



Beyond 34

Task 1.3:

Institutional

Analysis

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BEYOND 34



PROCESS OVERVIEW

The Institutional Analysis (IA) identifies and analyzes the institutions whose actions or services directly impact a targeted region's diversion rate, including its waste, recycling, and recovery systems. The Institutional Analysis evaluates impactful stakeholder interactions and priorities, local policies, points of intervention, and social norms that have led to the current state of recycling in the region. Beyond further developing an understanding of the waste and recycling stream flows and processes as they currently function, the Institutional Analysis is vital in the promotion of synergistic opportunities and the strategic implementation of potential projects to increase diversion in the region. Figure 1 below shows both potential inputs required to complete the Institutional Analysis as well as potential outputs and uses.

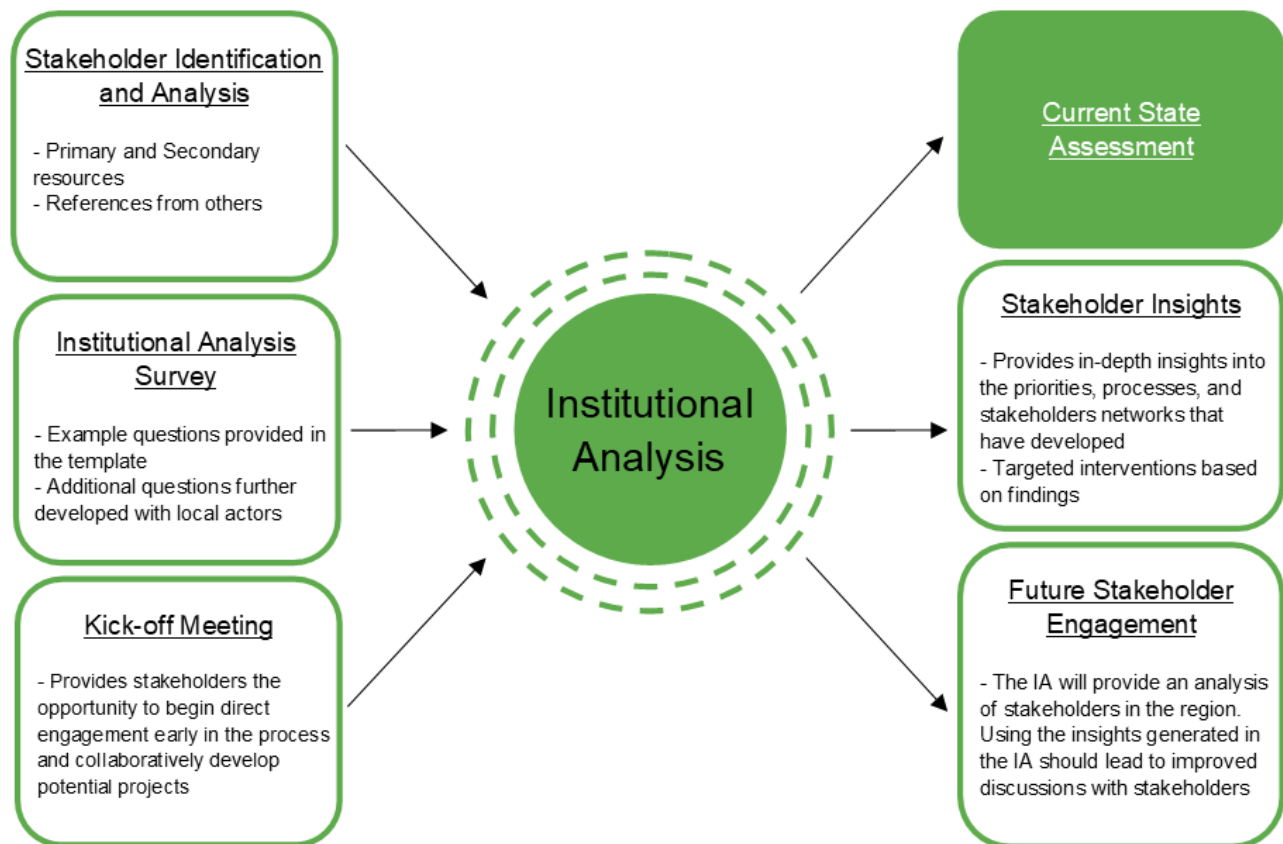


Figure 1: Institutional Analysis Inputs and Outputs



INSTITUTIONAL ANALYSIS

PROCESS FLOW

- ✓ Identify and compile a list of stakeholders to be analyzed
- ✓ Understand and organize identified stakeholders by their role in the targeted region's waste, recycling and recovery system
- ✓ Determine the specific attributes of each stakeholder, including their level of interest and level of impact
- ✓ Invite Stakeholders to a kick-off meeting
- ✓ Survey both previously engaged and newly identified stakeholders
 - >>>> Local champions and kick-off meeting invitees
 - >>>> New stakeholders identified during and after the kick-off meeting
- ✓ Verify initial findings and update any gaps in knowledge
 - Analyze survey data based on common answers across all stakeholders, major reoccurring themes, and goals specific to certain categories of stakeholders
 - Synthesize the information and include it in the Current State Assessment's stakeholder analysis or other relevant analysis

INITIAL STAKEHOLDER IDENTIFICATION AND DOCUMENTATION

To begin the Institutional Analysis, compile a comprehensive list of stakeholders that are impactful to the targeted region's waste, recycling and recovery systems. Include stakeholders that directly impact these systems and less obvious stakeholders such as educators or local environmental groups.

Relevant stakeholders and their impacts should be considered at multiple spatial scales including at the municipal, county, or state level, as well as national and international stakeholders where applicable.

When compiling a list of stakeholders, it is recommended to use a variety of primary and secondary sources of information. Primary information is collected through personal experiences. Secondary information is gathered by examining webpages of the local and regional governments, large organizations, other local businesses, as well as key infrastructure owners; and exploring news articles.

STAKEHOLDER ANALYSIS

After a comprehensive list of stakeholders has been compiled, analyze the stakeholders based on their attributes and contribution to the targeted region's waste, recycling and recovery systems. To begin the analysis, stakeholders should be organized and understood based on their role. While these roles can be defined in a variety of ways, a previously established categorization is:

- ◇ Haulers: provide communities and other businesses with material collection services. Material destination is determined by available source separation collection streams.
 - Public and Private solid waste and recycling professionals. This includes collection of both waste and recycling bins available in most communities and also other services collecting organic yard and food waste
- ◇ Waste Processors: destination of collected waste, recycling and diversion streams.
 - Material Recovery Facility (MRF) owner/operators
 - Landfill owner/operators
 - Recycling commodity brokers
 - Compost facility owner/operators
- ◇ Manufacturers: convert raw material from recyclables along with virgin materials to produce goods.
- ◇ Users (People and Businesses): use and produce goods and services and generate the material that will enter the recyclable material stream.
 - Educators
 - Neighborhood HOAs
 - Political institutions and influencers
 - Local environmental organizations
 - Local Chamber of Commerce
 - Green teams at local corporations

- ◇ Reuse and Repair Organizations: extract products that can be reused or repaired from the material stream and put them back into the market. These stakeholders are influential in creating a strong material recovery system beyond traditional recycling methods.
 - Nonprofit and other charitable organizations
- ◇ Innovators: design for resource and system efficiency while also advancing concepts in product design and the recyclability of material streams.
 - Entrepreneurs
 - Corporate research and development
 - Academia
 - Economic development organizations

Figure 2 shows a high level, conceptual flow of materials among the six different categories of stakeholders.

After the identified stakeholders have been analyzed based on their role, further analysis of each stakeholder will be completed. This portion of the analysis is intended to obtain and understand the stakeholder's expectations and relationships, as well as both expressed and often hidden power in relation to the region's waste, recycling and recovery systems. In this analysis, stakeholder's impact and interest should be identified and then weighted as high, medium, or low, followed by a brief justification for the rating. Those stakeholders identified to have both high impact and high interest should be considered key stakeholders.

- ◇ Stakeholder impact indicates the level of influence or relative power that a stakeholder has over and within a project.
- ◇ Stakeholder interest indicates the degree to which the stakeholders are willing to use their impact to support this initiative.

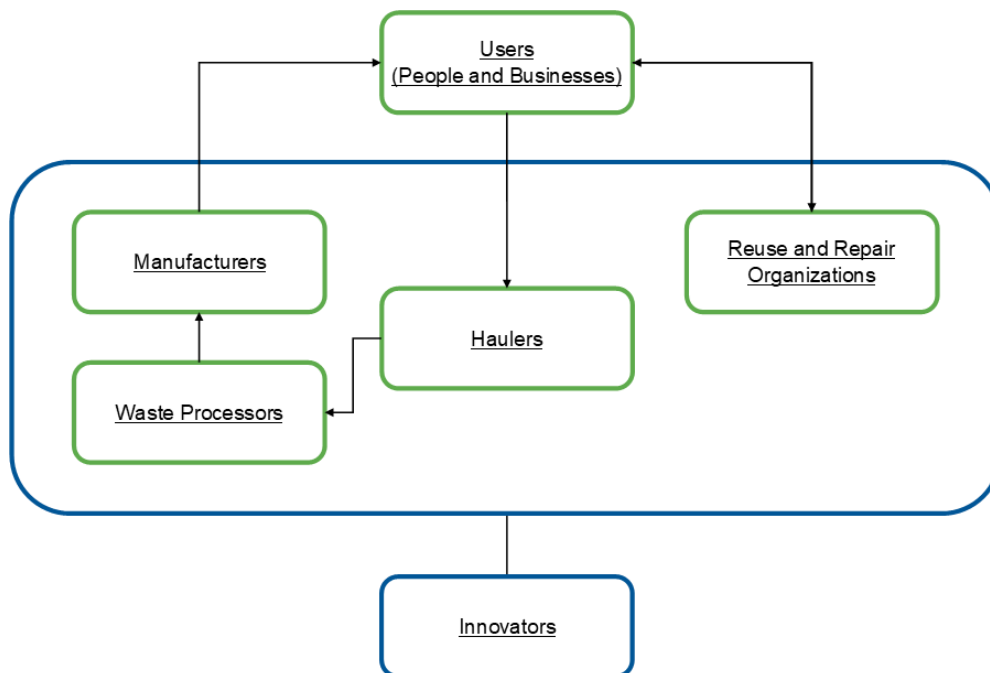
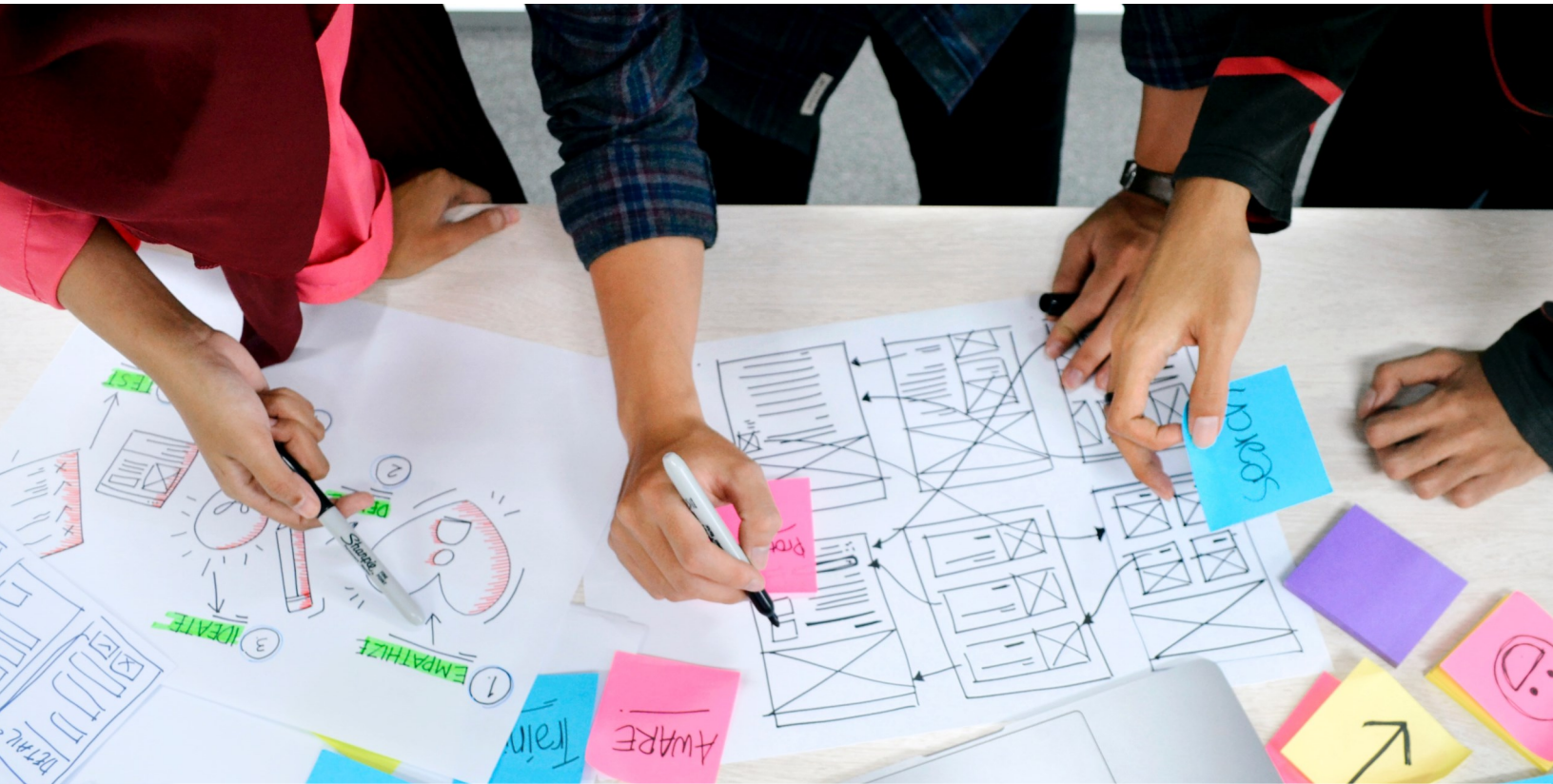


Figure 2: Conceptual flow of materials among the different categories of stakeholders



Stakeholders with high impact have control over vital decisions that could lead to the success of Beyond 34 projects. Usually, stakeholders with high influence have been derived from economic, social, political, relational, or hierarchical relationships, and these are some key factors to consider within each stakeholder. Stakeholders with high interest in a project are typically those who have expressed an aligned vision to this initiative. The stakeholder's vision, or desired future state, can be obtained through personal interviews, news articles, websites, etc. This initial alignment of visions is important for engaging early actors, even if their initial impact is not evaluated as high. When discussing stakeholder interest, it is also important to identify the stakeholders that might be beneficiaries from the systematic changes that are anticipated to occur when diversion in the targeted region increases.

It is also recommended to identify the risks a stakeholder may present. Risks from stakeholders occur when project needs conflict with stakeholder expectations. Identifying stakeholder risk allows for projects to facilitate managing a process that maximizes stakeholders' positive input and minimizes any potential detrimental impacts. Negative impacts posed by stakeholders can be weighted on the same scale as the positive impacts described above. These stakeholders can still be identified as key stakeholders, and successful engagement with these stakeholders will also be vital to the project.

STAKEHOLDER KICK-OFF MEETING AND INSTITUTIONAL ANALYSIS SURVEY

In this step, stakeholders will be invited to attend the kick-off meeting, and complete a detailed Institutional Analysis Survey. At this stage in the process, the Current State Assessment has not yet been completed in its entirety, however for the kick-off meeting it is vital that initial findings are prepared for presentation. These findings do not need to be complete nor establish a significant generation of new knowledge. Instead, the content presented at the kick-off meeting should provide a high level understanding of the targeted region's current state of recycling and recovery.

KICK-OFF MEETING PURPOSE

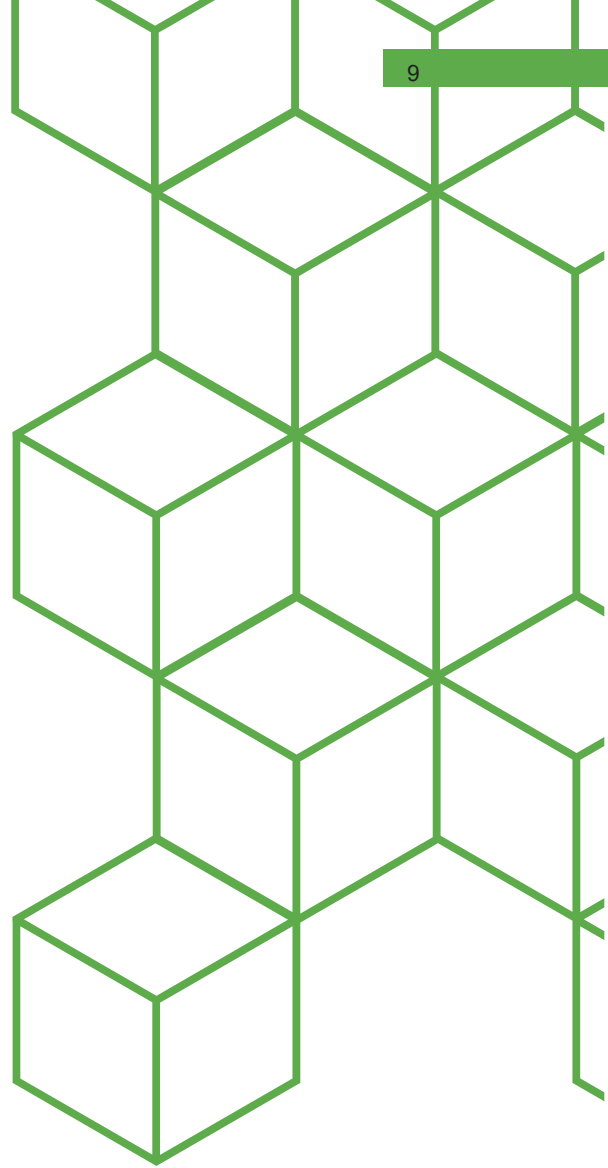
- ◇ Begin early engagement with stakeholders and local champions to collectively develop and implement solutions to increasing diversion in the targeted region
- ◇ Identify any new stakeholders based on referrals identified at the kick-off meeting
 - Time should be specifically dedicated to this process
- ◇ Establish a common vision and sense of collective action towards increasing diversion in the region and beyond
- ◇ Verify initial findings regarding the current state
- ◇ Provide stakeholders with the Institutional Analysis Survey

The survey provided to stakeholders attending the kick-off meeting will provide insights into the stakeholder's norms, priorities, barriers, and opportunities that can lead to an increase in diversion for the targeted region. The analysis of the survey results will be vital in guiding the identification and development of opportunities, identify common themes among sectors or the broader stakeholder group, and ideally pave the way for key stakeholders to aid in the implementation of potential projects. The Institutional Analysis Survey and its questions should be created in a way that can lead to the analysis of stakeholders in their unique context, however some common questions and key words for analysis (in green) have been provided below.

INSTITUTIONAL ANALYSIS

SURVEY QUESTIONS AND KEY WORDS

1. Please tell me your primary title and duties in your organization.
2. Can you tell me what your organization's priorities are for recycling and diversion efforts?
 - a. Reduce landfill waste, increase recycling/diversion, education, etc.
3. What are your organization's current means of diverting or reducing waste?
 - a. Recycling, compost, managed by sustainability manager/officer, etc.
4. Does your organization have specific goals for increasing recycling and/or circularity efforts?
 - a. Zero waste, greenhouse gas reductions, procurement, increase recycling rate, etc.
5. Of these goals, which ones have been successful, and which have not.
 - a. Like question 4 but will vary.
6. In your opinion, what is the motivation for increasing recycling efforts and circularity in your organization?
 - a. Employee satisfaction, concern for the future, job creation, reduce waste, reduce cost, etc.
7. What are the most prevalent barriers to increasing waste diversion in your community?
 - a. Market, political barriers, education, infrastructure, etc.
8. What do you believe is necessary to build support among your residents and/or customers for increased waste diversion?
 - a. Policy, incentives, education etc.



REFERENCES

Smith, L.W. "Stakeholder Analysis: a Pivotal Practice of Successful Projects." 2000, <https://www.pmi.org/learning/library/stakeholder-analysis-pivotal-practice-projects-8905>.

Kivits, R. A. "Multi-Dimensional Stakeholder Analysis: a Methodology Applied to Australian Capital City Airports." Southern Cross University, 2013, https://researchportal.scu.edu.au/discovery/delivery?vid=61SCU_INST:ResearchRepository&repId=1267105560002368#1367455600002368.