple relations between persons. With this knowledge, the possibility to be more effective and decisive in the collaboration grows...
since actors can increase their influence on each other. In the end, this might result in a higher efficiency in the collaboration.

This research offers insights in the processes in the network; however, it does not provide ready-to-use knowledge or tools to increase the effectiveness of leadership on the short term. This research specifies several directions for further research on leadership in urban development projects, such as shared leadership, self-awareness and network dynamics. In the recommendations (chapter eight) these directions are discussed in more detail.

### 7.2.2 Urban development projects

Overall, urban development projects were rather closed. One case that was considered to be used in this research was withdrawn due to confidentiality reasons. In another case, not enough actors were willing to cooperate with this research. For the latter case, already four interviews were done, and when it became clear that was the maximum, the case was excluded from the research.

The people that were prepared to give an interview were very open about the process and to questions regarding leadership. Lots of personal aspects were added to the conversation. However, 50 to 70% of the respondents tried to edit the interview summaries after the conversation; especially personal details were deleted. The interviewees said this was because they were afraid of damaging the relationship between the parties. The combination of these characteristics of urban development projects complicated the data collection of this research. It required the cases to be approached anonymously. The hesitant and defensive behavior of the actors made it difficult to work on a tight schedule with high efficiency. Working with standardized and anonymous surveys could be a solution for this problem.

### 7.2.3 Leadership

The change-catalyst was absent in both cases, as was stated in the conclusion of this research. This absence is striking, since the theoretical model suggested that the change-catalyst would be an important leadership profile when a project is confronted with an impasse. Reflecting on this finding, one could ask themselves the question if leadership characteristics of the change-catalyst were not there, or whether we did not find them.

The examination of more literature, points out that it is difficult to find the catalyst of change in urban development projects. This is due to the process of change, which only starts when several requirements are met (Kets De Vries, 2003, p. 170). One of these requirements is confrontation and this point of confrontation is often only recognized in retrospect. Therefore, the catalyst who started the process of change, is often not acknowledged as such at the time the catalyzing occurred. This might explain the reason why respondents which are interviewed, do not interpret the leadership profile of the change-catalyst, simply because they do not recognize this (yet).

Besides this, the change-catalyst profile includes several leadership characteristics that might be interpreted as not only fun: change is often perceived as frightening, and the instigator of this might be interpreted as a threat. An example of a change-catalyst we see nowadays in the European context, is the president of the Euro Group; Jeroen Dijsselbloem. The private financial sector is not pleased with the drastic decision that the Euro Group has made and the clear vision that is communicated by Dijsselbloem. However, in 10 years, it might be acknowledged in retrospect, that Dijsselbloem’s courage to promote change is seen as a crucial step towards a new financial system.

Reflecting on this research and looking into the conclusions, it should be noted that leadership is extremely hard to define and measure, especially in a partnership. It is interrelated with other variables, within and outside the organization, and it is difficult to assess the added value of leadership and the amount of effect it can have on progression.
The cases that are examined in this research, demonstrate that the contextual developments have a considerable influence on the process of an urban development partnership. The collaboration between parties in urban development projects is concerned with large amounts of money and risk, and, therefore, it also requires other aspects than leadership to make plans and to realize them. It requires sufficient available resources from the participating parties and incorporation of the project in their organizational strategy. It is simpler to focus on the financial and legal position of parties and to approach a whole organization and their leadership. However, the exclusion of the human factor of leadership in the partnership is not the solution. The quality of ‘human’ leadership has considerable impact on the organization, and even though leadership adds another layer of complexity to the equation, it cannot be ignored (Kets de Vries, 2009, p. 212). In the article of Armistead et al. (2007), the approach to leadership in partnerships is described in all its complexity. This creates a notion that leadership is something beyond conscious processes that can be researched. In the box below this approach of Armistead is described in more detail.

“The complexity theory has also been applied to the theory of leadership (e.g. Gleick, 1987; Wheatley, 1994). This theory, drawing from the ‘new’ science of chaos, takes us further towards an understanding of the particular aspects of leadership as applied to partnerships. It emphasizes the dynamics of social networks, interdependence and self-organization. Thus, this theory acknowledges that central control, authority and homogeneity are not sufficient to describe the complex, often invisible forms of leadership found in complex partnerships. Rather it focuses on those aspects of leadership not vested in one individual or even one organization (organism) and unrelated to conscious structure and process as a result of human agency effects” (Armistead, Pettigrew, & Aves, 2007, p. 215)

When searching for the most effective organization and leadership, it might be wise to avoid a partnership between different organizations: it only increases the complexity. However, in the situation of an urban development project, it is not a choice to collaborate with other parties, it is a necessity. The interdependency of organizations and the network structure cannot be ignored, even though hierarchical autonomous organizations can achieve more efficient leadership structures. This means that we need to find a way to work with leadership in this context of complex multi-organizational collaborations. We need to involve network leadership in our future strategy, not only to minimize the loss of efficiency and effectiveness, also to search for the innovation potential which is present in the collaboration. Like Brookes (2011) states; through the collaboration of multiple parties ‘infinite levels of intelligence can be processed’.
8. RECOMMENDATIONS

In this chapter, several recommendations are made, based on the results and experiences of the research. The first recommendation (8.1) has to do with a revised method of leading an urban development project in practice: using the positive effects of better communication in the teams, increasing the level of awareness in general and using the power of a change catalyst in order to break through an impasse. The second recommendation (8.2) relates back to the original theory of the eight archetypes. A new set of profiles is described which is more attuned to the context of urban development projects. The third recommendation (8.3) is to start further research into leadership in urban area development in three directions; public leadership, network leadership and characteristics of individual leaders. Hopefully this research will inspire others to further research and improve the effectiveness of leadership in urban development projects.

8.1 Towards a new urban area development practice

If board members and directors focus on listening more consciously to their project managers, they might become more effective. Ancona, T.W. Malone, W.J. Orlikowski, and P.M. Senge (2007) described in their article that a leader is by definition incomplete, and, therefore, one needs to work with others to build on their strengths and to offset their limitations. Also Kets de Vries (2009) acknowledged that organizations should be structured horizontal and employees need to be empowered by their executives. When perceiving shared leadership in the practice of urban development project organization, the project managers are the ones who can identify options and chances, based on their detailed knowledge. The executives can empower the inventiveness of the project manager by giving them more responsibility and by improving the relation with their project managers (emotional intelligence). Project managers could focus on communicating their message more effectively and not so much on the details in the project. Leadership characteristics that project managers could improve are influencing others, increasing their impact on the stakeholders and increasing their conceptual thinking capacity.

The level of self-consciousness in urban area development projects could be increased. With more self-knowledge and reflection on the impact of one’s behavior, someone can increase their effectiveness and impact in the network. Thereby, the collective decisiveness can increase.

A catalyst of change contributes to a progression within the breakthrough of an impasse in urban area development projects. The catalyst is capable of making difficult decisions in chaotic situations and in restructuring organizations. This indicates that urban development project organization ought to attract leaders with these qualities in order to increase the diversity in the collaboration and to include drivers for effective and successful change. During a moment of impasse, it is very difficult to start the conversation about collaboration and leadership, since the atmosphere might be tense. The catalyst could be the one to step out of the comfort zone and to start this intervention. The following box shows some practical guidelines:

**Indications of an impasse in urban development projects:**
Old arrangements appear to be a burden instead of a benefit,
The parties cannot decide together how to change the agreement,
The interests of the parties appear to be irreconcilable,
The atmosphere in the collaboration becomes tense.

**How to prepare a leadership intervention in the process when the partnership faces an impasse?**
Create trust in the network,
Explicitly indicate leadership characteristics of the actors in the network,
Make sure that there is enough diversity in leadership characteristics so that all profiles are represented,
Ensure transparency.
8.2 Towards a theory about leadership in urban area development

In reaction to the conclusion that the leadership profiles of Kets de Vries do not perfectly match the situation of urban area development, I would like to recommend adjusting the leadership profiles in this context.

First, I suggest adding three core values which are important for all the leaders who work in urban development projects to the profiles. As was shown in the first case, professional knowledge on urban area development is crucial. A lack of knowledge by one of the actors in the network can cause disruptions in the process. Transparency is important, since nontransparent behavior can result in speculation and in the end even conflict, as was shown in the second case. The third core value for individuals involved in urban development projects is to be able to deal with uncertainty and dynamic situations. It is in the nature of the business that assignments and circumstances change and long-term guarantees are unrealistic.

Secondly, I would like to change the profiles. In the theoretical model of this research, five profiles of Kets de Vries were proposed as profiles which contribute to breaking through an impasse. Throughout this research, we concluded that the five profiles in the proposition (change-catalyst, communicator, strategist, processor and coach) could not be completely confirmed in the cases. With the following alterations, the five profiles could match the situation of urban development projects better. The changes are the result from what appeared to lack in the profile description of Kets de Vries, important leadership features which were forecasted by respondents and personal insights. In the image below, five profiles are introduced with their leadership characteristics: politician, connector, catalyst, entrepreneur and architect.

- The politician can be seen as an extension of the communicator profile. Since this communicator profile mainly showed to be important in creating public support and awareness, this characteristic is added to the politician profile. Also, the characteristic to communicate the vision matches the politician, while they often do not determine the vision themselves. A typical actor in this profile is the alderman.
- The connector is a modification of the coach profile, which fits the context of a partnership. Even though the importance of the coach profile was not confirmed in the cases, the characteristics of empathy and EQ showed to be very important in the respondents’ requirements to future leadership. Therefore, the connectors’ leadership characteristics are mainly concerned with creating trust and empathy in the network, and not so much on coaching employees within the organization.
• The *change-catalyst* is almost the same as the profile of Kets de Vries. Even though these leadership characteristics were not seen in the cases, in the conclusion and discussion it became clear that a catalyst for change is needed in projects, especially when they need to encounter impasse. Therefore, the characteristic of driving change and innovation is added to this profile.

• The *entrepreneur* is an extension of the strategist profile. In this profile, conceptual capacity and commercial focus on market opportunities are included. The transactor characteristic of closing a deal was also perceived as important in the interviews, and, therefore, this characteristic is included in the entrepreneur profile.

• The *architect* profile is constituted in response to the processor profile, which was often combined with builder characteristics in the cases. In the conclusions (7.1.3), it was shown that there was no sufficient profile to match the characteristics of a project manager. The architect profile matches the typical characteristics of a project manager: detailed, persistent and focused on realizing goals. This profile includes characteristics of both the builder and the processor profile.

In this configuration of leadership characteristics, it is important that each leadership profile is represented in the collaboration network. Several profiles can sometimes coincide within one individual and some profiles are complementary to each other. The alterations to the eight profiles of Kets de Vries are recommendations, based on this study. These changes are developed by translating the conclusions into a new concept and partly by intuition. More research, both intensive and extensive, is required in order to validate and further develop the concept of these five profiles. This research has been a first step.

### 8.3 For further research

Future research into leadership in urban area development can be divided into three pieces; public leadership and the position of the alderman, network leadership existing in the multiple relations between leaders and the characteristics of individual leaders.

The first direction is research into one position in the network (see schematic representation on the right): *public leadership* in the context of inter-organizational partnerships. In the discussion (chapter seven) of this research, leadership by the public organization and the position of the alderman in the project was shortly introduced as an interesting line of thought. Research on public leadership can result in applicable findings for the practice of urban area development, and for other municipal activities as well, since the state is involved in many partnerships with private and/or public parties. Therefore, it is relevant to develop knowledge about the position of public leaders in partnership situations.

The second direction of future research is *leadership characteristics in urban development projects*. In order to comprehend leadership in the context of urban area development, I would recommend starting more research concerning the following goal: to recognize leadership characteristics in urban development projects by spreading surveys amongst a large group of leaders, which can be filled in anonymously (see schematic representation on the right).

By using a survey, problems with project confidentiality can be avoided. Based on the Leadership Archetype Questionnaire of Kets De Vries et al. (2010), a survey can be composed that will provide the opportunity to recognize patterns of leadership characteristics. It should be filled in by a large number of leaders in various urban development projects, so that the sample of profiled human behavior becomes larger, on which conclusions can be drawn. By using this survey method, the human behavior can be researched without
including the project content in the analysis. In this setup, the leadership behavior of individuals can also be studied in a more objective way, with less interpretation by other actors. With the findings of this research, it will be possible to see whether the leadership characteristics, which are defined in the five profiles above, are actually relevant in the context of urban area development. With this information, the five profiles can be validated and developed in a considerate way.

The information, which is gathered through the surveys, could provide validated foundations and guidelines for future in-depth research with the use of interview evaluations, observations and assessments: evaluating the actors on their leadership characteristics in a project through in-depth interviews, observing the actors on their leadership characteristics in meetings and negotiations in a project and performing psychological assessment into the personal characteristics. These three steps require an open and less confidential attitude of urban development projects and real estate in general. Hopefully, the character will become more open for public reflection over time, so, in the future, leadership can be researched better.

The third direction for future research is the most complex one, with less applicable results on the short term: more research into the network leadership in urban area development. As is indicated in this research, leadership in the multiple relations in the network is very complex and almost beyond what we can understand and predict. In my opinion, this is the direction in leadership theory that will become most relevant in the future. This line of research is not only relevant for urban area development. Since more and more businesses start to collaborate together to improve their products, it will also become relevant for a wider scope of projects. The leadership challenge will be to lead in collaboration networks, beyond the interest of one organization. Since urban area development projects exemplify the complexities of leadership in collaboration networks, why not start here with pioneering research into network leadership?

Therefore, it is recommendable to research leadership as a collective and shared process in the network. This could be done by examining the relations between actors more in-depth in order to gain knowledge on how to increase the impact and effectiveness of leaders in the network (see schematic representation on the right). This can be research by using network analysis methods which indicate the strength of relations between individuals: it measures the amount and intensity of communication (through telephone, email meetings and other moment of contact). By using in-depth interviews, also the impact between individuals can be determined. This research will be very intensive and requires openness of an organization. One could think of a long-term confidential involvement of a researcher in an urban development project with periodical evaluation and interview moments.

This research offers the first step for the improvement of leadership in urban area development, especially in times when leaders have to deal with impasse. With the use of intensive research into these two cases, the direction for future research into leadership has gotten more explicit and challenging.
“Time flows on, never comes back”

9. REFLECTION

I have worked over a year on this graduation thesis. What started as an idea to research process management in public-private partnerships ended in an extensive and complex research on leadership in urban development projects. Overall, this year has been great. It was challenging, dynamic and refreshing. My graduation company AT Osborne contributed to this experience with a huge amount of knowledge, practical examples and a very nice working atmosphere.

In this chapter, I would like to reflect on obstacles and experiences of the past year. First, (9.1) I will review the interviews and what I encountered in the conversations with leaders in urban development projects. In paragraph 9.2, I will elaborate on the difficulties with translating information of the case study from Dutch into English and the transition between varying tasks. In the last paragraph (9.3), I will reflect on how I dealt with criticism and input, and I will conclude with a reflection on the learning goals I set almost 12 months ago.

9.1 Interviewing leaders

Simply stated, this research is about leaders in an urban development project that are asked to tell me something about their leadership and the leadership of others. This reveals that the research is dependent on two factors: are the actors willing to make time to see me? And if so, are they prepared to talk?

The first factor, to approach and convince leaders to participate in my study, was my biggest concern when I started. This concern was partly confirmed as I did not find enough participants for the third case. It appeared to be an accessible project, but it turned out that especially the higher level executives were not prepared to have a conversation with me about their leadership. Due to time limitations at the end of this research, it was not possible to persuade them. This was a disappointment, since I already prepared the case and did four interviews. This took me about two weeks, which affected the planning of the research. The other two cases turned out better than expected and almost all the actors were willing to participate in the research.

When the leaders were prepared to talk to me (second factor) and we were doing the interview, they were (in general) nice, open and cooperative. They started to think about their personal leadership and the leadership of others in response to my questions. This was a very interesting process to witness, since the respondents got new insights about themselves during the interview. I think they sometimes got caught up in the moment and that they intended to be more reserved about the information they wanted to give. This could also explain why they often tried to change or delete personal details afterwards in the summary of the interview.

However, for me it was hard to execute the interviews, especially in the beginning of this research. This was caused by two things: I did not have much experience with interview technique and it was difficult to ask critical questions. Within AT Osborne, several colleagues, who are leaders in urban development projects themselves, helped me to practice my interview technique, and also helped me with testing the structure of my interviews. By listening to the sound recordings, I could reflect on my own questioning technique. This beginning phase was crucial in the research process in order to make sure that I was well prepared for the ‘real’ interviews. It was hard to ask critical questions because there was a large variety of leaders that I interviewed. However, they had one thing in common: they were older and more experienced than me. It was, therefore, difficult to offer them a critical reflection on their personal leadership style; it was hard to criticize their work with my limited experience. Luckily, this was not the main objective of the research, and the respondents were prepared to answer all my questions which helped me analyze the impasses.
9.2 Translation and transition
At the beginning of this research I made the choice to write this thesis in English, since the literature on this topic and my masters both were in English. What I did not foresee was that all the interviews were in Dutch, and, therefore, every word in the case study needed to be translated into English. With this translation the liveliness of the text decreases and it sometimes caused language deficiencies in the text, so I needed to pay extra attention to my writing.

In the research process, multiple activities had to be done at the same time: preparing the interviews, writing chapters for the thesis and preparing the cases. The transition between the cases was especially difficult, since the content and the details got tangled up in my head. However, the variety of activities also made sure that I did not get bored and that I was (almost) always enthusiastic and positive about my work.

9.3 Intrinsic drive and external input
When I chose for this topic, I knew that I did not choose the easy way. Leadership development and self-reflection in urban area development are relatively unknown in the literature and in practice. However, this did not scare me off because I had a strong drive to explore this area, a fascination for leadership and I like challenges. A downside of choosing this topic is that almost every angle of the research needs to be framed, since it is impossible to do everything. Even though I intended to determine the structure of this research at an early stage, I needed to make daily decisions concerning the direction of the research and which way I wanted to go. It was not always possible to make very well-considered decisions, because the research had to continue. When I reflect on these decisions, I do not regret any of them: they are in line with each other and they represent an interesting way of examining the topic. However, due to the explorative nature of the research, the research does not directly provide an answer to the difficulties in urban development projects, to which I would have liked to contribute. Nevertheless, this research can be the start of a new line of research, so that future students in this field are able to bring this theory a step further and to develop practically applicable tools.

Besides my personal drive for this topic, I also got to know myself as a determined and self-confident person. Since I tried to follow my own fascination and intuition, I did not immediately accept suggestions or input from my mentors and other readers. I would review the source of their critics and consequently accept their suggestions or strengthen my motivation for why that aspect is not included. In addition to my mentors of the Delft Technical University and AT Osborne, I also invited several other people from different fields of expertise to give comments on my work. Besides the point that it was not always easy to receive and listen to critique on my work, the critics helped me to push the limits and to strengthen my reasoning.

My personal learning goal was to gain experience of how to perform research. And indeed I did experience the ups and downs of doing research. Characteristics of discipline, independency and persistency have shown themselves to be very important, maybe even crucial: the discipline to stick to my planning, the independency to stay close to myself and my fascination and persistency to convince people to participate in the study. With this research, I hope to have shown these characteristics to my readers, embodied in a report in which I put my heart and soul.
10. LITERATURE


**List of figures:**

Figure 1: Organizational cultures (Cameron & Quinn 1999)
http://www.emeraldinsight.com/content_images/fig/0010490103001.png

Figure 2: Management model Mintzberg (2010)
http://www.danpontefract.com/?p=487


**Other source:**

http://Gebiedsontwikkeling.nu
http://www.platform31.nl/

Oxford Dictionary Thesaurus (2001)

**Quotations:**

“Maar wat dat is, weet ik niet. Er zijn zoveel dingen die ik niet weet”

Murakami (2006, p. 62)  *Kafka op het strand*

“Everything that can be counted does not necessarily count; everything that counts cannot necessarily be counted.”

Albert Einstein cited in Dijkstra and P. Feld (2012, p. 25)

“The written word is the mechanism by which we know what we know. It organizes our thought. We may wish to understand the rise of literacy both historically and logically, but history and logic are themselves the products of literate thought.”


“We’ve already seen that innovation tends to slow down in the early phases of economic crises, only to restart during the Resets that follow those crises”.

Florida (2010, p. 110) *The Great Reset*
'There is a transition occurring from the old paradigm in which leadership resided in a person or role, to a new one in which leadership is a collective process that is spread throughout networks of people.'

Petrie (2011, p. 6) Future trends in leadership development

“Time flows on, never comes back”


Translations:

Chapter 1

None

Chapter 2

De Jonge (2009), p. 20):
‘Het acteren van individuele mensen op sleutelposities blijft bij gebiedsontwikkeling een (misschien wel de) cruciale factor. Het eeuwige misverstand is, dat het bij succesvolle projecten om meetbare (beta) kennis gaat, in plaats van om ‘alfarevoluties’ in ons denken en handelen.’

‘The acting of individual people in key positions in urban area development is a (maybe even the) crucial factor. The continuous misunderstanding is that for successful projects the measurable knowledge is important, instead of the social revolutions in our thinking and acting’

Dijkstra and P. Feld (2012, p. 20):
‘Door slim gebruik te maken van nieuwe technologische mogelijkheden (o.a. Internet, sociale media, et cetera) is het mogelijk om vrijwel onmiddellijk kennis op te bouwen van dezelfde of zelfs betere kwaliteit dan die van het establishment.’

‘By making clever use of modern technological opportunities (like internet and social media), it is possible to build up knowledge of the same quality, or even better, than the established knowledge’

(Dijkstra & P. Feld, 2012, p. 27)):
‘Kenmerkend voor de nieuwe situatie is dat organiseren, samenwerken en leiderschap niet langer statische randvoorwaarden zijn voor het werk en de werkprocessen, maar dat zij organisch, dynamisch gaan meebewegen met de veranderingen die continu in het werk en in de processen plaatsvinden.’

‘Characterizing for the new situation is that organizing, collaboration and leadership are no longer static requirements for work and work processes, but that they organically and dynamically move along with the changes that appear constantly in work and processes’

Chapter 3

Van Joolingen et al. (2009), p. 11):
‘(…) door vraaguitval, afnemende financiële ruimte bij marktpartijen én overheden (reserves staan onder druk en het financieringsaanbod is beperkt) en hiermee groei van risico’s komt de gebiedsontwikkeling onder druk te staan’.

‘(…)there is more pressure on urban area development, due to a drop of demand, market parties and governments with decreasing financial possibilities and increasing risks.’
Chapter 4
None

Chapter 5
None

Chapter 6.1

Page 79 (interview respondent):
'Mooier kan je het niet krijgen!'
'It cannot get any better than this!'

Page 79 (interview respondent):
'Zij hebben een probleem, maar wij hebben ook een probleem'
'They have a problem, but we also have a problem'

Page 79 (interview respondent):
'je moet het wel verdienen om dat exclusieve recht te hebben'
'needs to earn the exclusive right to develop'

Page 80 (interview respondent):
'Als je er zelf geharnast in zit, zo van 'ik heb gelijk!', dan zit de ander er ook geharnast in en dan is er een frontale botsing en is er geen gesprek. Dus je doet geen stappen vooruit'.
'If you stick to your opinion, with the idea 'I am right!', the other will also stick to his or her opinion and a confrontation will be the result. Then there will be no conversation, and no progress can be made in the process'.

Page 82 (interview respondent):
'Het is een beetje geven en nemen, je krijgt niet altijd de hoogste prijs, maar je hebt wel een lopende zaak'.
'It is a give-and-take situation. One cannot always achieve the maximum, but at least you keep the momentum going'

Chapter 6.2

Page 107 (interview respondent):
'onderhandelaars die heel veel openheid en vertrouwen hebben in de ander.'
'negotiators who are able to approach the other with openness and trust'

Page 108 (interview respondent):
'Die open en creatief durven te zijn, zonder zichzelf in de idealen te verliezen'
'Leaders that dare to be creative, without losing themselves in their ideals'
11. APPENDIX

11.1 RESEARCH ON LEADERSHIP THEORIES
At the start of this research, several theories and perceptions of leadership have been examined and compared. Based on this literature research, the network approach to leadership was chosen. To indicate on which basis the choice was made, the literature research is included in the appendix. The literature research introduces the individual perspective on leadership (11.1.1) and the situational perspective (11.1.2). In 11.1.3, theory about leadership in crisis situations is shown, based on the ideas from the sixties by theorist Hamblin. The last paragraph introduces the changing context and what this means for our leaders (11.1.4).

11.1.1 Individual perspective
‘Leadership as the ability of an individual to influence, motivate and enable others, to contribute towards the effectiveness and success of the organization of which they are members’

(Quoted from House, P. Hanges, M. Javidan, P. Dorfman, & Gupta, 2004).

From an individual perspective, one of the earliest works that dealt with the theme leadership and influence is the work of Machiavelli from the 15th century (Machiavelli, 1976). Although his work needs to be placed in the context of a totally different world than we currently live in, his thoughts on ruling and influence are still relevant to this day. During the renaissance in Italy, he wrote the book ‘Il Principe’ (the Prince) in which he describes what the power position of a ruler is, which types of rulers there are, how to attain and retain power and why they lose it. In his work, he describes the balance between brutality and dignity, between being good and being evil, between generosity and greed and between being feared and being loved. Machiavelli thinks that in order to be able to realize large things, the rulers should have the ability to influence the thoughts of the people. Respect and reputation are attained by showing your achievements, establishing change, being both friend and enemy, and by appreciating the qualities of others and using them.

The perspective of Machiavelli can be seen as an individualism-oriented approach in which one person tries to influence a large group of people in order to achieve the goals that this person has. The opposite approach would be the one where a social system is leading: a structuralism-oriented approach. From this perspective, the whole society could be conditioned within a social system where there is no essential freedom of action and thought.

Trait approach
In the early 20th century, the trait approach was one of the first systematic efforts to study leadership (Northouse, 2012). From this approach, they believed that people were born with traits that made a person a ‘great leader’. Between 1948 and 2004, there have been several studies into these traits. The list of recurring leadership traits consists of intelligence (1); self-confidence (2); determination (3); integrity (4) and sociability (5) (Northouse, 2012). The trait approach is distinctive from other approaches because it only focuses on the assumed leader and the leader’s personality. Even though the trait approach has received a lot of criticism because it excludes the followers and the situation of the leader, this approach is straightforward and well-researched throughout the last century. The traits approach has recently gained more interest because researchers are focusing on visionary and charismatic leadership. The critical role of traits is emphasized as a part of effective leadership. The Leadership Trait Questionnaire is a list of questions that should be completed by a leader and five people that are familiar with this leader. The answers are on a 5-point scale from strongly disagree to strongly agree.
Transformational leadership

Transformational leadership is a process that changes and transforms people' (Northouse, 2012). This theory includes an understanding of the followers' motives and needs, and involves the fact that leaders can influence followers with charismatic and visionary leadership.

In the 1980s, Bass further expanded the transformational leadership theory of Burns. From his point of view, leadership is involved 'with improving the performance of followers and developing followers to their fullest potential' (Northouse, 2012). He describes four factors that define leadership: (1) idealized influence or charisma; (2) inspirational motivation; (3) intellectual stimulation and (4) individualized consideration. These four factors create the possibility to move from the expected outcomes, which are the result of transactional leadership, towards performance beyond expectations. Transactional leadership is characterized by two factors: (1) contingent reward and (2) management-by-exception. Bass also describes a non-leadership factor: *laissez-faire* ("hands-off, let-things-ride" approach). A common used method to measure transformational leadership is the Multifactor Leadership Questionnaire (MLQ) in which a leader can be tested on all the previously mentioned factors.

The transformational leadership theory recognizes that leadership is not only the responsibility of the leader, but rather that it emerges from the interplay between leaders and followers (Northouse, 2012). The theory is researched widely, both scientifically and empirically, in qualitative studies with leaders and there are many publications on transformational leadership. There is criticism on the MLQ method to measure leadership because the scale is not verifiable and replicable. Shared leadership and the influence that followers could have on leaders are also not elaborated on in this theory.

Individual competences

The ideas of Machiavelli, the traits approach and the transformational leadership, that are described above, are focused on the characteristics of one individual that influences a group of followers. From this individual perspective, competences of an individual leader are described which can increase their effectiveness and influence on the group of followers.

Competence is defined in the dictionary as 'having the necessary skill or knowledge to do something successfully'. In a more developed description of competences, Stoker, N. Kolk, and M. Donders (2003) include knowledge, skills and behavior. From their definition, six competences are described: (1) administrative organizational, (2) social communicative, (3) intellectual, (4) emotional, (5) task and (6) development competences. However these competences are based on experience from practice and are, therefore, not so much scientifically grounded.

11.1.2 Situational perspective

*Leadership as getting things done from a vision through other people in the context of organization, culture and individuals*

Situational approach

The situational aspect of leadership is one of the major shortcomings in the traits approach. This is recognized in the situational approach. The viewpoint in this approach is that different situations require different kinds of leadership. Situational leadership demands that leaders match their style to the competences and commitment of the subordinates. Effective leaders are those who can recognize what employees need and then adapt their own style to meet those needs' (Northouse, 2012). Depending on the development levels of the employees, there are four leadership styles that differ in the level of supportive or directive behavior. When the followers are well developed, the supportive and directive behavior of the leader can be limited, which would result in a (1) delegating style of the leader. In the case that the followers are moderately developed, the leader will be highly supportive and averagely directive. This style could be described as (2) supportive and (3) coaching. When the development of subordinates is low, the leader should be less supportive and mostly (4) directing. The situational approach has shown to be applicable in training programs for leaders and the use in practice. This is due to the
prescriptive and flexible character and emphasized differences between the subordinates. However, the situational approach has also received a fair amount of criticism, which can mostly be related to the lack of theoretical basis of the method and that it fails to include the influence of certain demographic characteristics.

**Contingency theory**

The **contingency theory** is a leader-match theory which focuses on a match between leaders and their appropriate situations. In this theory, effective leadership is contingent on matching the leader’s style to the right setting. Situations of leadership can be organized into three characteristics: (1) leader-member relations, (2) task structure and (3) position of power. The leaders’ styles are defined as task-motivated or relationship-motivated, and together with the situation characterization a contingency model is created.

Although the contingency theory has a ground in empirical research, a predictive power and does the theory establish a link between the leader and the situation, the theory does not clarify the ‘black box’ problem why certain leadership styles are more effective in some situations. In one of the tools that are used to measure, the Least Preferred Co-worker (LPC), the scale is not adequate and the theory does not describe what to do when a mismatch between the leader and the situation occurs (Northouse, 2012).

**Contextual leadership**

In the theory of Van Loon (2006), the leadership styles are connected to the typology of organization cultures of Quinn, defined in 1997. Quinn introduces four different organizational cultures which differ in flexibility and orientation: (1) the **clan culture** (human relations model), (2) the **adhocracy culture** (open systems model), (3) the **hierarchy culture** (internal process model) and (4) the **market culture** (rational goal model, see figure 1). The human relations model, which is characterized by internal focus and high flexibility, can be linked to the leader as a coach. The open system model has an external orientation and a high flexibility in which the leader can be seen as an innovator and strategic entrepreneur. The rational goal model is a very market-oriented culture which is in need of stable structures. In this culture type, the entrepreneur is to be the leader. In the internal process model, the internal orientation and low flexibility results in a hierarchical structure which is led by a manager. Van Loon describes the change leader as the leader that is in the middle of these structures and who can adapt his or her style to the development of the organization.

With this model, Van Loon relates to the situational approach as it is described at page 15 in this document. However, it specifies the character of the organization more precisely than only the level of development of the subordinates. Because it also includes the focus and flexibility of the organization, it is useful to relate leadership styles to these cultures.

**Mintzberg: leadership within management context**

In Mintzberg’s latest research, he witnessed the work of 29 managers in different areas of expertise. In this research, the contextual influences of managers are observed and inventoryed. Five types of influences are distinguished in his research: (1) the external context, (2) the organizational context, (3) the functional context, (4) the temporary context and (5) the personal context. The research concluded that the structure of the organizational context is of influence to the work of the manager in 20 of the 29 cases.
The ideas of Mintzberg (2010) are combined below in one model that he calls *management*. Management takes place at three levels (see figure 2): (1) the information plane; (2) the people plane and (3) the action plane. On each plane, the manager has two roles of which one is focused on the people and their tasks within the organization, and the other is focused outside of the organization. In this bigger context of organization and management, leading is described as a role within the organization on interpersonal level. This can happen one-on-one, within teams and within the whole organization. In this interpersonal role, Mintzberg describes the importance of setting an example by action, solving problems and earning respect and authority.

The ideas of Mintzberg underline that leadership is multi-disciplinary and can therefore not be seen apart from action and information. He tries to create a controversy towards the individual definition of leadership in which mainly the one-directional, of a leader towards his followers, is described. Mintzberg argues that leadership is no tactic or something one could force upon others; it is something that needs to be earned.

**Effective Situational leadership**

*Situational: context*

The situational approach, the contingency approach and Van Loon’s theory, which are described above, relate the contextual aspects of an organization to the most effective behavior of a leader. In these approaches, the culture of the organization, the development level of the followers and the influences of the market on leadership are determined so the role of the leader can be adapted to it.

Mintzberg (2010) provides a framework in which effective management styles can be viewed in their context. There are several ways of thinking of management, differing from a personal to a social point of view and from a conceptual to a concrete perception.

- **Energetic**: energy that is necessary to keep up with the pace, action, variety and fragmentation of activities.
- **Reflective**: to learn from experiences, research alternatives and to switch between methods when this is necessary.
- **Analytical**: essential to counterbalance the large influence of intuition in management.
- **Global**: capable of switching between cultures, organizations, functions and people.
- **Cooperative**: helping others to mobilize the energy they have by letting them work together.
- **Proactive**: employ the freedom the organization has to generate change and development.
- **Integrative**: goal is to reach synthesis between personal energy, goals and knowledge within a dynamic context in which the ultimate synthesis will never be reached.

To be able to perform these aspects of management, Mintzberg states that *information* on the organization is a crucial necessity. Information is, amongst others, needed to control, to spread, to plan, to make decisions, to design strategies or systems and to delegate. Therefore, an effective leader is able to transfer information to others and to get intonations: facial expressions, body language, temper and atmosphere. When a manager succeeds in effectively gathering information, they are able to use this to negotiate and cooperate (Mintzberg, 2010).
Mintzberg (2010) argues the importance of judging managers within their context. In the same way that a manager cannot be held solely responsible for the success of the organization or unit, the manager also cannot be judged on its failure. The level of influence and input on the unit that the manager had in increasing the efficiency, should be examined. Nevertheless, this efficiency is a relative concept and therefore it needs to be viewed from a broader perspective.

Along with the theories and approaches that are developed throughout this century, methods to measure leadership aspects were created. In paragraph 3.2.2 and 3.2.3, the methods are explained and are categorized in the table below.

<table>
<thead>
<tr>
<th>Individual</th>
<th>Situational</th>
<th>Network</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Leadership Trait Questionnaire (LTQ)</td>
<td>• Least Preferred Co-worker (LPC)</td>
<td>• Leadership Archetype Questionnaire (LAQ)</td>
</tr>
<tr>
<td>• Multifactor Leadership Questionnaire (MLQ)</td>
<td>• Situational Leadership: a brief questionnaire</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Competing Value Scan</td>
<td></td>
</tr>
</tbody>
</table>

### 11.1.3 Leadership in times of crisis

In the late sixties, Hamblin, a social scientist, researched the connection between leadership and crises in a laboratory experiment. He defined a crisis as ‘an urgent situation in which all group members face a common threat’ (Hamblin, 1958b). The first hypothesis he examined was the idea that leaders get more influence during a crisis. The second hypothesis states that groups have the tendency of replacing the existing leader with a new one when they do not have an answer to the crisis situation. His findings in the experiment confirm both the hypotheses and show that the second most influential person often replaces the current leader in times of crisis. In relation to the first hypothesis, Mintzberg sees an opportunity in the increased influence of a leader. At this point in a crisis situation, the effectiveness of persons in dealing with unavoidable and unexpected problems can be assessed (Mintzberg, 2010).

In a comparable research, Hamblin searched for the relation between crises and group integration. The conclusion of this laboratory observation experiment is that the group integration appears to decline in times of crisis, if a likely solution to the crisis problem is unavailable (Hamblin, 1958a). This is an interesting finding. From the perspective of Brookes (2011), which is described in the problem analysis, cooperation within groups can lead to higher levels of intelligence and, therefore, innovation. Innovation could contain aspects of an adequate response towards the crisis. Hamblin acknowledges this potential of group integration. Therefore, a distinction needs to be made between a crisis in which a potential solution can be found in cooperation, and one where a solution can be found in competition. According to Hamblin (1958a), the first one creates increased levels of group integration, while the second one decreases integration within the group.

### 11.1.4 Changing context for a leader

Leadership itself is also subject to development due to research, experience and contextual developments. In this paragraph, the change of a leader’s job in the past century is described.

**The work of a leader**

In a research by Tengblad of 2006, he specifies his research on the influence new discourses about change, flexibility, leadership and culture have on managerial work. The analyses of cases show that the new concepts do have substantial influence on the managerial practice. However, this change should not be interpreted as a general or revolutionary occurrence (Tengblad, 2006). This means that change in management evolves in a continuous process, and not by revolutionary changes.

However, there are some changes that are acknowledged by Tengblad or Mintzberg:
• Internet, email and social media are current developments which lead to the expansion of networks but also to weakening communities, within the organization and between them (Mintzberg, 2010).

• The use of email leads to a higher pace, higher stress levels in management and more interruptions in work activities (Mintzberg, 2010).

• Due to the globalization of companies, the geographical space in which organizations are active increases. This results in more time that is spent on travelling and, therefore, there is more attention for finding ways to deal with different spaces efficiently (Tengblad, 2002).

• The content of the work of leaders has changed towards general forms of control concerning budgets, business plans and strategic objectives. Also the communication of norms, values and expectations has become a larger part of the task of leaders. By delegation and decentralization, the managers relieve themselves from work pressure which leads to less time-fragmented work (Tengblad, 2002).
11.2 INTERVIEW PROTOCOL

Introductie:

1 Mijzelf: TU Delft, mentoren, AT Osborne, begeleiders.

2 Onderzoek: Wat is leiderschap op publiek privaat raakvlak? Relatie met crisis?

3 Casus:

Scope:

Doel van dit interview: De leiderschap profielen in kaart brengen op het publiek private raakvlak in een bepaalde periode van het project.

Ik doe dit door te kijken naar personen en niet zozeer naar formele organisatie structuren. Om voldoende diepgang in mijn analyse te krijgen zal ik u vragen naar uw persoonlijke leiderschap en leiderschap van de personen die u kent. Het zou voor mijn onderzoek goed zijn als u hier open in bent. Uiteindelijk zal deze informatie anoniem en vertrouwelijk verwerkt worden op een hoger abstractie niveau. Er worden hierin dus geen letterlijke uitspraken gebruikt en uiteindelijk zal het grootste deel van de informatie terug gebracht worden naar de 8 omschreven profielen. Na dit interview zal ik u een samenvatting van dit interview toesturen ter controle waarin de informatie staat zoals deze in het onderzoek verwerkt zou worden. Om deze samenvatting nauwkeurig te kunnen maken zou ik het gesprek graag opnemen. Heeft u hier bezwaar tegen?

Overzicht van thema’s en opbouw:

- Vragen over netwerk
- Vragen over het proces
- Vragen over leiderschap

Interview:

Netwerk:

Op dit moment heb ik deze representatie gemaakt van het netwerk met personen die gedurende de periode waarop ik mij wil focussen een rol hebben gespeeld.

< voorleggen uitgangspositie schema op whiteboard>

1. Zijn er personen die niet in de weergave staan die er wel in zouden moeten staan?

2. Kloppen de lijnen tussen de personen?

3. Welke rol heeft u gespeeld in deze onderhandelingen?

In 2009 zijn twee van de drie deel contracten getekend, de derde moet dan nog verder uitgewerkt worden. Dit duurt vervolgens een lange periode en er moet nog flink verder onderhandeld worden.

4. Waarom hebben de uitwerkingen zo lang geduurd? (urgentie/opschalen/andere aanpak)
5. Zou u de situatie begin 2011 een impasse noemen? En zo ja: Kunt u de impasse begin 2011 in de onderhandelingen over de contracten omschrijven?

Leiderschap:

Ik had u reeds ter voorbereiding van dit interview een introductie gegeven in mijn begrip van leiderschap aan de hand van 8 rollen. Hier heb ik deze 8 rollen nog verder uitgewerkt:

< tonen overzicht van 8 rollen → meerdere opties om namen plus beoordeling in te vullen >

6. Welk(e) rol(len) heeft u aangenomen in de context van dit netwerk zoals we deze hier zien?

7. Zijn uw rollen veranderd in de periode van 2009 tot 2011 en waardoor?

8. Hoeveel impact denkt u dat u heeft op het gedrag van de andere personen in het netwerk? (invullen op whiteboard schaal 1 tot 5. 1 = geen impact, 5 = veel impact)


10. Door de economische crisis valt een groot deel van de vraag op de markt weg. Hoe is omgegaan met deze onzekerheid? (Kansen vs. Risico’s)

11. Welk(e) rol(len) passen bij de anderen betrokken personen?

12. Zijn deze rollen volgens u veranderd in de periode van 2011 tot nu en waardoor?

13. Hoeveel impact denkt u dat het gedrag van de andere personen op u hebben? (invullen op whiteboard)

14. Zijn er rollen die naar uw mening ontbreken in het overzicht?

15. Er is veel druk komen te staan op financiën in gebiedsontwikkeling door de crisis. Welk(e) profiel(en) van leiderschap zijn volgens u belangrijk hiervoor?

Afsluiting

- Zijn er nog dingen die ik vergeten ben te vragen waarvan u denkt dat het relevant is?
- Zijn er nog vragen/opmerkingen/toevoegingen over het interview of het onderzoek?

Bedankt voor uw medewerking aan mijn onderzoek.

U krijgt binnen twee weken een samenvatting van dit interview toegestuurd ter controle.
11.3 CODING PROTOCOL ATLAS.TI

Code Families

Code Family: Additional
Created: 2013-01-03 10:30:33 (Super)
Codes (3): [Interesting quotes] [Intern vs. extern leadership] [Undefined but interesting]
Quotation(s): 26

Code Family: Collaboration
Created: 2013-01-02 12:03:42 (Super)
Codes (4): [Collaboration Between Organizations] [Collaboration within Organization] [Duos in process] [Influence on one another]
Quotation(s): 30

Code Family: Future of UAD
Created: 2013-01-02 15:27:19 (Super)
Codes (21): [Future of LDS: Adaptive capacity and Flexibility] [Future of LDS: Courage to take risks] [Future of LDS: Create mutual understanding] [Future of LDS: Empathy] [Future of LDS: Entrepreneurs and Opportunities] [Future of LDS: Give space to knowledge workers] [Future of LDS: Provide vision and faith] [Future of LDS: Rise above own interest] [Future of LDS: Strategic management of stakeholders] [Future of LDS: Strong knowledge base] [Future of LDS: Talking and explaining] [Future of LDS: Think simple/original] [Future of UAD: Balance between content and decision making] [Future of UAD: Create new reality in which decisions can be made] [Future of UAD: From power and knowledge] [Future of UAD: Guard boundary conditions] [Future of UAD: Look for opportunities in market] [Future of UAD: Organization of collaboration process] [Future of UAD: Share interests] [Future of UAD: Take the loss] [Future role needed]
Quotation(s): 49

Code Family: Impasse
Created: 2013-01-02 13:55:51 (Super)
Codes (6): [Aspect contributed to Breakthrough in impasse] [Causes of impasse] [Compliance to new times and its dynamics] [Differences of expectations impasse] [Effect of economic crisis on the collaboration] [Important actor in network]
Quotation(s): 67

Code Family: Leadership in Process
Created: 2013-01-02 12:05:19 (Super)
Codes (10): [Adaptive leadership] [Difficulties concerning position of actors] [Distributed leadership] [Duos in process] [Importance of experience and position] [Influence on one another] [Reflection in Leadership] [Role of Alderman in process] [Role of external advisors in process] [Role of processor in process]
Quotation(s): 76

Code Family: Municipality
Created: 2013-01-03 13:32:01 (Super)
Codes (6): [Board influence in process] [Importance of knowledge of Politics and Decision-making] [Organization of public actors] [Political influence on process] [Position of municipal development company] [Role of Alderman in process]
Quotation(s): 41

Code Family: Narrative of Negotiation process
Created: 2013-01-04 13:28:16 (Super)
Codes (5): [Determining strategy] [Negotiation FR I] [Negotiation FR II] [Negotiation FR III] [Negotiation tactics]
Quotation(s): 50

Code Family: Network dynamics
University mentors: Dr. ir. T. Daamen and Prof. ir. K. Laglas
AT Osborne mentors: R. Baas and W. van Overmeeren

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