

COMMUNITY BASED TOURISM FOR CONSERVATION AND DEVELOPMENT: A RESOURCE KIT



The Mountain Institute
with assistance from the
Regional Community Forestry Training Centre

© The Mountain Institute, 2000
1828 L St, NW, Suite 725
Washington D.C. 20036, USA
Email: summit@mountain.org
Web: www.mountain.org

Citation: The Mountain Institute, (2000) Community-Based Tourism for Conservation and Development: A Resource Kit, The Mountain Institute

The APPA approach presented in this kit has been developed by The Mountain Institute. It has been developed as a resource kit for training with the assistance of RECOFTC. Anyone wishing to use the material for non-profit training or education purposes may do so, providing the source is fully acknowledged.



The Mountain Institute

List of Acronyms

AI	Appreciative Inquiry
APPA	Appreciative Participatory Planning and Action
CBT	Community-Based Tourism
IIED	International Institute for Environment and Development
LEP	Langtang Ecotourism Project
M&E	Monitoring and Evaluation
NGO	Non Governmental Organisation
PLA	Participatory Learning and Action
PRA	Participatory Rural Appraisal
RECOFTC	Regional Community Forestry Training Centre
SSI	Semi Structured Interview
TMI	The Mountain Institute



Table of Contents

List of Acronyms	
Introduction	
Chapter 1: Community-Based Tourism for Conservation and Development	1
Chapter 2: Appreciative Participatory Planning and Action	14
Chapter 3: Participation	25
Chapter 4: Discovery	37
Chapter 5: Dream	48
Chapter 6: Design	54
Chapter 7: Delivery and Re-Discovery	73
Appendix I: Do's and Don'ts	78
Appendix II: Tools for Participatory Learning	
Brainstorming and Cluster Techniques	80
Maps for Community-Based Tourism	82
Force Field Analysis	87
Matrix Ranking	90
Mobility Map	92
Options for New Product and Market Development	94
Pairwise Ranking	97
Use of Pictures in APPA	99
Seasonal Calendar	101
Spider Diagram for Feasibility Analyses	103
Transect Walks	105
Trend Line: Historic and Future Trend Analysis	107
Venn Diagram	112
Appendix III: Resource Materials	114



Introduction

This *Resource Kit for Community-based Tourism for Conservation and Development* serves as a guide for planners and field-based staff to design, implement and manage Community-based Tourism. The Kit is NOT a detailed “how-to” manual, but is a set of guidelines for field application. The Kit was originally developed to accompany international courses in Community-based Tourism for Conservation and Development given by The Mountain Institute (TMI) and Regional Community Forestry Training Center (RECOFTC).

The Appreciative Participatory Planning and Action (APPA) approach used in the Resource Kit has been developed by The Mountain Institute, building upon the ideas and field experiences of a number of TMI staff, NGOs and government partners, and communities in TMI project sites across the Himalayan region (in Nepal; Sikkim, India; and TAR, Peoples Republic of China). The methodology provides the basic structure for Community-based Tourism planning in a variety of contexts and with a wide range of participants, from a village setting with illiterate or semi-educated participants to planning at the local or district level with community leaders, protected area managers, and government officials. The primary value of APPA lies in its emphasis as process of lasting engagement and dialogue among stakeholders. The approach has also been used for assisting organizations in their development, in addressing people-wildlife interactions and community conservation.

The development of the Appreciative Participatory Planning and Action methodology is an on-going process. The four steps or phases in APPA are known as the “4Ds of *Discovery, Dream, Design and Delivery*”. These phases constitute the sequential process of participatory Community-based Tourism planning that builds upon local or regional tourism assets to develop a collective vision and the plans, confidence and resources to achieve that vision – or Dream - and empowers communities with skills and plans to achieve it.

Practitioners of Community-based Tourism (For Whom is This Course and Kit Intended?)

The Resource Kit for Community-based Tourism for Conservation and Development is designed primarily for *field-based* professionals who work with communities or organizations to plan for and develop Community-based Tourism as a tool for achieving conservation and community development objectives. Professional may be government staff from departments of tourism, protected area, forestry, conservation, community development, etc.; local government or community leaders; members of non-government organizations (NGOs); representatives of the private sector (e.g., tour operators, hotel/lodge owners, or guides); or community development and conservation project staff. The Kit contains both theoretical and practical resources appropriate for presentation in either classroom or outdoor learning and planning situations.

How to Use this Resource Kit

The APPA method of planning for Community-based Tourism is broken down into four major phases, called the 4Ds: *Discovery, Dream, Design and Delivery*. Following introductory chapters on Community-based Tourism and participatory methods, each of the 4-Ds is covered in a separate chapter, with general instructions and specific outputs.

Participatory Learning and Action tools are used throughout the APPA process, and are described briefly in each of the 4-D chapters. Tools are further detailed in the Appendices, with suggestions for additional ways in which they can be used. Additional Tools (not taught in the training course) are also detailed in the Appendices with full explanations for their use to supplement information collection and planning exercises. The instructions for the 4-Ds and the Participatory Learning and Action tools presented here are meant to be a guideline for practitioners' initial use; thereafter, the user can adopt the approach to the specific situation, elaborating upon or simplifying the steps according to the planning objective, time available, and level of participant understanding.

The 4-D methodology is extremely adaptable, and can be used from start to finish in a single community planning session, or stretched over a series of planning sessions, e.g., Discovery and Dream in one or two session(s), Design and Delivery in another. The 4-Ds should always be carried out in the intended order and ultimately in their entirety, building upon each prior D's outputs — both in terms of information and empowerment before moving on.

Likewise, the Participatory Learning and Action tools can be used outside of the 4-Ds in which they are described herein: e.g., mapping is both a planning (Discovery) and monitoring (Delivery) tool, and can also be used in portraying the participants' Dream for Community-based Tourism; it could even be used in the Design phase to plot activity sites. Real understanding of the Participatory Learning and Action tools comes by adapting and applying them to the situation and information needs at hand.

In order to make the best and most effective use of the approach, we strongly urge our readers to consult the large body of literature on participatory methods and new initiatives in tourism, plus to make use of their own experience. Finally, we would like to thank our many partners and colleagues who have worked with The Mountain Institute over the past few years in the development of APPA and its application in the field.

Nandita Jain
Wendy Lama
Renzino Lepcha

The APPA approach presented in this Kit has been developed by The Mountain Institute. It has been developed as a resource kit for training with the assistance of RECOFTC. Anyone wishing to use the material for non-profit training or education purposes may do so, providing the source is fully acknowledged.

Citation: The Mountain Institute, (2000) Community-based Tourism for Conservation and Development: A Resource Kit, The Mountain Institute.

© The Mountain Institute, 2000
1828 L St. NW., Suite 725
Washington D.C.20036, USA
Email: summit@mountain.org
Web: www.mountain.org



CHAPTER 1

Community-based Tourism for Conservation and Development

Introduction

Community-based Tourism is used to describe a variety of activities that encourage and support a wide range of objectives in economic and social development and conservation. The purpose of this chapter is to provide a discussion of some of the key issues affecting Community-based Tourism, and its promotion and sustainability. The first part of the chapter contains a brief review of tourism trends, followed by a discussion of Community-based Tourism – its objectives and reasons for current levels of interest in the approach and activity. In the second part, there is a discussion of key contextual issues, such as national and international policies, markets, the nature of participation, etc. The chapter concludes with a case study of Community-based Tourism from the Asia/Pacific region. For more detailed studies and discussion of Community-based Tourism the reader is encouraged to make use of the resource materials found at the end of the Kit.

With ever increasing interest and growth in tourism development, and the obvious marketing strategies associated with this industry and its components, it is useful from the start to provide a broad definition of Community-based Tourism to our readers. There are many definitions of specialized tourism activities – ecotourism, nature-based tourism, adventure tourism, cultural tourism and so on. Quite often these vary with the markets for which they are being targeted. In particular there continues to be controversy and discussion over the definition of ecotourism. For our purposes Community-based Tourism is a visitor-host interaction that has meaningful participation by both, and generates economic and conservation benefits for local communities and environments. More specific aspects of this definition will be discussed later in this chapter.

Background

A summary of changes related to natural and cultural environments in developing countries serves as a useful background to the emergence of interest in Community-based Tourism.

For a number of developing countries their natural and cultural heritage continues to be a source of significant economic benefits, attracting international and domestic visitors often in search of an authentic natural and, to a lesser degree, cultural experience. However, detailed information on the numbers of visitors visiting natural areas and the amount of resultant economic activity in developing countries is both difficult to obtain and often unreliable.

Tourism associated with natural and protected areas, has been and continues to be a growing sector in the global tourism industry (Whelan, 1991, Brandon, 1996). Of the estimated \$55 billion in tourism receipts received in the Third World, a significant portion of this in the early 1990s was the result of nature tourism activities (Whelan, 1991). Although, not always concerned with protected areas, it is estimated that annual expenditures on adventure-related travel in the United States alone amount to \$220 billion (Adventure Travel Society, 1998). Conservative estimates of the growth in demand for nature-related tourism range from 10%-15% while more optimistic forecasts go up to 30% (Brandon, 1996), the variation due primarily to differences in the definition of the types of tourism included. Although difficult to generalize, for many developing countries their natural environment is a primary attraction for international visitors, as well as for increasing numbers of domestic tourists.

In the Asia/Pacific region, there has been much discussion and debate regarding the size and growth of the ecotourism market. As with the global market discussion, the figures often depend on the definition of the activity being used. Nonetheless, the numbers visiting natural and cultural sites are increasing, and although accurate data are not always available it is clear that an under-investigated section of this market is domestic visitors and those from nearby countries (see Box 1.1.).

BOX 1.1. ECOTOURISM TRENDS IN THE ASIA/PACIFIC REGION (from Ecotourism in the Asia/Pacific: Issues and Outlook, 1997)



Keeping in mind that estimates should be treated with caution, Cellabos-Lascrain (1993) reports a WTO estimate that nature tourism generated 7% of all foreign tourists. Campbell (1994) reports that approximately 20% of all foreign tourists to Thailand (1990) visited nature tourism sites.

(From the authors of this Resource Kit – often visitation figures focus on international visitors since these are easier to measure due to government requirements to record and report. If domestic and regional visitors from neighboring countries are included the estimates will be higher).

In summary, historic data, trends and expectations indicate that:

- ▲ tourism makes a substantial contribution to the region's economy;
- ▲ tourism has experienced rapid growth in the region (though less so in South Asia), and this growth is expected to continue;
- ▲ ecotourism in the region and globally has grown faster than tourism generally, and this will probably continue over the next several years;
- ▲ domestic and intra-regional visitors are an important component of the region's ecotourism and this importance is expected to increase in the future; and
- ▲ ecotourism demand will evolve over time, and the region's ecotourism sites will need to adapt to these changes.

The factors driving this pattern of growth include:

- ▲ rapidly growing income
- ▲ freer intra-regional travel
- ▲ increased leisure time
- ▲ dynamic trade and investment
- ▲ government promotion measures, e.g. "visit years"
- ▲ relative political stability in many of the region's countries

The World Travel and Tourism Council (WTTC) estimates that regional tourism will increase by the following percentages during 1997-2007:

- ▲ Northeast Asia 52%
- ▲ Southeast Asia 103%
- ▲ South Asia 119%
- ▲ Oceania 44%

Community-based Tourism

Related to the increased sense of environmental and social responsibility in tourism plus sustainability, Community-based Tourism is also gaining popularity as part of strategies for conservation and development. Over half of the 20 projects supported by the Biodiversity Conservation Network (BCN) to implement community conservation-enterprises in Asia/Pacific region had a tourism component. Many organizations and agencies working in tourism have staff assigned to developing small-scale tourism programs that benefit local communities and natural habitats. The current interest in community-based approaches to tourism emerges from the following areas of concern.

A Rationale for Community-based Tourism

- ▲ The search for more effective strategies for conservation and development. Policies based on strict enforcement and protection to conserve natural resources have not always been successful, and neither has top down centralized decision-making and management of the development process. From an environmental and economic perspective, if local people are not involved, it is likely over time, the resources on which tourism depends will be destroyed and the investment lost (Brandon, 1996).
- ▲ A moral perspective that argues that management by local people accompanied by devolved decision-making is more preferable since it can be more accountable and sustainable in the long-term.
- ▲ In the case of tourism, another related issue that supports the interest in Community-based Tourism is the commercialization, monopolization and accumulation of benefits from tourism among relatively small numbers of beneficiaries. There has been and continues to be increasing concern that benefits be more widely distributed, especially since the costs are often borne by local communities in the form of restricted or loss of access to resources at the sites.

It is important to note that the objectives of Community-based Tourism are not always focused around natural resource conservation and linkages with economic development. Cultural conservation, community and/or gender empowerment, poverty alleviation, income generation are also primary purposes in many cases. In any intervention and planning effort, the critical issue is to be clear about the objectives, and to focus activities including monitoring and evaluation around these.

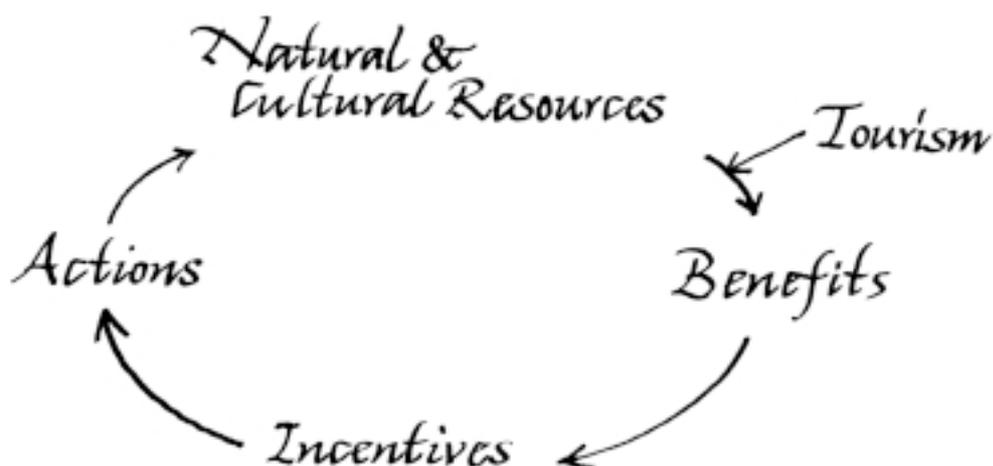
For the purposes of this Kit and this particular application of Community-based Tourism, the following assumptions have been made regarding objectives:

1. Community-based Tourism must contribute to increasing and/or improving conservation of natural and/or cultural resources, including biological diversity, water, forests, cultural landscapes, monuments, etc;

2. Community-based Tourism must contribute to local economic development through increasing tourism revenues and other benefits to community participants, and ideally to an increasing number of participants;
3. Community-based Tourism must have a level of participation (see Chapter 3 on Participation) ideally progressing toward self-mobilization, but not always necessarily so; and
4. Community-based Tourism has a duty to the visitor to provide a socially and environmentally responsible product.

The key rationale underlying the approach and objectives of Community-based Tourism for conservation and development is that Community-based Tourism through increased intensities of participation can provide widespread economic and other benefits and decision-making power to communities. These economic benefits act as incentives for participants and the means to conserve the natural and cultural resources on which income generation depends (see Figure 1.1).

FIGURE 1.1. RELATIONSHIP BETWEEN RESOURCES AND ACTIONS IN COMMUNITY-BASED TOURISM



While the focus is primarily at the community and local level, for Community-based Tourism to be successful it is important to be aware of and incorporate critical linkages with other scales and sectors of operation. Furthermore, these linkages will need to be improved in order to sustain conservation and development benefits. There may be a tendency to idealize the value of Community-based Tourism and focus on retaining and redistributing benefits entirely to the community level. Community-based Tourism cannot be seen and should not be planned in isolation from other sectors and stakeholders. The concept of comparative advantage is critical. Frequently it will not make economic and logistical sense for local communities to handle every operation and transaction in order to recoup economic benefits. Furthermore, the ability of Community-based Tourism to generate benefits is often tied into key policies that originate from a variety of sectors, e.g. government agencies handling forests, protected areas, tourism, finance, visitor permits and movements, tourism, agriculture, commerce and so on, plus international policies and treaties that influence

global currency markets, commodities and borders. Efforts to promote and support Community-based Tourism will often need to find ways to capitalize on linkages and/or change the policy framework to become more supportive.

Strategies for Community-based Tourism

Community-based Tourism can and should encompass a range of activities that collectively contribute to improved conservation and development. At one end of the range there may be community-owned and managed lands used for tourism purposes with collective decision-making arrangements over the management and development of tourism. At the other end there might be a private tour operator who has made an agreement with a group of community-based entrepreneurs to use their services and products such as guides and lodges. In some cases Community-based Tourism may be a brand new activity introduced to an area and community where an intensive planning effort is needed to identify market opportunities and options. In other cases, Community-based Tourism may focus on value-addition, building upon natural and cultural assets, to existing activities resulting in increased revenues and incomes to local communities and incentives to conserve resources. An example might be training local guides in natural history to accompany trekkers – adding value to the trek by providing local guides whose incomes will partly depend on the continued presence and conservation of the features that they are promoting. For any community or communities and practitioners, there can be a variety of options that promote the objectives of Community-based Tourism.

Since an important purpose of Community-based Tourism is to generate economic benefits, and as enterprises to maintain profitability, it is useful to consider the options in developing and marketing a tourism product as the basis for developing strategies for Community-based Tourism. In Table 1.1., four primary options, or the *Entrepreneur's Window* are outlined and a product can be located in any of the four squares of the grid. Each of the four possibilities is a different opportunity with varying degrees of business risk and potential profit associated with its development. Each option will require different strategies in order to achieve the desired results, and these will be discussed further in **Chapter 6 – Design**.

TABLE 1.1. THE ENTREPRENEUR'S WINDOW OR OPTIONS FOR COMMUNITY-BASED TOURISM

1. Existing Product/Existing Market

-this involves selling more of the existing product to the same market of consumers - getting more of the same type of customers such as independent travelers to go on an existing trek route

2. Existing Product/New Market-

this option involves finding new markets or types of consumers for the existing product – in addition to the existing customers, finding new types of customers, such as domestic visitors and groups to go on existing trek routes

3. New Product/Existing Market

this option seeks to find new products for existing customers - creating a product for the existing base of customers, e.g. new trekking options for independent travelers

4. New Product/New Market

the highest risk option, this seeks to develop new products for new customers - often the highest risk is to develop a new product and find the market for it, e.g. trekking where there has been none before

Issues in Community-based Tourism

Community-based Tourism clearly has the potential to achieve a great deal for people and environments, but as with any efforts in which there can be multiple objectives, beneficiaries and complex relationships between producers and consumers, certain key issues can affect outcomes. The following discussion focuses on a few of these issues, primarily the role of participation (also discussed more fully in Chapter 3), national and international policies and markets. This discussion is by no means an exhaustive review, but hopefully will help the reader to consider the range of factors that play a key role in Community-based Tourism.

Participation in Conservation and Development

An important objective of Community-based Tourism is to increase and improve participation by stakeholders for the reasons outlined under rationale. The ability of local people to participate actively in bottom-up, small-scale tourism development can vary considerably depending on economic, social and political relationships as well as ecological and physiographic factors found in any particular area.

Ecological and physiographic factors can limit physical access to and availability of suitable land, and natural resources. The role of economic benefits as incentives to conserve resources will depend in part of the type of ownership or stakeholding developed by participants. If local people have participated in the design of activities,

invested resources in implementation, and are able to obtain reasonable returns, the likelihood of their participating in and supporting conservation efforts increases (see also Chapter 3 on Participation). If the distribution of benefits is such that most participants are employees for whom tourism provides an unreliable and poor source of income, the linkage between tourism and the need to conserve resources is weaker than where tourism provides a reasonable income to owners of enterprises or where as employees they still have a role to play in decision-making over natural resource management. In its review of conservation-linked enterprises, including tourism, the Biodiversity Conservation Network (BCN) emphasized the critical role that ownership and the type of participation by potential beneficiaries has in determining the degree to which both conservation and development objectives can be met.

For entrepreneurs and participants to undertake and continue conservation actions that support their livelihoods, it seems critical that they have some level of decision-making power over the resources in question. It appears that unless this is possible, economic benefits from an enterprise are unlikely to provide effective incentives to conserve. Where such arrangements exist, they have the potential to provide a good foundation for achieving Community-based Tourism objectives. But if they are not present, does this mean that promoting Community-based Tourism for conservation and development is not worth it? Perhaps not, since the value of the income-linked approach to conservation, especially tourism, lies in introducing the concept as part of a long-term strategy to support conservation, and one that implies greater participation by key stakeholders in natural resource management. However, interventions such as Community-based Tourism can engage stakeholders in a debate over the value of biodiversity in national economies and the most efficient way this can be conserved.

BOX 1.2. DEVELOPING A NATIONAL COMMUNITY-BASED TOURISM STRATEGY (from Sproule, 1997)

The impact of an enterprise on the competitiveness of the national tourism market is important for tourism officials to gauge. Analysis can take the form of three questions:

1. Does the enterprise expand the capacity of the tourism sector, particularly for priority, up-market, overseas tourists?
2. Does it diversify the national tourism product, by adding elements of eco-ethical, wilderness, cultural, or adventure tourism? And,
3. Does it increase the geographical spread of tourism facilities around the country?

As the long-term competitiveness of many national tourism sectors depends on a sustained natural and cultural resource base, concern with encouraging conservation is also a key component of this objective of strengthening the national tourism product. Research has shown that enterprises that contribute to economic growth, welfare and equity on the community level, can result in public and political support for the sector being generated in the long run.

Expanding community benefits from tourism will depend on many factors, including: expanding the information and ideas that community groups and tourists have access to; adequately assessing the viability of different ecotourism ventures in regional and national tourism markets; improving the legal rights that communities have, particularly with regard to revenue sharing and concession arrangements; addressing issues of land tenure; and providing the institutional and financial resources necessary to advance community-based ecotourism enterprise development. Each of the above issue areas will vary over time and place, but certainly can be affected by a broadly designed national community-based ecotourism development strategy.

Five broad areas for a National Community-Based Ecotourism Development Strategy to address include:

1. Mechanisms for communities to directly benefit from ecotourism revenues.
2. The development of financial and legal mechanisms to facilitate, not constrain, community-based ecotourism development.
3. Improved information and communication within and between the community-based ecotourism sector and other sectors of the industry.
4. Continued pursuit of the ecotourism market nationally, while striving to improve standards and criteria for services that are at the cutting edge of this demanding market.
5. Develop support institutions for education and training and other forms of skills development within rural communities that will facilitate their full participation in the industry

National and International Events and Policies

Often in Community-based Tourism the locations are remote and subject to national policies regulating access by foreigners as well as domestic visitors. Thus while initial assessments show considerable potential as tourism destinations, there may be regulations that restrict access by numbers and by seasons. Regulations that can affect Community-based Tourism planning include the need to get permits (where from, when, fees, advance notice, maximum number), requirements for government liaison officers and booking through agencies, compulsory foreign exchange by foreigners and so on.

International policies and actions have complex linkages with the visitor to a protected area and the local entrepreneur. Political instability can affect the volume of visitors: civil war in Rwanda stopped tourism to Parc National des Volcans to view gorillas; and the popularity of South Asian destinations suffered as a result of the Gulf War in 1991.

Structural changes in several developing country economies brought about by international lending policies have led to the revision of fiscal policies. Subsequent changes in currency rates and regulations can influence the spending habits and activities of visitors, especially those not tied to a pre-paid visit. With tour operators invariably demanding payment in the visitor's country of origin, the benefits to national economies can vary considerably. While detailed data on the proportion of tourist expenditure retained in the country of destination are not available, estimates suggest that this could vary from 10%-40% depending on the country and facilities available (Ziffer, 1989; Lindberg, 1991; IRG, 1992:). Where international tour operators are unable to contract ground services to in-country operations or do not employ residents of that country, the amount retained in the destination is obviously lower than if this was not the case.

In the Asia/Pacific region there is a tendency, particularly for developing countries within the region, for ecotourism and nature-based tourism activities to be dominated by larger operators and/or those in regional or national centers. This results from economies of scale, differential access to capital and the tendency of entrepreneurs with the necessary skills, such as languages, to be located in such centers. Larger operators can, however, play an important role acting as intermediaries between consumers and small local operators, providing skills and covering costs that smaller operators cannot. The trick is to find and capitalize on ways that greater economic benefits flow to communities at the sites visited, but recognizing the role of larger players.

A useful framework to explore the wider context of Community-based Tourism is the **market-chain**. The market-chain in tourism development follows the product or package from the place of production (often the tourist destination) to the ultimate

customer. For Community-based Tourism, the concept and process are critical since it places many of above factors in a broader, marketing context, and allows for more realistic assessments of the viability of Community-based Tourism products and activities. Furthermore, a market-chain shows the linkages between actors in Community-based Tourism and their respective functions, as well as opportunities for interventions.

Analyses such as the market chain also highlight the extremely important role of strategic alliances in successful Community-based Tourism; between communities, NGOs, government agencies and the commercial private sector. It is through mutually beneficial relationships and alliances that participants can efficiency in their operations and lobby for enabling policy environments that support Community-based Tourism in the long-term.

Summary

Tourism based on an area's natural and cultural heritage is one of the fastest growing sectors in the tourism industry. More recently tourism that seeks to be environmentally and socially responsible is not only an ethical option for customers, but is also part of good product development and marketing. Community-based Tourism with a focus on small-scale, locally designed and operated activities that benefit client, provider and the environment can be part of a strategy for sustainable development. However, the viability of such activities needs to be assessed in the context of wider policy frameworks and the complex national, regional and international markets.

Case Study

The Koroyanito Development – Fiji

(summarized from the Proceedings – Ecotourism for Forest Conservation and Community Development, 1997)

This example from Fiji has been chosen to highlight the linkages between conservation, economic development and participation in Community-based Tourism products. A key feature in this case was the nature of participation where there appeared to be considerable power held by local communities in the development and management of the tourism product.

As part of the management strategy for Koroyanitu National Park in Fiji the following activities and organizations were established.

Village Ecotourism Co-op Society Limited - Each village with an ecotourism facility established their own Ecotourism Cooperative Society Limited, with the main objective to “establish and manage projects in such a manner, which maximizes benefits to the community and ensures equal opportunities for all”. Membership is

restricted to landowning units on the basis of the amount of their land included in the project area and villagers who earn their share through direct involvement and/or capital contribution.

The first criterion provides an incentive for landowning units to dedicate as much of their land as possible and discourage poor practices, which may disqualify a parcel of land. The second provides for allocation of equity, distribution of benefits, commensurate with one's contribution to the project.

The feature to note here is who owns the land that is to be conserved and serves as an attraction. With local ownership, the economic incentives to conserve are much stronger since local people who derive economic benefits also make the decisions on land management.

Koroyanito Development Trust (KDP) – All landowning villages agreed to establish the KDP and the objectives were to:

- ▲ ensure the protection and integrity of the natural and cultural heritage within the national park
- ▲ facilitate efficient and controlled flow of visitors to facilities
- ▲ award contracts and approve participation
- ▲ hold shares in Fijian Vanua Tours Inc.

An institutional arrangement was established to manage conservation and development activities associated with the site.

Fijian Vanua Tours Inc. (FVTI)

The objectives of this entity are to:

- ▲ promote participation in the protection of their natural and cultural heritage
- ▲ secure funding for the establishment of ecotourism facilities and other activities which lend to sustainable development
- ▲ conduct relevant training and development programs for owners
- ▲ provide management and technical assistance to Village Tourism Cooperatives
- ▲ hold shares in Fijian Vanua Tours Limited on behalf of accredited facility owners

Fijian Vanua Tours Limited

This entity is a limited liability company designed to:

- ▲ promote Koroyanitu as a desirable ecotourism destination
- ▲ facilitate efficient and controlled flow of visitors to FTVI facilities
- ▲ set and enforce standards
- ▲ approve accreditation
- ▲ generate income

Participation is restricted to two parties - 50% for FVTI and 50% for a private investor who can inject expertise and capital to ensure survival in the tourism industry.

Both of the above entities serve to increase participation in tourism and related activities from deriving economic returns to quality control to market and product development.

Achievements

Education - participation in business management and tour guiding courses

Women's participation - active club that makes and sells handicrafts

Environmental protection - logging has not been reintroduced, area set aside for tree nursery, enrichment planting in previously logged areas

Income - project earned in 1994 the equivalent of the entire communities yearly income before the project, two thirds was retained in the village

Capital additions and improvements - in 1994 another accommodation facility designed especially for school groups who want to camp in the park during field trips. Education groups have regularly used this facility.



CHAPTER 2

Appreciative Participatory Planning and Action – An Introduction

Appreciative Inquiry seeks out the very best of “what is” to help us jointly imagine “what could be”

Introduction

The Mountain Institute (TMI) has developed and piloted an approach to planning and management that combines the framework of Appreciative Inquiry and the tools of Participatory Learning and Action (PLA) into Appreciative Participatory Planning and Action (APPA). As a methodology, APPA's objective is to find and emphasize the positive, successes, and strengths as a means to empower communities, groups, and organizations, to plan and manage development and conservation. The purpose of this chapter is to provide a brief introduction to the planning approach, to highlight its principles and guiding themes. This chapter is divided into four sections:

- 1) A short review of Appreciative Inquiry and Participatory Learning
- 2) A description of the key and guiding principles in APPA
- 3) A discussion of applications of APPA in Community-Based Tourism
- 4) A case study where APPA was used to guide Community-Based Tourism development

Appreciative Inquiry and Participatory Learning

Appreciative Inquiry

Development planning has traditionally focused on problem solving and/or a needs driven approach. As a result we, as practitioners, have become experts at problem identification and finding the causes of failure, as well as the search for external resources to address these problems. We often think of those we work with and places where we work as being **needy, but with nothing to contribute**: *“She is an abandoned wife. She needs education, loans and a profession”*. In the same way we look at organizations and situations as “problems to be solved”. We become great problem solvers, but at the same time lose the capacity to envision and create better

worlds. In some cases, we can become so overwhelmed by problems that we begin to believe things will never get better.

Asset-building approaches, such as Appreciative Inquiry, focus on valuing the skills we have for we all have skills, and the factors that motivate individuals and groups to success; to focus on as identifying and releasing individual and group capacities. Such an approach asks us as individuals, groups and organizations to seek out the very best of “what is” to help us imagine “what could be.” Furthermore, the approach seeks to mobilize resources, capacities and skills from within the participants involved to achieve “what could be.” The aim of Appreciative Inquiry is to generate new knowledge that expands the “the realm of the possible” and helps people to envision a collectively desired future and to design improved systems and processes that successfully translate their intentions into reality and their beliefs into practice (CRWRC, 1997). So in Maya’s case from above *“She is Maya. She is a great cook and learns quickly. She can teach cooking to lodge operators. She will benefit from training on how to teach”*.

Appreciative Inquiry has its roots in organizational development and strategies that help organizations transform themselves. It has traditionally been used as an approach to organization analysis, learning and development that is uniquely intended for discovering, understanding and fostering innovations and transformation in human/social systems. Although its origins are in academia, organizations throughout the world are applying and using the approach and there is a considerable body of literature covering its organizational applications and impacts.

Our application of Appreciative Inquiry is in planning and managing conservation and development programs and activities; to provide an additional approach that helps motivate people to plan and manage a collective vision of the best possible future. Our lives and environments become opportunities and possibilities for a desirable future rather than problems to be overcome. This is not to say that problem-solving is an irrelevant approach, but that it can be supplemented by other planning models that can also produce results.

The focus of Appreciative Inquiry is “doing more of what works”

The focus of problem-solving is “doing less of something that we do not do well”

BOX 2.1. BUILDING UPON WHAT WORKS

A Senior Manager at GTE described Appreciative Inquiry and cautioned the group that he wasn’t advocating mindless happy talk. But he asked them, when you get a survey that says 94% of you customers are happy, what do you automatically do? You probably interview the unhappy 6%, instead of asking the 94% what we did to make them happy.

Underlying the process of Appreciative Inquiry, are key assumptions and themes that guide practitioners and participants. Each of the Assumptions below, while apparently obvious and reasonable, plays an important role in the process of Appreciative Inquiry. For example, if as a facilitator you accept the assumption “The act of asking questions of an organization or group influences the group in some way” then you have to throw out the idea of yourself as a neutral observer. Your very presence affects the group in some way.

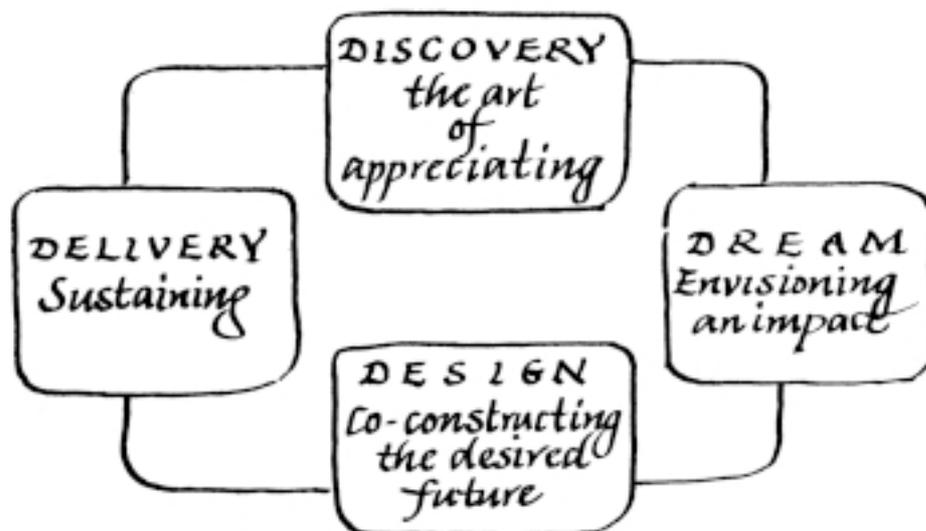
BOX 2.2. ASSUMPTIONS

- ▲ In every society, organization or group, there is something that works
- ▲ What we focus on becomes reality
- ▲ People have more confidence and comfort to journey to the future (the unknown) when they carry forward parts of the past (the known)
- ▲ The act of asking questions of an organization or group influences the group in some way
- ▲ If we carry parts of the past forward, they should be what is best about the past
- ▲ It is important to value differences
- ▲ The language we use creates reality

Another key principle of Appreciative Inquiry is the focus on **collective** inquiry and action, the collective discovery and valuing of skills, resources and capacities and the collective visioning of what might be and is possible and how this can be done. By continuously asking the questions – What makes our working together possible? What allows us to function at our best? What possibilities await that will allow us to stretch beyond where we currently are to reach higher levels of achievement – an organization or community allows its creative capacities to be released and valued.

A common framework for using Appreciative Inquiry to plan for action is the “4-D” model, of *Discovery, Dream, Design and Delivery*. In the application of APPA this cycle has been adapted for the purposes of community planning and action.

FIGURE 2.1. THE CYCLE OF DISCOVERY, DREAM, DESIGN AND DELIVERY



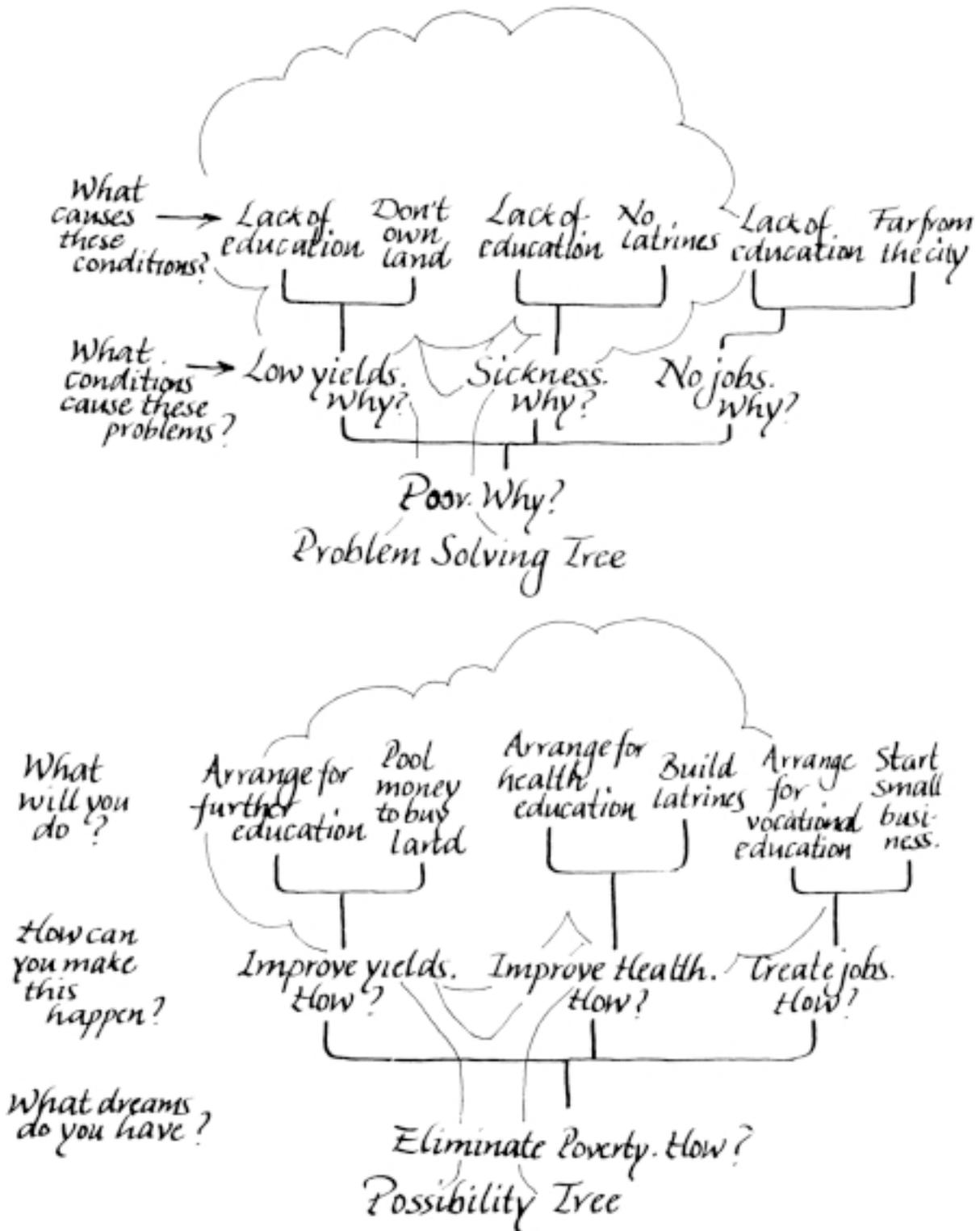
1. *Discovery*, the act of appreciating – The best of what is, what gives life to this community, group, organization
2. *Dream*, envisioning an impact – What might be, creating a positive image of a preferred future
3. *Design*, co-constructing the desired future - What should the ideal be, a process of dialogue, consensus and further inquiry
4. *Delivery*, sustaining – How to empower, learn, adjust and sustain

The construction and use of *Provocative Propositions* are also a key feature of Appreciative Inquiry. A provocative proposition is a statement in the present tense that describes the best of “what might be” based on all of the knowledge about the best of “what is”. It is provocative to the extent that it stretches the realm of the status quo, challenges common assumptions or routines and helps to suggest real possibilities that represent desired possibilities for the group or community. For example:

The community of XXXX will all contribute XX rupees annually to a community fund that will support conservation activities in the village forests.

A useful way of summarizing the Appreciative Inquiry approach is shown below in the comparing the *problem-solving tree* with a *possibility tree*. The cause-and-effect relationships that are identified in a possibility tree may be exactly the same as a problem tree. But the process of creating the possibility tree is more likely to get a community or group excited about the future and the role that they can play in realizing that future.

FIGURE 2.2. PROBLEM-SOLVING TREE AND POSSIBILITY TREE



Participation and Participatory Learning

The interest in small-scale, participatory approaches has emerged from dissatisfaction with mainstream development models characterized by authoritarian, top-down policy initiatives in which economic growth is pursued at considerable environmental and social cost. In many developing countries this mainstream has tended to be comprised of large-scale state involvement with unplanned injections of free-market policies. Critics point to centralized, bureaucratic arrangements that have not only been inefficient and inept, but also unresponsive to the problems and needs of individuals, especially the poor and powerless. In the case of biodiversity conservation this failure is particularly relevant as critics point to the links between the constraints of poverty and patterns of resource use that result in environmental degradation. It therefore comes as no surprise that over the last two decades academics and practitioners have been exploring ways to overcome the shortcomings of previous policies, and that strategies of empowerment are gaining in popularity.

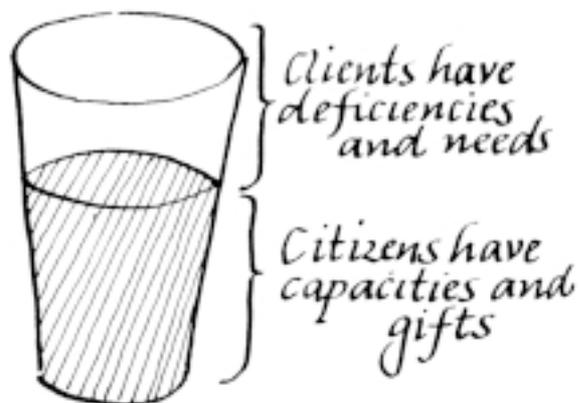
The primary aim of participatory strategies, whether popular, local or community, is that local people become active subjects of the development effort rather than passive recipients. More specifically, the concept is related to the active involvement of local people in the choice, execution and evaluation of projects and programs designed to raise their living standards. This shift requires devolving political power from centralized systems to smaller units, the purpose being to relocate decision-making, empowering members of local communities and giving them ultimate control over the development process. Critical to this “people-centered” approach is the idea that the operations of production are scaled down, thereby encouraging activities and programs where benefits accrue to community members and are not appropriated by large-scale operations. Participation thus allows local people to identify opportunities as well as problems, making use of valuable local knowledge and skill to mobilize local resources and support. Given opportunities for a wide range of interests to influence the decision-making process in favor of popular needs and aspirations, proponents argue that more balanced and equitable patterns of development will occur.

Critical tools and activities in the participatory process now include the use of Participatory Rural Appraisal (PRA) and Participatory Learning and Action (PLA) methodologies and their modifications. The focus of these approaches is generate common understanding and shared learning through a process of interactive learning by all participants (see Chapter 3 on Participation). PLA tools, such as key informant interviews, group discussions, problem-ranking exercises, sample surveys, social mapping and so on are used increasingly to generate information which is subsequently incorporated into the design and planning of projects. Recent innovative projects, such as the World Bank supported India-Ecodevelopment initiative, used PRAs to develop an Indicative Plan for eight protected areas. The project subsequently used topical PRAs as the basis for developing reciprocal agreements of action and responsibilities between the local stakeholders who include local people, NGOs and protected area authorities.

Appreciative Participatory Planning and Action

APPA combines the Appreciative Inquiry framework with traditional participatory learning methods and a planning and management process based around “*Discovery, Dream, Design and Delivery.*” During this process participatory learning both generates information and is an empowering activity for all participants. This alternative promotes policies and activities based upon the capacities, skills and assets of participants and which are creative and innovative. Our starting point is that the glass is half full and not half empty.

FIGURE 2.3. A GLASS HALF EMPTY OR HALF FULL?



Principles of Appreciative Participatory Planning and Action

- ▲ Principle 1 – Success Factors - Focus on finding and building upon the root causes of success and motivation among participants as individuals and groups. Appreciative Inquiry uses a planning and management cycle of *Discovery, Dream, Design* and *Delivery* that builds upon those capacities, resources and life-giving attributes that we value. As a starting point, we typically seek to discover and record the skills and assets of who we are and where we work and live:

*Find a success story of local enterprise and conservation work
Community working together for a shared vision
Strengths, successes; things people feel proud about*

Based on these values and assets, Appreciative Inquiry also asks us to build dreams of what we want for our communities, our environment, and ourselves. Challenging but realistic dreams are important since they guide and inspire the design of our actions, motivate and excite us, and are more likely to lead to successful delivery of the possible.

- ▲ Principle 2 – Participatory Learning - As a process, APPA builds upon the practice of PRA, PLA and group dynamic disciplines that have influenced rural development over the past 20 years. The philosophy and practice of participatory learning as part of sustainable development is critical to APPA since participation empowers people through acquiring and affirming knowledge, and through building ownership of jointly planned actions. Traditional PLA tools have been modified to help investigate the above questions, and to guide the planning and management process. Examples include, trend lines of attributes such as garbage, wildlife sightings, forage availability, forest cover, etc. are projected to 10-20 year horizons, schematic maps of future community and natural resources status, mapping of current and potential ecotourism resources, ranking of ecotourism attributes, e.g. sites, services, etc. A similar approach is adopted during the evaluation of community conservation and ecotourism activities, when the focus is on “What worked well, and what needs to be improved”.
- ▲ Principle 3 – Sustainability – The combination of principles that build upon and mobilize participants’ skills, resources and active participation help ensure sustainability of the approach and the resources and communities for which actions are planned. The process is very much one of finding and implementing actions to address opportunities and issues, as it is one of building local capacities to continue learning and taking increasingly active roles in decision-making.

What we have found is that Appreciative Inquiry provides a visionary framework for planning and action, and makes PLA tools even more informative, effective, and empowering.

APPA and Community-based Tourism for Conservation and Development

Tourism is an industry that primarily focuses on attracting visitors to a product or series of products. Frequently these products are based around assets, such as scenery, natural features, cultural features and events and so on. In efforts to promote community-based tourism for conservation and development, the appreciative approach combined with the empowering nature of participatory learning, appears to have significant value and relevance for practitioners and participants alike. APPA provides a planning and management framework that gives participants:

- ▲ The opportunity to turn attributes and assets into attractions;
- ▲ The basis for developing marketing objectives and strategies that are critical to the success of Community-Based Tourism ;
- ▲ Opportunities to build skills for conservation and development;
- ▲ Building local capacities to plan, assess and implement tourism activities; and
- ▲ Opportunities to look for sustainable linkages between conservation and economic development in empowering ways

The following case study from the mountains of India shows how APPA was used to guide a Community-Based Tourism planning process. In the outline, we have highlighted the outputs of each phase along with the PLA methods used to generate common understanding and shared learning. While the approach was empowering, the lack of a clear marketing strategy for village-based activities meant that incomes did not grow to the extent envisioned.

Case Study – Sikkim Biodiversity and Ecotourism, Yuksam Village

The Opportunity – to promote Yuksam-based activities as a way of increasing local incomes from tourism and generating incentives to conserve the resources on which incomes depend. The opportunity and constraint lay in making effective linkages with the larger trek operators who bring clients to the area, and encouraging them to make use of the new activities.

Discovery – identifying and valuing current assets and strengths

Positive attributes identified, mapped and discussed by villagers:

- ▲ Lots of greenery
- ▲ Community unity seen in actions to help others
- ▲ Meeting tourists from many different countries
- ▲ Fresh air
- ▲ Dense forests
- ▲ Yuksam is the first capital of Sikkim
- ▲ Historical importance of Yuksam

Learning tools used – group and individual ecotourism resource maps, paired-interviews, group brainstorming

Dreams – based on the outputs of Discovery developing a vision of tourism and conservation for 10 years

into the future, three best wishes for tourism and conservation in Yuksam.

What would you like to see in Yuksam ten years from now:

- ▲ More forest cover
- ▲ More tourists in Yuksam
- ▲ No litter in Yuksam and along the trails
- ▲ Local conservation groups or NGOs
- ▲ More income from tourism
- ▲ Yuksam as a “little Switzerland”

Learning tools used – group future maps, group brainstorming

In terms of developing Community-Based Tourism products the dream of more tourists can only take place through identifying a target market, building up the attractions and promoting the overall product through the right market channels. Similarly the dream of more income from tourism can only take place through identification of potential target customers, viable enterprises, value-additions through skill development and capital investments, and the community structures to support the process

Design – Developing a joint vision and plan

The next phase was to generate some of the information needed to design a plan for achieving the common dream, one that was inclusive of participants' aspirations, and more focused on the issue of increasing income from existing tourists. Through exercises, such as pair-wise ranking, participants compared levels of revenue from various tourism enterprises as well as preference and availability of fuel wood, fodder and timber species.

A preliminary report was prepared by participants and included:

- ▲ A listing of environmental and community attributes
- ▲ Ecotourism resources maps
- ▲ Local stories about sites and history
- ▲ Maps and analyses of the availability and use of forest resources
- ▲ Socio-economic analyses of tourism benefits

The final step was to identify actions to be taken in the next three to six months that would start to deliver the vision. Thus, in addition to the report, specific outputs from the planning exercise included a set of actions to be undertaken immediately at the end of the exercise, and in the following four to six months.

Delivery – Empowering adjusting and sustaining through activities

- ▲ Village beautification activities, e.g. planting of native tree species, clean-up campaigns.
- ▲ Training courses for lodge-operators, naturalist guides
- ▲ Collection of material to be used for a promotional brochure about Yuksam and its attractions

In addition to the activities identified in May 1996, in October 1996, 28 village members organized their own clean-up campaign of the major trekking route, generating a small initial amount of funds for further activities through recycling bottles and tins. Furthermore, in October 1996 local residents decided to form a community-based NGO to work on conservation and tourism issues. In June 1997, the Khangchendzonga Conservation Committee was formally registered and has been active since.

In December 1996 a participatory evaluation of activities since May was conducted and a plan developed for 1997. Participants assessed activities thus far and their impacts in terms of objectives through ranking exercises, and through documenting stories of community action in conservation.

Comment

However, a clear marketing strategy for the new activities was not adequately developed, and as a result incomes from new activities did not achieve the levels expected. Who really were the potential customers and were there activities to capture this segment? The marketing chain with other key actors was not fully explored, and links with the trek operators not fully developed in ways that were mutually beneficial for villagers, visitors and operators. The product was not fully integrated into the financial planning of trek operators who get bookings months in advance. As with many community-based activities, the working assumption was that the intention and ideas were good enough. Later activities such as naturalist guide training did focus on marketing services to trek operators, making the links with other guides and targeting non-group visitors through local advertising.



CHAPTER 3

Participation

Introduction

Over the past three decades there has been a rapid expansion of new participatory methods, especially in the context of sustainable development. The idea of participation is not without a considerable history, and while contemporary concepts may have specific foci such as the poor and powerless, they all draw on a considerable legacy of ideas and practical agendas including action research and adult education. In the wider thrust of development programs and initiatives, the primary aim of participatory strategies, whether popular, local or community, is that local people become active subjects of the development effort rather than passive recipients. More specifically, participation is related to the active involvement of local people in the choice, execution and evaluation of projects and programs designed to improve their well-being. Some of the resulting changes are notable. In government and non-government agencies, the more extractive approach to research is being complemented, even replaced, by mutual learning with local people. Participatory methods are leading to more equitable flows of information between the range of participants in the development process and a greater role for previously marginal groups in critical decision-making processes.

The aim of this chapter is to provide a brief introduction to key features of participation, to highlight its principles and guiding themes, different intensities of participation and their potential application in Community-based Tourism. The chapter is divided into four sections

- 1) Participation and its Principles
- 2) Intensities of Participation
- 3) Application of participatory approaches in Community-based Tourism
- 4) Participatory Learning

This chapter owes a great deal to the work of Pretty et al., (1995), which the reader is strongly encouraged to consult, along with the large and growing body of literature on participation. This chapter merely serves to place the “participation” objective of Community-based Tourism in a broader context. As readers and users of this Kit, you will find yourself referred to as participants, facilitators and practitioners in participatory processes. Participants are all the parties involved in the process of

planning and management. Facilitators are those that aid the process and these may be development workers, government agencies and so on. Practitioners are those persons who are actively involved in participatory processes not just as facilitators but as technical assistance, advisors, etc.

Common Principles of Participation

Within the development world, the active involvement of people with each other in different institutional contexts has promoted innovation. Although there are many variations of participatory learning methods, e.g. Participatory Rapid Appraisal (PRA), Rapid Rural Appraisal (RRA) and so on, most share common guiding principles:

- ▲ *A defined methodology and systematic learning process* - The focus is on cumulative learning by all participants including professionals, trainees and local people. This point should not be forgotten - all participants have something to offer and learn.
- ▲ *Multiple perspectives* - A key objective is to seek diversity rather than to simplify complexity. This recognizes the fact that different groups make different evaluations of situations leading to different actions. Everybody has their own interpretation, bias and prejudice which implies that there are multiple possible descriptions of any real world activity. Everyone is different and important.
- ▲ *Group learning process* - Everybody recognizes the fact that the complexity of the world can only be revealed through group interaction and analysis, hence it is an overall learning process.
- ▲ *Context specific* - The approaches are flexible enough to be adapted to suit different conditions and actors and therefore have multiple variants.
- ▲ *Facilitating experts and stakeholders* - The methodology involves trying to improve participants' situations by transforming existing activities. The role of the external expert is seen as helping people carry out their own learning to achieve goals and objectives. Similarly, participants are encouraged to act as facilitators of other peoples' learning especially when they are out in the field.
- ▲ *Leading to change* - The participatory approach leads to debate about change, and the debate subsequently changes the perceptions of the actors. As a result of joint interaction and analysis the changes become defined, bring about improvement and seek to motivate people to take action to implement the defined changes. This action includes local institution building or strengthening, thus increasing the capacity of people to initiate action on their own in the future.

Types of Participation

It is often easier to think of participation as a continuum rather than discreet types with defined boundaries of description. The process of learning and decision-making may vary for sub-groups in a community, and for different conditions and combinations of participants. However, having stated the real practical nature of participation, it is useful to be able to distinguish broad categories of participation

types. In Table 3.1., seven types of participation are described ranging from passive to what many practitioners consider the most active. It may not be possible and wise to immediately start with the most active – this requires trust, capacity growth and resources. Great care must be taken when both using and interpreting the term participation – the term has different meanings for different people, and clearly different outcomes when implemented. As planners, facilitators, implementers, managers and so on, the reader is advised to look at the value of each broad type and discuss the merits of each with participants in the conservation and development process.

TABLE 3.1. A TYPOLOGY OF PARTICIPATION

Passive Participation	Participation does not take the responses of the participants into consideration and where the outcome is predetermined. Information shared belongs only to external institutions.
Participation in Information Giving	People give answers to questions where they do not have the opportunity to influence the context of the interview and often the findings are not shared.
Participation by Consultation	People are consulted and their views are taken into account. However, it does not involve their decision-making.
Participation for	Participation involves people taking incentives in Materials and Incentives cash or kind for their services provided. In such cases the disadvantage is that there is no stake in being involved once the incentives end.
Functional Participation	Participation occurs by forming into groups with predetermined objectives. Such participation generally occurs only after major decisions have been already taken.
Interactive Participation	People participate in information generation and its subsequent analyses that lead to action plans and implementation. It involves different methodologies seeking various local perspectives thereby involving people in decision-making about the use and quality of information.
Self Mobilization	Being independent of any external interventions, people participate and take initiatives to change systems. They develop contacts for external inputs, but retain control over the way resources are managed.

(Source: Pretty et al.,1995)

Types of Participation in Community-based Tourism

In Table 3.2., examples of different types of participation in tourism are given. The list is by no means exhaustive, and the reader is encouraged to make full use of literature and the electronic media to explore programs and activities in Community-based Tourism throughout the world. Again the point that needs to be remembered is that participation is not a one-way process, but a mutual learning and action experience for all concerned including professionals, academics, facilitators, government officials, entrepreneurs and local communities.

Examples of Participation in Community-based Tourism

- ▲ **Participation in sharing economic benefits** – In this case the distinction is made about the degree of decision-making in the choice of economic activity that generates the benefits. The primary difference between this type and “initiating action... ownership” is that participants have little or not say in the choice of activity.
- ▲ **Participation in planning** – Participants play an important role in the generation of information, its analyses and subsequent use, i.e. in the learning and planning process. A critical aspect for Community-based Tourism is participation in assessing options and their economic and conservation feasibility.
- ▲ **Participation in implementation and operations** - Community-based Tourism requires implementation structures and arrangements to conduct activities. Participants play a key role in implementing activities, setting up institutional arrangements and in enterprise operations.
- ▲ **Participation in decision-making and management** – Participants play key roles in the choice, design and management of Community-Based Tourism, including tourism enterprises, conservation activities and monitoring and evaluation

TABLE 3.2. EXAMPLES OF PARTICIPATION IN LOCAL NATURE TOURISM

Approaches and Modes	Example Activities	Site Examples
<p><i>Beneficiary</i> -Local people receive a share of benefits generated</p>	<p>Recipients of portion of entrance fees, employment, sales of goods e.g. handicraft, food</p>	<p>Monarch, Mexico (Brandon,1996);Luangwa, Zambia (Lindberg & Huber, 1993, Costa Rica (Kutay,1991)</p>
<p><i>Participatory</i> - includes <i>Beneficiary</i> and local people involved in;</p> <ul style="list-style-type: none"> - information gathering and sharing - evaluation of project activities - consultation in planning and implementation - decision-making in project design and implementation - initiating action : identifying needs and self initiated response, self initiated reponse ownership <p><i>Co-management</i> -local people have decision-making power in protected/natural area management and economic development</p>	<p>Participatory learning, public meetings work-shops, committees</p> <p>Participatory learning, use of participatory indigenous indicators</p> <p>Public meetings, committees, feasibility assessments</p> <p>Local representation in official committees, local institution building reciprocal agreements, enterprise identification and management</p> <p>Cooperative enterprises, establishing facilities, regulations on resource use-including businesses, profit sharing and management</p> <p>Representation in officialprotected area management, veto power in decision-making structures, strengthening indigenous systems of resource management</p>	<p>ACAP, Nepal</p> <p>Khao Yai, Thailand (Wells et al. 1990)</p> <p>Amboseli, Kenya (Wells et al. 1990)</p> <p>Beza Mahafaly, Madagascar (Wells et al. 1990), Fiji (see chapter 1),</p> <p>BOSCOSA, Costa Rica (Wells et al. 1990) ACAP, Manatee Reserve, Belize</p> <p>ACAP Panama</p>

1. Since Community-based Tourism for Conservation and Development was not stated as an objective of these projects and programs, another term “Local Nature Tourism” is used to describe tourism based on natural resources but which also seeks to generate economic benefits for local communities through participatory processes.

Participatory Learning

The motivation and mechanism of learning are critical aspects of participatory approaches. Participatory approaches ideally build upon those methods that work best, get people excited about their knowledge, skills and experience and provide a lasting learning experience. At the heart of any participatory learning and action lies the art of good interviewing and discussion. Semi-structured interviewing (discussed below) is the critical tool used in verbally-oriented methods of learning. Later innovations in participatory learning have supplemented this method with techniques and tools that help participants visualize their understanding and learning, e.g. diagrams, maps, etc. Interviews and discussions with individuals or groups help engage participants in a dialogue and can result in a variety of visual outputs, such as maps, transects, time lines, calendars and so on, that help generate common understanding and aid participatory planning and management processes. In this section, there are brief introductions to semi-structured interviews, group discussions, observation and brainstorming all of which are critical to participatory learning. The use of more visual learning techniques which incorporate interviewing and discussion are shown throughout the 4-D planning cycle and in Appendix II.

Semi-Structured Interview

A critical skill and tool in participatory approaches is sensitive interviewing that is non-threatening and interactive. The most widely used technique in participatory approaches is the Semi-Structured Interview.

“Semi structured interviewing is a guided conversation in which only the topics are predetermined while the new questions or insights arise as a result of the discussion and visualized analyses” (Pretty et al., 1995)

Semi-structured interviewing may appear informal and conversational, but experienced facilitators will tell you that it is a well-defined systematic activity, with a set of clearly defined goals and guidelines. While the style of questioning is critical, other important factors include the context in which the interview takes place, who carries out the interview, how it is conducted and when and where it is done. Effective interviewing also involves interviewees passing questions to the interviewers. Semi-structured interviews differ markedly from formal survey interviews, and good interviewing skills will only come with plenty of practice and constructive feedback from colleagues.

Semi-structured interviewing does not involve formal questionnaires. Instead the interview makes use of a flexible topical guide to help ensure that the interviews stay focused on relevant issues, while remaining conversational enough to allow participants to introduce and discuss issues that they also consider relevant.

Interviews can be conducted with:

- ▲ **Individuals** from the community to learn about their own situation in detail, to discuss issues which would be difficult to address in group situations and to reveal their personal perspective on particular topics.
- ▲ **Key informants** i.e. people with special knowledge or people who can represent a particular group or viewpoint more elaborately.
- ▲ **Groups** either randomly encountered or systematically selected to allow a focused discussion of a particular issue.

BOX 3.1. GUIDELINES FOR SEMI-STRUCTURED INTERVIEWING

- ▲ Begin with traditional greetings, mention your purposes and state that you are here to learn
- ▲ Prepare and work as a team
- ▲ Use a checklist or interview guide.
- ▲ Be sensitive and respectful to everyone involved.
- ▲ Begin the questioning by referring to someone or something visible.
- ▲ Conduct interview informally mixing questions with discussions.
- ▲ Be open-minded and objective.
- ▲ Let each team member finish his/her line of questioning (don't interrupt).
- ▲ Listen and learn.
- ▲ Ask open-ended questions using the Six Helpers (Who? What? Why? When? Where? How?)
- ▲ Avoid questions that answer with a "Yes" or "No".
- ▲ Probe responses carefully and remember to record the observations fully.
- ▲ Verify through cross checking, e.g. observation
- ▲ Individual interviews should be no longer than forty minutes.
- ▲ Group interviews should be no longer than two hours.
- ▲ Judge responses carefully, are they fact, rumor or opinion

(Source: Pretty et al., 1995)

Group Interviews and Discussions

Group interviews and discussions are best done on selected topics. Interviews and discussions while needing to appear somewhat informal, will have to be systematically conducted so that confusion and conflict remains minimal. Group discussions can be conducted with interest groups or other groups of the local community. There is an advantage to working with groups as participants can approach a situation quickly from different perspectives; carefully monitor each other's work and carry out several tasks simultaneously. Group interviews can be productive and powerful when functioning well, but will depend greatly on the facilitator's skills. Ideally, the overall performance and output of the group should be greater than the sum of its individual members.

As with individual semi-structured interviews, group sessions do not involve formal questionnaires, but instead make use of a flexible interview guide. Games and energizing exercises are helpful to enhance learning, as well as to increase the energy level when it is low. The main emphasis is on creating an environment in which the individuals and groups feel free to experience, reflect and change. Games help to break the monotony of the sessions, stimulate the flow of communication of the participants and encourage everybody to participate actively.

At the conclusion of the group interview make sure that time is left for reflection during which the most important lessons are learnt. Little reflection and too much action will leave the participants confused and frustrated.

BOX 3.2. TIPS FOR GROUP INTERVIEWS

- ▲ Select times and locations when the group interviews are less likely to cause disruption to local activities.
- ▲ Prepare a checklist for interviewing
- ▲ Select participants who are willing to give time to participate and are willing to provide a wide range of information and opinions.
- ▲ Ensure that participants understand the purpose of the group interview before commencing.
- ▲ Promote techniques that encourage participation. Use open-ended questions to promote better explanations and opinions.
- ▲ Build rapport with the participants, and agree on the issues to be discussed and the rules of the group session.
- ▲ Allow flexibility in the discussion so that issues can be explored as they arise.
- ▲ Triangulate information by cross checking.
- ▲ Be prepared for difficult situations.
- ▲ Group interviews tend to favor elites and more vocal sections of the rural communities - ensure that disadvantaged groups are represented and can participate.

(Source: Jackson and Ingles, 1998)

Observation

Observation can also be a very useful tool for generating and verifying information. Field workers, team members and local people can make observations as they move around in their area or observation can be a deliberate activity. The objective of observation is to make qualitative or quantitative assessments of the relevant physical and social conditions of the area, and to triangulate upon information that has been collected using other techniques such as interviews, discussion and visualization.

Direct observation is particularly important because it helps to clarify misunderstandings since sometimes information generated by participants may not match what is seen. By comparing observations with the information collected from

other sources, additional questions can be posed to fill in any gaps in the knowledge of local conditions. This help improve the accuracy and reliability of the information generated. Observations can also help to reduce the number of questions that need to be asked to local people in interviews and discussions.

BOX 3.3. TIPS FOR OBSERVATION

- ▲ Prepare checklist of topics for observation and take notes.
- ▲ Use the prepared checklist as a guide but allow for flexibility so that issues can be explored as they arise.
- ▲ Undertake observations at the different times of the day, week, and month to reduce biases.
- ▲ Observe carefully and systematically what is happening in the villages, forests and jot notes about the issues listed in the checklist.
- ▲ Cross check observations with information obtained from other methods.

(Source: Jackson and Ingles, 1998)

Brainstorming and Discussion

The objective of brainstorming is to discover new ideas and responses very quickly. It is particularly a good way of generating thoughts and ideas that will form the basis of semi-structure interviews and group discussions. Participants are encouraged to let ideas flow freely, building on and improving from previous ideas. Any idea however outrageous should not be rejected.

Brainstorming and group discussions are useful after rapport has been built and some information has been generated to further explore relevant topics. Such sessions can include information gathering, negotiating, planning, monitoring and evaluation. Brainstorming and discussion can be conducted with interest groups, community user groups or any other groups from the local community.

For brainstorming and related group discussion it is very important that the facilitator keeps the process moving and energized, with a focus on tangible results. All the ideas generated are listed exactly as expressed on a board or flipchart or written on bits of paper and stuck on to a pin board. On certain occasions it may be even appropriate to set the norms of discussion so that if conflict or disagreement arises, participants agree on the method of conflict management. The facilitator should emphasize that all judgments must be ruled out until after all ideas have been generated. All ideas and suggestions are given equal importance. After a brainstorming session, issues that have been generated can be further discussed. Ideas referring to a similar context can be grouped together for further analyses.

BOX 3.4. WORDS OF CAUTION

Try not to use the opportunity as a primary means of gathering information. Develop skills to cope with difficult situations that may arise. Group discussions and brainstorming sessions can be dominated by those who can really speak at length, be prepared with techniques that will give ample opportunity for everyone to express their views.

The Learning Process and its Role in Planning

In order to plan and implement successful activities, projects and/or programs, it is important that the participants in the process understand and learn as much as they can about the issues involved. This knowledge not only helps in developing better plans, implementation structures, or monitoring mechanisms, but it will be more empowering. The empowerment aspect is especially important for those participants who have traditionally not been part of such processes, who have been passive in providing information, and who have been told what to do for plans in which they have had little or no say.

To help facilitators guide participants through the learning process, which ideally occurs throughout the cycle of planning, implementation and monitoring, it is useful to think of the types of learning and relationships that will increase our understanding. Many of the PLA tools we use focus on key aspects of knowledge and understanding useful for planning.

Space and Location – factors, resources, attributes of resources, etc., often have spatial relationships. For many reasons how features (physical and non-physical) are organized or found in space have important implications for planning and management. Distances have to be traveled, areas have to be managed, communication over distance requires resources, and resources change according to their location, e.g. elevation, remoteness from infrastructure has costs, and so on. Patterns of economic development are often related to spatial relationships between the quality and availability of resources, and thus plans for future development need to understand spatial dimensions. Learning tools typically used to learn more about spatial relationships are maps, venn diagrams and transects.

Time – factors, resource, attributes, values, etc., usually change in quality and quantity over time and thus have a temporal dimension. Understanding the change over time, be it 24 hours, decades or a century, and the reasons why will help us predict and thus plan for the future. Not surprisingly, the temporal dimension is often linked to the spatial one and it is important to be aware of this interaction. When learning more about changes over time, the facilitator should be aware that the learning process needs to capture the nature of and reasons for gradual and significant shifts over time. Typical tools used include timelines with events (from 24 hours to de-

causes), trend lines, venn diagrams and maps.

Prioritization – as planners, participants are invariably dealing with varying degrees of scarcity in resources. Often a key objective of any planning process, and thus of the activity/project to be implemented is to make effective and efficient use of resources in order to achieve the desired goal. Prioritization or ranking of issues, opportunities, resources, actions, etc., is important not only to generate plans of action, but also to look at options that will vary with circumstances, and to obtain consensus on the plan of action to be taken. Various participatory tools help us learn more about how to rank, including matrix ranking, pair wise ranking, single-factor ranking and scoring.

Organizations, Groups and Individuals – the nature of participatory development and conservation is that stakeholders have opportunities to design, implement and manage the development and/or conservation process. Analyses of development efforts have shown that organizations/groups and individuals and the nature of relationships between them are important factors that will firstly help design successful projects, and secondly help ensure successful implementation and sustainability. Tools typically used to identify and understand these actors and their relationships in the present and over time include venn diagrams, ranking exercises, market-chains and trend lines.

Participation Misconceptions and Dangers

The use of participatory approaches has not been without its constraints. Practitioners have encountered and will continue to encounter a range of difficulties when working with a range of players. Some of these are summarized in Box 3.5.

BOX 3.5. CONSIDERATIONS ABOUT PARTICIPATORY APPROACHES

- ▲ The tendency to raise expectations of local people, especially when facilitated by outsiders.
- ▲ The importance of facilitation, outcome tend to depend on the attitude and vision of the persons facilitating
- ▲ The quickness of the process, especially when using learning tools is a myth. The tendency to think that participatory learning is quick and dirty and conduct the process in that manner will lead to incorrect insights
- ▲ There is often a desire for verifiable, quantitative data, and in most cases participatory approaches will not lead to quantifiable data.
- ▲ While there may be a level of commitment to the participatory process, there will be a desire for a blue print approach that is easier to implement
- ▲ A need to adapt methods to fit the situation, and avoiding indiscriminate use of techniques
- ▲ Rushing and overlooking the disadvantaged leading to incorrect insights.
- ▲ Credibility of reports and findings - they will never provide the final answers, but then which approach does?

In summary, practitioners need to be aware that participatory approaches, and their use in the development and conservation process have their constraints, but then again the opportunity to implement meaningful sustainable development using such methods is considerable. In concluding this chapter, here are ten issues to consider about participatory methods (taken from Pretty et al., 1995) that provide food for thought about the process of participation, and also the basis for further discussion and debate.

Is It True That:

1. *Participatory learning and action is quick* – while the techniques may appear quick, the process of learning and analysis, planning are slow and complex.
2. *Participatory methods are easy* – the methods may look simple, but as experienced practitioners will note that in addition to technical knowledge, the key skills of communication, facilitation and conflict negotiation are not easy.
3. *Anyone can do it* – maybe anyone can conduct the process of preparing transects, maps often with some degree of success, but translating this beyond just information into shared learning and action requires time and resources.
4. *These are all “just” fancy techniques* – the tendency has been for skeptics to view the process as a series of techniques. Participatory methods are part of a more fundamental change in the development process where learning organizations and enabling policy changes are key to innovation and change.
5. *Participatory methods have particular disciplinary perspectives* – the methods have drawn from a variety of disciplinary backgrounds, and innovations from fieldworkers based in the South (and increasingly from the North too).
6. *There is no theoretical base* – the practical nature of participatory learning and action is very apparent, but this does not mean that there are no theoretical underpinnings. A moving force in participatory methods is action-research where theory and practice are constantly challenged through experience, reflection and learning.
7. *It is a new invention* – participatory learning and the use of tools such as those found in PRAs are not a package that has suddenly appeared. Its lineage can be traced back to early anthropological work and to qualitative research.
8. *Training is the answer* – the demand for participatory methods cannot be met through training alone. Training is only part of the learning process critical to participatory methods, and organizations and individuals need to look at other ways of learning.
9. *The social actors involved are neutral* – actors are never neutral, whether they are villagers or external agents. The myth of the neutral, detached, participant-observing researcher/practitioner is deeply flawed, and needs to be openly discussed and addressed.
10. *The approach is non-political* – power, control authority are all part and parcel of the negotiation of engagement in participatory processes. Dealing with these issues may mean taking sides or taking a mediating/negotiating role. In whatever case, these are political acts.



CHAPTER 4

Discovery

Introduction

Discovery is the first of the “Four Ds” in the APPA method in which participants identify characteristics of the community that attract or may attract tourists, and recognize strengths and skills of the community that contribute to Community-based Tourism. Discovery emphasizes the “good things” or successes at hand that can be strengthened, managed, and marketed as Community-based Tourism *by the community* to generate local benefits and support conservation.

These features are known as “Community-based Tourism assets”. The collective “Discovery” of these assets, using participatory learning and appreciative inquiry methods, provides a strong and positive foundation for the next steps of visualizing (Dream) and planning for (Design) Community-based Tourism, while building a sense of shared responsibility for the conservation of local resources upon which sustainable Community-based Tourism depends.

Participatory learning and skill development are important components of Discovery. By building upon successes rather than failures, Discovery inspires self-pride and local initiative rather than nurturing dependence upon outside remedies; these skills and initiative are key to the *community's* commitment to implementation and management of Community-based Tourism (Delivery). The use of PLA tools for identifying assets, issues and “factors of success” also teaches simple data collection and analytical techniques that will be used again and again in the planning, management and monitoring of Community-based Tourism. Discovery also begins to look at the market for Community-based Tourism, identifying what types of tourists are or might be attracted to and best served by local Community-based Tourism assets, and introducing marketing into the initial data collection and pre-planning activities.

Components of Discovery

- 1) Discovering and Valuing Community-based Tourism Assets
- 2) Learning about Tourism Issues, Impacts, and Market Characteristics
- 3) Initial Identification of Success Factors of Community-based Tourism
- 4) Developing skills and empowering communities through the participatory learning approach

Potential Learning Outcomes of Discovery

- ▲ Understanding the natural, cultural and human resources, socio-economic characteristics and institutional alliances in the area;
- ▲ Revealing past and present trends in tourism development, visitation, impacts, and tourism's relationship to other socio-economic, environmental, and policy factors;
- ▲ Natural resource uses and issues related to tourism;
- ▲ documentation of baseline information useful for planning, managing and monitoring Community-based Tourism;
- ▲ Developing a shared appreciation of the community's qualities, features and skills;
- ▲ Introducing the relationship between conservation of natural and cultural resources, and sustainable local benefits from Community-based Tourism;
- ▲ An initial identification and classification of environmental, financial, market, social, and resource issues, or "factors of success", relevant to Community-based Tourism;
- ▲ An initial assessment of market issues and trends;
- ▲ Improved community skills in participatory learning methods, and an improved understanding of the value of a participatory approach; and
- ▲ Enhanced community confidence and pride.

BOX 4.1. SHARING DISCOVERY LESSONS FROM THE FIELD

Practitioners of APPA offer these experiences from the field:

"By revealing new or unrecognized assets, APPA excites: We all get complacent about our immediate surroundings or routine lives, and it is easy to take for granted or not even see the good things we have. Discovery sets aside a specific time for reflecting on assets, strengths and opportunities as a group, and brings different perspectives to the discussion to generate a complete and comprehensive list of what the community is proud of but didn't even know. Another way to get at the positive is to ask a local leader to tell his or her happiest moment since working with the community."

"Assets take on the value of marketable commodities: The community-based approach to conservation and development seeks to find ways that the community and its members can benefit from conservation practices and development. As with any business, the produce or service sold must have value to potential customers, and to the sellers. The APPA method can be used to help communities, organizations, or businesses identify what assets they have that could be developed as marketable commodities. When assets such as well-preserved traditional architecture or biodiverse-rich forests begin to take on an economic value as attractions to tourists, local people have a positive link to conserving them. Through APPA, plans are made to assess the feasibility of "producing and marketing" a Community-based Tourism activity such as guided village or forest walks, and an action plan developed to generate local benefits from it."

1. Discovering and Valuing Community-based Tourism Assets

“Unique selling point” (USP) is a term commonly used to describe a special feature or attraction that can be marketed (i.e., designed, developed, advertised and sold) to tourists. The concept of “Community-based Tourism assets” is similar to USPs, but covers a much broader range of “good things” about a community and its members that can be strengthened and developed into Community-based Tourism. Examples include, local knowledge about where to see wildlife is an asset that is highly valuable for the development of wildlife viewing excursions, hospitality and cleanliness are strengths that support the development of home-stay or lodging services. An initial assessment of Community-based Tourism assets helps determine what a community and their environment have to offer, and no one knows the “good things” better than the people who live there.

In Discovery, participants identify features, characteristics, and resources of the area that they value and appreciate, those things that “make them proud” and those they would like to share with visitors. These might include the traditional architecture of the area, a well-managed forest, scenic views, easy access to an airport or road-head, a rich knowledge of local birds or weaving, harmonious relations among community members, or effective local institutions. Below is a list of types of “good things” to serve as a check list of potential Community-based Tourism assets (note: use this list to cross-check the community’s own list of assets *after* the asset identification exercise so as not to influence their thinking).

BOX 4.2. DISCOVERING “GOOD THINGS”

Discovery is the collective identification and valuing of the “good things” about a community as *Community-based Tourism assets*. These might include:

- ▲ *Natural features, resources and attributes*, such as mountains, forests, landscape
 - ▲ *Cultural sites, traditions, and history*, including festivals, local food and dress, legends
 - ▲ *Location and proximity to other tourism sites*, building upon regional assets
 - ▲ *Accessibility*: distance from main cities, air service, road conditions, telephone service
 - ▲ *People skills/knowledge, technology*: local knowledge of plants and animals, museums
 - ▲ *Local institutions, their capabilities and alliances*: effective community mobilization
 - ▲ *Popularity or fame of tourism assets*: national or international recognition
 - ▲ *Access to financial assistance*: availability of credit, joint investment potential
- Existing tourist attractions or activities, both within the immediate area and wider

Exercises for Discovering Community-based Tourism Assets

It is useful to create an environment of “appreciative inquiry” with the participants to help them focus on strengths, assets and things they are proud of . This can be done in a number of ways, the objective being to get people to experience how it *feels* to be appreciative and look for the positive values or attributes of their community. The cultivation of this feeling is an important aspect of Discovery, and can be introduced with a story and an exercise to illustrate the power of being appreciative.

BOX 4.3. AN ILLUSTRATIVE STORY OF THE APPRECIATIVE APPROACH:

SUCCESS STORIES OF DISCOVERY

The use of stories such as The Placebo Effect, the American Indian Method of Child Discipline, or the experiment with American students works well in explaining the concept of the appreciative attitude and the power of positive thinking and actions. There are many stories from different cultures with which to illustrate this. Some stories to share include:

The Placebo Effect

In every culture, there are healers who tap the mental powers for healing the sick. Even western medicine acknowledges that the mind is very powerful in affecting the body's welfare. Doctors sometimes perform experiments to understand better the role of the mind in healing, with and without the use of medicine. In one such experiment, two groups of patients, a control group and a test group, were told that they both were receiving medicine to make them well. In fact, the test group was provided sugar pills and the control group was taking prescribed medicine. After one month of taking the pills, 95% of people in the control group were healed, and 85% of people in the test group were healed. The doctors concluded that in this type of illness, the power of the mind had had a significant effect on healing the body, nearly equal to that of medicine. They were impressed that people in the test group had had such faith in the pills as “medicine” and that by believing that they would get well, they did even though they were eating sugar pills. This illustrates that through the power of the mind, and by having faith in achieving what you aim for, you can overcome obstacles and grow strong.

Students Live up to their Own Self-Image

Two classrooms of primary school students of the same class level were of relatively equal abilities and intelligence. An experiment was conducted in seeking to understand the influence of self-image on school performance. The same exam was given to the two classrooms of students, and the students of both classrooms achieved a similar range of scores. The tests were not returned to the students, but students of classroom A were told that they did very poorly on the exam, and students of classroom B were told that they did very well. Rumors were purposely circulated among the school's students that the students of classroom A were stupid and did not know how to study properly, whereas students of classroom B were excellent students. Over the

course of the school year, the students of classroom A started to perform poorly in all of their exams and studies, while those of classroom B performed better and better, even the students who had previously scored relatively low. By the end of the year, there were sharp differences in the students' abilities and scores: almost all of the students of classroom A had actually become poor students, and almost all of those of classroom B had become good students. So powerful was the effect of this experiment that it was thereafter banned as it could have had permanent repercussions on the students' schooling.

The American Indian Method of Child Discipline

The American Indian tradition of disciplining children is to give praise rather than punishment. If a child misbehaves, insulting an elder for example, the tribal members gather in a circle with the child in the middle and heap praise upon the child for all his or her good characteristics and deeds. The child leaves the gathering feeling that he or she must uphold the positive image that has been cast on him or her, and that to misbehave again would be to bring shame to the tribal members who had had such faith and confidence in the child. This again is an illustration of positive reinforcement: that if the community believes in the goodness of a person, it will come to be true.

Sharing Something You are Proud Of

Another way of introducing the feeling and power of the appreciative approach is to encourage each participant to share something he or she is personally proud of with the rest of the group. (Note: this is also a good ice-breaker to do early on in an APPA session as a way to introduce participants to each other). Break into pairs and have each person tell their partner something or things they are proud of, either in their personal or work-related life. The partner in turn tells what he/she is proud of, and eventually each pair shares their partner's newly discovered strengths with the larger group.

Brainstorming Community-based Tourism Assets

(See Appendix II - Brainstorming as a PLA Tool)

Brainstorming can be done in a plenary, or better, in small groups of 6-10 participants. Brainstorm Community-based Tourism assets, recording them on a large poster paper to share with others. Participants should be encouraged to be creative and extensive in identifying Community-based Tourism assets. Assets can be expressed in words, pictures, maps, etc., using either a simple appreciative inquiry approach to brainstorming, or more focused identification techniques using PLA tools.

Some of the basic questions to ask for brainstorming of Community-based Tourism assets in Discovery are:

▲ *What do you value about your community?*

Can you think of a time when the community worked well together, what hap-

pened?

- ▲ *What do tourists like about the community?*
 - ▲ *What other features would you like to share with tourists?*
 - ▲ *What human resources does the community have that are good for tourism?*
- Etc.

Now share the assets among all participants, and conclude by asking how this exercise affected their feeling about their community and its prospects for Community-based Tourism. You may notice a bit of pride in their voices as they describe the strengths and good things they have discovered. This is the feeling that Discovery seeks to spark and which needs to be nurtured and built upon throughout the APPA process.

The more positive the questions, the more positive the answers. Remember:

What you seek is what you find

The questions you ask determine the answers you get

2 Learning about Tourism Impacts, Benefits, and Market Characteristics

Another important function of *Discovery* is the shared learning that occurs among participants as they discuss and document current conditions, issues, trends, relationships, impacts, benefits, market characteristics, etc. of Community-based Tourism. This is a critical and empowering difference between the APPA and a standard planning approach: learning and building common understanding is the foundation of sustainable community participation in Community-based Tourism. Through the use of participatory learning methods, including PLA tools such as mapping, trend lines and venn diagrams, participants develop the framework and generate information needed for the next steps of planning for Community-based Tourism as well as providing useful baseline data for monitoring and managing Community-based Tourism.

The following topics are useful to explore and learn about in Discovery:

- ▲ Current and past tourism market characteristics, including the number, types and activities of tourists, at all critical levels from community to national.
- ▲ The availability and location of services, facilities, resources and skills to support Community-based Tourism.
- ▲ The methods and relative degree of benefit sharing among the community, from different types of tourists and tourist services
- ▲ The environmental, socio-economic and cultural impacts of tourism, types and extent of resource use for tourism development and activities: stories of success and perceived problems.
- ▲ The types of local institutions involved in planning and managing Community-based Tourism for tourism.

Participatory Learning Exercises for Discovery

Introduction

Introduce the concept of planning with a planning game or exercise. For example, pick something to plan that the community members are familiar with (planning a festival gathering, a large group meal, or for the arrival of a group of tourists in a lodge). Ask participants to work in groups and discuss what types of information are needed to plan for this event, and issues and factors to be considered when planning for it. Now use the learning from this exercise to identify what types of information (not *what* information) are needed to plan for Community-based Tourism. You will want to be sure you have some community members in the group who are familiar with tourism.

Use of Participatory Learning and Action Tools

(Note: The introduction of PLA Tools should have been done before this exercise).

Using the list of types of information needed to plan for Community-based Tourism, ask participants to discuss and select PLA tools appropriate for gathering the required information (this can be done in plenary or in smaller groups). Help them to think about the issues of time, space, and relationships in choosing the tool (see pg 38, Participation). Some PLA tools to consider are shown in Box 4.4. (see also Appendix II)

BOX 4.4. LEARNING DURING DISCOVERY

- ▲ **Community-based Tourism Assets Map** shows the location and distribution of Community-based Tourism assets in the community and surrounding area. The proximity and relationship among assets is revealing of both opportunities and issues around Community-based Tourism. This is a must!
- ▲ **Tourism Impacts and Benefits Map** is used to show where tourism impacts are occurring (e.g., where increased fuel wood extraction is occurring), and where benefits are accruing (e.g., which households are earning income from tourism, and how). These baseline data are valuable in monitoring changes in impacts and benefits over time.
- ▲ **Venn Diagram** is used to identify and analyze community institutions, their relative importance, relationships, and role in community based tourism and conservation. Local institutions are also assets: encourage stories that reveal the institutions' strengths, accomplishments, and capacities to manage tourism and mobilize community action. If there is no institution associated with tourism, this may be an entry point to discuss the need for one.
Venn diagrams can also be used to identify products and services that participants consider as very important in the livelihood of their community, shedding light on the demand for products and services and where these are in relation to the community. In a similar way participants can also assess the nature and size of the competition for potential

products.

- ▲ **Seasonal Calendar** is used to identify tourism assets in terms of seasonal opportunities and constraints, including climate, agricultural productivity and work cycles, religious or cultural events, flower or wildlife viewing times, accessibility, etc. Understand when tourists come and for what, and the opportunities for developing tourism activities “off-season” as a means of attracting more tourists without increasing pressure on natural resources and the socio-cultural environment.
- ▲ **Trend Lines** can be used to show historical change and to analyze relationships between tourism and related environmental or socio-economic conditions, e.g., trends in community cleanliness, cultural status, household income, employment, etc. in relation to trends in tourist visitation, types of tourists, specific tourist activities and development, etc. Trend lines identify both negative impacts of tourism (e.g., increased begging) as well as positive effects of tourism (e.g., cultural pride), both of which help build awareness about the relationship between Community-based Tourism and conservation. Trend lines are also useful in analyzing market trends and changes in demand and supply of products, services and clients over time.
- ▲ **Mobility Map** quantifies and plots movement of goods (e.g., import of packaged food), people (e.g., types of tourists, guides, etc.), resources (e.g., export of timber for hotel construction), money (local wages, “leakage” of imported food costs), etc. inward and outward travel of communities. Such movements can reveal opportunities for increasing local benefits from tourism, linking Community-based Tourism with wider tourism attractions, threats to the environment, etc.
- ▲ **Matrix ranking** can be used to compare current products and services for various criteria, resulting in participants identifying factors that lead to successful enterprises. Local and other institutional capacities can also be assessed and discussed in a similar way.

3 Initial Identification of Success Factors

Like any new venture, planning for Community-based Tourism requires an analysis of factors, conditions, issues, etc. that affect or influence the development of successful Community-based Tourism. We call these “success factors”, and they start to emerge during Discovery as participants discuss and characterize the positive attributes that make the community suitable for Community-based Tourism. Typically, the factors that need to be considered in planning for Community-based Tourism include: environmental concerns (e.g., the demand for natural resources, or potential impacts on natural resources); market issues (e.g., current and potential markets, trends, competition, etc.); financial factors (e.g., the availability of capital, profitability); social/institutional issues (e.g., social acceptance of and institutional support for Community-based Tourism, policy or regulatory framework); and skills or human resource concerns (e.g., do community members have the appropriate skills needed for Community-based Tourism?).

Success factors will be explored more fully in subsequent stages of the 4-D process (see Design). However, it is useful at this stage of Discovery to begin organizing what has been learned about the community into categories or factors that are needed for successful Community-based Tourism to better understand the community's real strengths (and shortfalls) and to identify what additional information is needed. Factors can be organized in a variety of manners, but should generally cover the following topics:

- ▲ Conservation (environmental and cultural factors)
- ▲ Market factors;
- ▲ Financial factors;
- ▲ Social and institutional factors; and
- ▲ Skills and resource factors

Exercises for Categorizing Success Factors

In the first two stages of Discovery (Discovering Community-based Tourism Assets and Learning about Impacts), much was learned and some information was collected that can now be categorized into a useful format that relates to Success Factors.

Explain the purpose of this exercise: to summarize information collected, to start to identify issues to be addressed, and to create an easy reference chart for use later in the planning cycle. Do a sample all together to demonstrate the process. Use the Table 4.1. as a format, and ask participants to organize what they have learned thus far into the relevant boxes, thinking how various strengths, assets, space or time issues, relationships, policy issues, environmental concerns, etc. can fit into the pre-selected topics (Note: it is not necessary to stick to these five selected headings if others are more relevant). Some information may not be viewed as a factor of success (e.g., it may be a constraint, or something that more information is needed about); this can be represented in a manner that identifies what is known and what needs to be learned for follow up later (see *Assessment of Success Factors* in Chapter 6 to see how such factors are treated later in the planning process).

Table 4.1. below illustrates some of the success factors associated with the development of Community-based Tourism in one community in Shermathang, Nepal. From this brief analysis, we can begin to see the opportunities for Community-based Tourism associated with existing markets and skills; understand some of the issues and gaps (e.g., need for financial support), and where more information is needed (e.g., reasons for the decline in group trekkers). This is an example of how to organize some of the information that has emerged out of Discovery exercises in a useful framework.

TABLE 4.1. INITIAL IDENTIFICATION OF SUCCESS FACTORS

Factors	Gaps In Understanding	What is Working
Resources (Natural/Cultural)	<ul style="list-style-type: none"> ▲ Use of Kerosene or alternative energy ▲ Raw materials for handicrafts ▲ LNP forest management ▲ Private plantations ▲ Community Managed Forests 	<ul style="list-style-type: none"> ▲ Valuing Culture ▲ Metal flag poles instead of bamboo ▲ Lodges use of Kerosene.
Market	<ul style="list-style-type: none"> ▲ Handicrafts sales ▲ Cultural "product" development and demand for products ▲ Changes in types & number of tourists ▲ Link with trekking agencies. 	<ul style="list-style-type: none"> ▲ What are unique selling points, competition (usp) ▲ Nepali tourists ▲ Increasing number of tourists ▲ Links with new and old trekking routes
Skills/Technology	<ul style="list-style-type: none"> ▲ Technology (re: alternate energy use ▲ Number of skilled people ▲ Types of skills 	<ul style="list-style-type: none"> ▲ Lodge management, stores ▲ Food preparation ▲ Toilets, garbage management ▲ Organic vegetable ▲ English language skills
Social, Policy Institutional	<ul style="list-style-type: none"> ▲ Policies ▲ Organizational relationships ▲ What benefit is Buffer Zone ▲ Tourism Management Committee history 	<ul style="list-style-type: none"> ▲ Local Institutions ▲ Langtang National Park ▲ Women active in tourism ▲ Links in NGO (MS, KEEP, YOLMO Foundation)
Financial	<ul style="list-style-type: none"> ▲ Lodge viability ▲ Financing ▲ Viability of alternative energy 	<ul style="list-style-type: none"> ▲ Mothers Group Loan ▲ Mothers Group Fund Raising ▲ Small enterprise, e.g. Liquor production.

4. Developing Skills and Empowering Communities through Participatory Learning

The process of the learning about, discussing and formulating ideas and information among participants is an important component of Discovery that begins to build confidence and awareness, develop planning skills, and empower the community with knowledge and involvement in the process. The outcomes may be difficult to discern but they are critical to the success and sustainability of Community-based Tourism planning efforts. Experience has shown that one of the greatest causes of failure in community development and conservation work is a lack of follow-up and commitment by the community members. APPA addresses this by seeking to excite, empower, motivate and reward participants with immediate positive feedback and hope for a better future that they can achieve themselves.

Toward the end of the Discovery phase, it is useful to reflect on how community members “feel” about the exercises and outcomes, to gauge the level of excitement, the attitudes and results of using the appreciative approach, to assess the degree of participation among members, and to initially evaluate the effects of using a shared learning rather than an information extraction (one-way learning) approach. The following exercise can be done to reflect and give feedback.

Exercise for Reflection

Use a brainstorming session in plenary, or another feedback mechanism (e.g., anonymous feedback in writing such as “graffiti”), to reflect on the Discovery exercises and outcomes. Ask questions such as “how did it *feel* to recognize the community’s ‘good things’ together as a group?” (emphasizing what emotions or reactions the participants had); “how did the exercise of focusing on strengths and ‘what makes them proud’ affect their attitudes about the community, its people, its natural environment, its institutions, etc.?”; “how did they feel about participating in the learning exercise, doing the work themselves and learning new skills; how might they use these skills in other ways?” Be aware that peoples’ abilities to respond to such questions and to participate in a participatory learning approach may vary considerably in different cultural and socio-economic contexts.



CHAPTER 5

Dream

Introduction

One of the core principles of the APPA method is that:

“What you seek is what you find”

If you believe that things will turn out badly, they probably will. But, if you believe that they will turn out well, or even better than you expect, and you share that faith with others, together you can achieve your wildest dreams!

Another axiom of APPA states:

“If you have faith in your dreams you can achieve miracles”

This type of positive imaging is a powerful tool frequently used in organizational development and business management to motivate improved employee or member productivity and commitment. Businesses that have used a positive visioning approach for setting company goals and building team spirit have increased worker satisfaction, and boosted productivity and profitability beyond growth projections.

In the *“Dream”* phase of the 4D process, participants *collectively* visualize how they would like to see their community develop and benefit from conservation-based tourism in the future, and how they as a community can achieve that Dream by building upon the tourism assets and strengths identified in Discovery to create the very best Community-Based Tourism possible. The collective nature of the vision is a vital aspect of the APPA approach that draws its strength from shared commitments and participatory action to empower communities toward self-reliance.

The *“appreciative”* viewpoint introduced in the Discovery stage — the valuing of *“what is good”* about the community — gives a strong foundation for Dreaming of *what might be* if Community-Based Tourism assets were strengthened, developed and managed for community-based tourism. Dreams that *“push the envelope”* or stretch the realm of possibility are what truly inspire people to achieve far more than they

might think possible. The Dream is most powerful if it is set at a time in the future when no one can really now say how the world will have changed and what is possible. This is not meant to fictionalize the Dream, but rather to encourage participants to envision the very best situation imaginable if everything they value is improved upon and strengthened. For many rural communities, 10 years in the future is appropriate, whereas longer periods (20 to 30 years) may work for organizations or businesses used to long-term planning.

Components and Outputs of Dream

The main steps to Dream are:

- 1) Practice Dreaming
- 2) Visualizing Community-Based Tourism in the Future
- 3) Turning Dreams into Community-Based Tourism Products

The major output of Dream phase is:

- ▲ A image visual or otherwise, developed by the community and recorded in words, pictures, maps, etc., of how Community-Based Tourism will look, function, be developed and managed in the future if the community's assets identified in Discovery are further strengthened, developed and marketed as Community-Based Tourism.

1. Practice Dreaming

Dreaming in the APPA context does not always come easy to participants. Sometimes it is difficult for people to understand the concept of Dreaming, or to feel comfortable visualizing the future, especially in certain cultural contexts where the idea of wishing for the unimaginable has never before been practiced or encouraged. It may be seen as stupid, or childish. If this is the case, it may be useful to introduce the practice of Dreaming with real life stories or examples of when people achieved their Dream and how it changed their lives for the better.

It may also be helpful to do a warm-up Dream exercise with participants that allows them to experience first-hand the act of dreaming and the excitement it brings. This might be done on a personal level (relative to each individual's own dreams for family or professional development) or with a more tangible focus, such as how one's home or city looks in ten years. Be aware that the power of Dreaming in the APPA context is as a collective experience wherein a group of people together create the Dream, building on the strengths, assets, and resources identified in Discovery. In the practice warm-up dream, however, it is sometimes easier to allow people to dream individually to familiarize them with the concept of dreaming before doing so together with others. This however runs the risk of individuals later focusing too much on their personal aspirations and not the group's, so should be done with clear explanation and qualifications.

Exercises for Introducing and Practicing Dreaming

Introduction

Review the 4-D cycle and the function of the Dream phase. Explain the concept of Dream within the social and cultural context. To illustrate the concept of Dream, tell stories of how shared positive Dreams can motivate group action and achieve results.

Practice Dreaming

Do a warm-up personal Dream exercise with participants. First elaborate upon how to visualize the Dream, imagining details of how the scenerio actually looks, who is in it, what various people are doing, what they are wearing, what other features (buildings, cities, etc.) look like, etc. It is important to conjure up a physical image of the Dream so that it is tangible, clear and can be easily described and equally as powerful for others.

To start the Dreaming process, ask the participants to close their eyes to help focus on the Dream and the process of Dreaming. Lead them through a guided inquiry into their Dreams, telling them to visualize the Dream scenerio (as described in the paragraph above). They should paint a clear picture in their minds of the Dream. Or, ask them to draw a picture of it and then share the Dream descriptions or pictures with others.

2 Visualizing Community-Based Tourism in the Future

Dreams define what the community sees as the desirable form and characteristics of Community-Based Tourism in the future, building upon the assets and strengths identified in Discovery. The shared Dream gives clear and positive direction to the development of a community tourism plan: *Dreams tell us what to plan for.*

The power of the Dream is in its results, and as a visual image of how Community-Based Tourism looks and is functioning in the future. It should describe what types of visitors are coming, when, what they are doing, where they are staying, who is hosting or guiding them, who else is benefiting from their visit, what they are attracted to, how the attractions are managed and maintained, etc. As the Dream is the basis and inspiration for the Community-Based Tourism plan – which tells how to achieve the Dream – it is important that the Dream be unambiguous, have widespread support, and be grounded in what currently works and is successful (assets and strengths).

The process of creating the Dream is a challenging but extremely rewarding and enjoyable one. As the Dream is a shared vision, which will guide and inspire the entire community, the visualization of the Dream must be a collective exercise, and therefore requires some degree of consensus. This is not achieved instantly, nor with any particular formula but building upon the Discovery stage clearly helps. Much depends on the level of participants' awareness about the objectives of Community-Based Tourism, their general compatibility and degree of common values, and widespread

participation. The use of participatory learning tools is particularly helpful in developing the collective Dream. Brainstorming and clustering is a simple technique for developing shared Dream images. Future trend lines, maps, and diagrams such as Mobility Maps or Venn Diagrams are sometimes useful to help participants discuss and represent the time, space and functional relationships between various aspects of the Dream. Pictures and maps are particularly good at representing clear physical and visual aspects of the Dream but may also need to be enhanced with words to describe non-physical components.

Exercises for Developing Dream Images

Introduce and Brainstorm Dreams

As in the practice warm-up dream exercise described above, it is useful to use a facilitation technique to guide participants through the Dreaming process. If in plenary, the facilitator might do this; in working groups, a group leader might. Help participants to conjure up positive images that relate to Community-Based Tourism assets, imaging the assets to be even better, stronger, better developed or maintained and well known, etc. Use “what if” to stimulate the imagination: *“What if you were to go away from this area for 10 years, and when you returned if all of the Community-Based Tourism assets were well managed and developed for Community-Based Tourism, how would it look...? What are local people doing? What are tourists doing? Where do they stay?”* Encourage participants to be as descriptive and graphic as possible in order to show specific community-based tourism products, activities, services, skills, etc.

Participatory Learning and Dreaming:

Use of the following PLA tools can help stimulate the imagination and discussions around how Community-Based Tourism looks and operates in the future; or can be used to represent the Dream images once they are described in words in a brainstorming session (see the detailed descriptions in Appendix II)

- ▲ **Future Tourism Map:** The purpose of mapping Dreams is to represent the location and distribution of Dreams, activities, sites, products, services, skills etc. in the community and environs. Mapping of Dreams focuses discussion on specific sites, activities, etc. and helps in showing geographical relationships, gaps, overlaps, potential conflicts, excesses and gaps, etc. The Dream map guides the development of a community-based tourism plan, and is useful in monitoring progress in implementing the plan. Keep focused on the enhancement of existing Community-Based Tourism assets and how they can be strengthened to develop a quality Community-Based Tourism experience, but also think of new markets for them (new types of tourists coming), how local people could benefit from them, and how they would support conservation.
- ▲ **Future Trend Line:** Trend Lines are traditionally used to represent changes in conditions over time from past to present, and to stimulate discussions and

understanding about the relationships between various conditions, in this case perhaps the relationship between tourism and certain environmental, cultural or socio-economic conditions. Trend Lines of the future can also be developed to represent the desired conditions, relationships and situations to be achieved through the collective Dreams.. Note that the representation of desired changes over time in the Future Trend Line (i.e., the slope of the line in relationship to the X and Y axes) should be initially sketched during Dream phase and later reviewed in Design as activities to achieve the Dream are planned and scheduled. At this point, the trend line can only show relative change.

3 Turning Dreams into Community-Based Tourism Products

Encouraged to Dream vividly of their future community, participants often produce long lists of Dreams, some of which are conditions (such as healthy forests) needed to attract tourists; some may describe the community's role and how they are involved in Community-Based Tourism. Some participants will tell what kinds of tourists are coming, what they are doing, who is guiding them, etc. Other Dream features may represent community wishes that are less directly linked with Community-Based Tourism, such as schools, health posts or electricity.

The concluding step in the Dream phase is to begin to clarify and cluster the Dream images into potential "Community-Based Tourism products", that is, those activities, sites or services that can be developed, advertised and sold to tourists. This will help prepare us for Design, where the first step will be to eliminate Community-Based Tourism products and other community development needs that do not directly meet Community-Based Tourism objectives.

Exercises for Turning Dreams into Community-Based Tourism Products

Clarify, Cluster and Re-Phrase Dreams as Community-Based Tourism Products and Other Conditions/Community Development Needs

- ▲ Begin the exercise by explaining the transition between Dream and Design: that in Design, the focus will be on prioritizing Community-Based Tourism products, analyzing their chances of success, and planning for implementation of the most promising Community-Based Tourism product.
- ▲ Start by reviewing the list of Dreams developed by participants, discussing each Dream image so that everyone is clear on what exactly it is. Cluster similar Dream images/features to avoid duplication, and to link closely related ones. Be careful not to over-generalize however; the Dreams should be detailed and tangible.
- ▲ In the process of re-phrasing, clarifying and clustering, discuss whether the Dream is 1) a Community-Based Tourism Product, 2) a condition necessary for Community-Based Tourism (such as a healthy forest), or 3) an unrelated or indirectly related feature of community development (such as schools or health posts). Cluster or re-phrase the Dreams so that they are clearly one of these three. (The

third category will most likely fall out in the elimination steps of Design). It may take a bit of discussion to differentiate between Community-Based Tourism products and conditions necessary for successful Community-Based Tourism; or to agree that schools and health posts are not closely linked to Community-Based Tourism. This is where the facilitator must be clear on the scope of the Community-Based Tourism planning exercise. One way is to qualify Community-Based Tourism products as primarily “enterprise type” activities (e.g., homestays, guided walks), whereas conditions for successful Community-Based Tourism are the “environment required” (such as clean trails, a well maintained cultural heritage). In Design, activities can be planned to achieve both types of Dreams (Community-Based Tourism products *and* conditions necessary) however the methods used for analysis of Community-Based Tourism products and conditions will be different .

Community Consensus

At this (or an earlier) point in the APPA exercise, it is a good idea to invite a larger representation of the community into the forum to cross-check and to begin to build their ownership of the Discovery and Dream outputs. Participants may want to organize a community meeting and present what they have done so far for discussion, comments, and refinement.

Reflection on Dream Exercises

Be sure to have a feedback session to reflect on how participants feel about the Dream exercises to gauge their level of excitement and commitment as reinforcement of the appreciative participatory approach.

Summary

Every plan must start with the question of “*What* we are planning?” The Dream process guides us in defining the Dream (goal), and in uniting the community with a common Dream. From the Dream images and maps, the next step of “how do we achieve it?” comes relatively easily. The visual representation describing qualities of the Dream makes it real, specific and clear so that participants can identify and plan for activities and actions in Design.



CHAPTER 6

Design

Introduction

Perhaps the most challenging part of the 4-D cycle is Design when participants work together to construct their future Dream. As with any planning activity, we often find that we cannot do everything so an important aspect of Design is to prioritize, and work together to develop plans and activities that help turn Community-based Tourism Dreams into reality. Design is not normally carried out in one sitting – it requires some movement forward and then backward to assess and gather information before key decisions to proceed are taken.

This chapter is divided into four sections that will help guide facilitators through the Design phase. The first section of the chapter discusses the key factors that will form the framework for deciding and prioritizing which potential Community-based Tourism products and services to pursue. The second section will review and suggest participatory methods and tools that will help decision-making and prioritization, and identify areas that require further investigation. In the third section the focus will be on participatory learning tools that will help address some of the key gaps in information that will help decision-making and action planning. The final part of the chapter will cover the preparation of participatory action plans for Community-based Tourism.

The primary output from the Design phase is an action plan or a series of action plans for the duration specified.

Components of Design

- 1) Assess the products of the Dream phase against the objectives of Community-based Tourism, and eliminate those that do not meet these objectives
- 2) Selection of the most viable products or sets of products
- 3) Strategy development for Community-based Tourism through an assessment of factors that contribute to success
- 4) Formulation of action plan/s for Community-based Tourism
- 5) Monitoring and Evaluation design

Key points to remember throughout the Design Phase are:

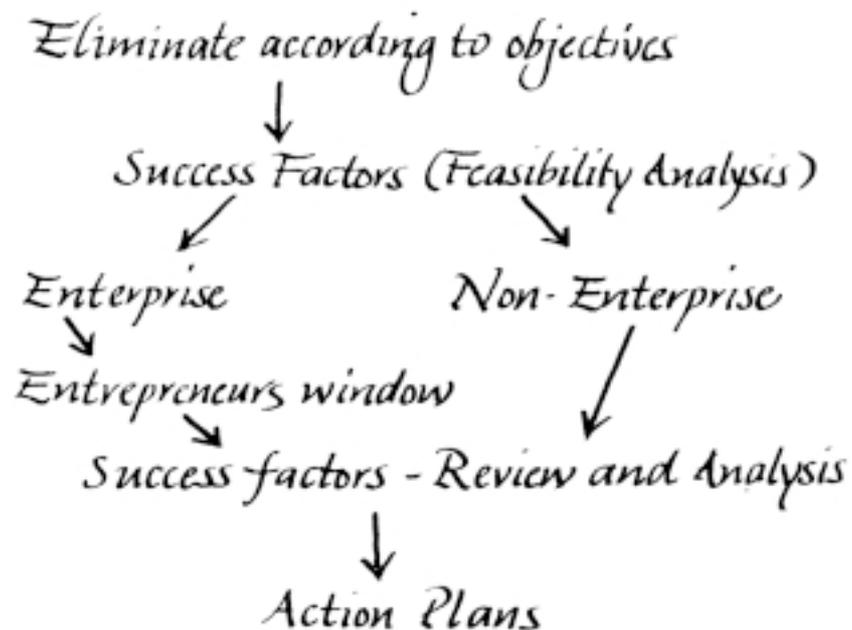
- ▲ The value of prioritization (based on key objectives of community-based tourism) and the role of elimination
- ▲ What information do we have, do we need more information, on what, how do we collect this information
- ▲ Analyzing information in designing tourism activities – assessing the factors that will help lead to successful Community-based Tourism
- ▲ Generating action plans, identifying responsibilities and resources.

In developing Action Plans for implementation, the Design phase uses three key assessment frameworks:

1. Objectives of Community-based Tourism (see below);
2. The Entrepreneurs' Window or Options for New Products and Market Development (see Chapter 1- Community-based Tourism, and the description at the end of the Kit); and
3. Success Factors (See Chapter 4 – Discovery – Table 4.1. Initial Identification of Success Factors).

In Figure 6.1., the general process undertaken during Design is shown but remember this is an iterative process.

FIGURE 6.1. AN OUTLINE OF DESIGN



Components of Design

1. Re-visiting the Objectives of Community-based Tourism

The purpose of the previous phase of Dream was to generate potential Community-based Tourism products and services based on the learning, assets and strengths conducted and identified in Discovery. A useful way to discuss and prioritize variety of potential Community-based Tourism products or services identified in the previous phase is to engage in a discussion about their contribution or otherwise to the key objectives. Remember these objectives may vary from situation to situation. The critical issue at this time is to be clear about the objectives, and to facilitate and guide the discussion around the relationships between potential products, services and objectives.

In our case the objectives are:

- ▲ *Conservation* - Community-based Tourism products and services can contribute to conservation of resources through:
 - a) a change in practice of the service or product that reduces a threat that it has upon natural resources, e.g. establishment of a kerosene depot that reduces the use of fuel wood by visitors and support staff alike; and
 - b) active conservation and/or restoration of a site or resource with the result that the site becomes a tourist attraction, e.g. restoration of degraded land, rehabilitation of a lake, setting aside an area for protection and management as a tourist attraction.
- ▲ *Economic development* - Community-based Tourism products and services can contribute to local economic development through:
 - a) increasing revenues and profitability from existing and new services and products; and
 - b) increasing the number of beneficiaries receiving economic returns, i.e. more widespread economic participation in tourism
 - c) changing the distribution of economic benefits from tourism among the community of participants.
- ▲ *Participation* - Community-based Tourism planning and management is based on:
 - a) increasing intensities of participation by community members with significant self-mobilization of resources through activities such as participatory learning and cost-sharing; and
 - b) a responsibility to offer the visitor a quality tourism product in which the visitor is considered a participant.

Assessing Dreams against Objectives

One way of analyzing and organizing information that is discussed and gathered is to fill in a fairly simple matrix which lists potential products and services down one side and the objectives along the top.

- ▲ The boxes in the matrix are filled with information regarding:
 - Key points emerging out of the discussion, the strengths of each product or service in terms of their contribution to each objective;
 - Areas where the contribution to the objectives is more questionable and potentially negative; and
 - Any other comments and observations, such as more information needed, that would help communities and other stakeholders in decision-making about whether to pursue a product or not.

BOX 6.1. KEY QUESTIONS FOR ASSESSING COMMUNITY-BASED TOURISM OBJECTIVES

- How does this activity contribute and/or lead to the objective. Encourage examples of potential outcomes and how these outcomes are achieved, e.g. a sequence of actions from setting up of a kerosene depot, to buying of fuel and stoves by a key target group, to use and reduced demand for fuel wood.
- What are other potential negative impacts of the activity on the objective, how will the key resource or condition, such as income, change, describe the impacts and how they might occur, e.g. too many visitors in a short period to fragile site.
- What major topics do participants need more information about before making a decision to pursue the activity, and why

Note the use of the non-leading approach to questioning; it is important that facilitators are aware of the disadvantages of using leading questions that result in Yes or No answers.

- ▲ A sample matrix is given below:

TABLE 6.1. A MATRIX OF COMMUNITY-BASED TOURISM OBJECTIVES AND POTENTIAL PRODUCTS AND SERVICES

Product/Activities	Conservation	Economic	Participation
<u>Opportunity</u> New extension to trekking route into alpine area	Stop short cuts regulates illegal treks (based on old Village trail)	more days on trek, more local employment	Community Management of trail, local finances, new experience for visitor
Constraint	campsites needed, management needed	Market interest unknown	How to distribute benefits

- ▲ After the completion of the matrix, participants will need to discuss which activities may need to be eliminated from the potential plan for Community-based Tourism since they do not meet the objectives. In some cases the choices may not be clear, and it may be necessary to collect more information to help the decision-making process at this stage.
- ▲ It is likely that there is no objective, quantitative way to eliminate products and services at this stage, but a discussion about the contribution to the objectives should help clarify some issues. Additionally, if you do finish with a long list of activities and products you may want to do a couple of activities to help make the task more manageable:
 - a) Cluster similar or related activities into groups; or
 - b) Roughly cluster activities or products into time periods for planning purposes, e.g. one year, three years and ten years.
- ▲ Factors and techniques that facilitators will want to consider in eliminating and prioritizing at this stage include:
 - Giving a simple ranking to the positive contributions of each product or activity to each objective (high - 3, medium - 2, low - 1) and pursuing a discussion over whether a potential and likely negative contribution (often in the conservation objective) is reason enough to eliminate a product (also look at Box 6.2);
 - Any requirements or stipulations imposed by funding agencies that are involved in developing Community-based Tourism at the site;
 - Using time as a parameter in deciding to priorities products or services, e.g. estimating how long it would take to develop a product and whether there was funding available for the duration; and
 - A critical feature such as national policy or regulations that would severely constrain the success of the product or service, and which in the opinion of those more knowledgeable would not make the plan a viable one.

BOX 6.2. ISSUES TO CONSIDER IN RANKING

- ▲ weighting of key issues – are they all equal value to participants, are some issues more important than others, why and to whom
- ▲ participation - who participated, what were the relative importance of the factors in the discussion, what remains unresolved, taking note of what was controversial and why

- ▲ *Enterprise and Non-Enterprise Products* - facilitators and practitioners may find it useful at this stage to distinguish between enterprise and non-enterprise activities since each set will probably need to be treated differently.

BOX 6.3. EXAMPLES OF ENTERPRISE AND NON-ENTERPRISE ACTIVITIES AND PRODUCTS

The primary distinguishing factor between enterprise and non-enterprise activities is the need to invest financial resources and recoup the investment through the sale of service and/or products

Enterprise – lodges, hotels, guide services, museums, information centers, destination or route development, a company, and so on.

Non-Enterprise – garbage management, conservation education, plantations, etc.

- ▲ The output of this component should be a list of possible Community-based Tourism products, activities and/or services that can potentially be implemented during a specified duration and that will be assessed further for their likelihood of success. The choice of products will have been determined by:
 - Their contribution to the specified objectives of Community-Based Tourism;
 - Time and funding parameters that either eliminate activities or help participants priorities and schedule activities over a longer duration; and
 - An assessment of products based on relevant national policy and regulations.

2 Selecting Viable Products and Activities

In this step, the findings and output of the Discovery phase are used as the basis of a preliminary assessment of risks associated with developing Community-based Tourism. The focus here is on enterprise activities in which participants will ideally be generating profits that will serve as incentives to conserve resources on which tourism depends.

The framework for this step is the *Entrepreneurs' Window or the Options for New Product and Market Development* (see Chapter 1 and Appendix II). Participants will work together to determine the opportunities current products and services are satisfying now and could meet in the future. In examining the particular windows that are open to them, participants will also identify the risks associated with the options and consider strategies to overcome these risks.

1. Draw the window with four windowpanes on a large piece of paper or on the ground, give titles to each box.

TABLE 6.2. ENTREPRENEURS' WINDOW

<p>1. Existing Product/Existing Market this involves selling more of the existing product to the same market of consumers - getting more of the same type of customers such as independent domestic visitors and travelers to go on an existing trek route</p>	<p>2. Existing Product/New Market– this option involves finding new markets or types of consumers for the existing product - in addition to the existing customers, finding new types of customers, such domestic visitors and groups to go on existing trek routes</p>
<p>3. New Product/Existing Market this option seeks to find new products for existing customers - creating a product for the existing base of customers, e.g. new trekking options for independent travelers</p>	<p>4. New Product/New Market the highest risk option, this seeks to develop new products for new customers - often the highest risk is to develop a new product and find the market for it, e.g. trekking where there has been none before</p>

2. Discuss with the group (or work in small groups and aggregate the findings at the end):
 - What products and services go in each window pane;
 - The potential profits and risks associated with each option; and
 - How these risks might be addressed – timing, resources, etc.
3. If there are many activities or products, break up the sessions into smaller ones, or give each group different sets of activities to work on. Follow the guidelines and questions given in the Tool description at the back of the Kit, including the Profit and Risk Analysis.
4. It is likely that participants will need to learn more about the risks associated with developing each option, but the discussion is usually very rewarding in terms of introducing the concept of risk, especially in the context of scarce and limited resources.

5. At the end of this step, participants should consider:
 - If certain items should be eliminated and why;
 - If certain activities or products need to be developed over a longer time horizon than originally intended;
 - What more needs to be learned in order to develop the most viable products and plans; and
 - How might they learn more about the key issues that will help them decide.

Based on past experience a common issue that emerges from this phase is the need to conduct market research to:

- Find out who will want to buy a community's products and services;
- How many potential and real clients there are that a community can target; and
- How much of the product needs to be available while still meeting the objectives discussed earlier.

After having a better understanding of these issues, you may want to go back and change the window that a particular enterprise is in if needed.

6. Assess this step with participants:
 - By examining the contents of the window or windows of options;
 - Through a review of the strategies or ideas to reduce the level of risk; and
 - By obtaining consensus on the issues about which participants need to learn more.

3 Strategy Development for Community-based Tourism through an Assessment of Factors that Contribute to Success

In this component, the purpose is to build upon the previous phases of Discovery (Initial Identification of Success Factors) and Dream (potential Community-based Tourism products), and the previous activities in Design, especially the Entrepreneurs' Window and assess in more detail the key factors that are likely to lead to successful Community-based Tourism. It is important to remember that as facilitators you are unlikely to be an expert in all of the key areas, and that you and the participants will need to consult with knowledgeable persons to help communities in the decision-making process. The key outputs of this step are strategies that build upon the existing assets and opportunities and outline how to overcome the constraints in product and service development.

1. From the previous activities in Design, participants ideally will have identified topics and issues about which they need more information. In most cases and for the purposes of a systematic approach to strategy development, the major topics

are generally grouped around the following (which were also identified in Discovery):

- Conservation/Environmental and Cultural
- Market – the products and customers
- Financial
- Social/Institutional/Policy
- Skills/Resources

Additionally, as facilitators you may want to group activities and products together to make the process more manageable, and to help participants develop more marketable products. For example, site management, guiding and interpretation services and market promotion may need to be considered as part of developing a new trekking route for domestic visitors. If enterprises have been separated from unrelated non-enterprise activities, it will be useful to include the latter at this point and conduct an assessment of success factors for these activities as well.

2. In order to conduct the initial assessment, it will be necessary to gather information to help participants engage in informed discussions. Facilitators may want to break this step down into some smaller steps.

Option 1

- An immediate preliminary discussion among community members to gauge current perceptions and key issues about which further information is needed. An initial ranking might be useful of each of the issues within a factor plus an overall total along with identification of key gaps in information.
- A participatory learning and information gathering effort based on the above findings and a further assessment of success factors, leading to an action plan (see Section 4)

Option 2

- An immediate preliminary discussion among community members to gauge current perceptions and key issues about which further information is needed. An initial ranking might be useful of each of the issues within a factor plus an overall total along with identification of key gaps in information.
- An action plan with some immediate activities that could be done, and also including a set of activities that address the information gaps and further learning needed by stakeholders to develop products and services

Much will depend on the role of the facilitator/s and other factors such as:

- Funding;
- Availability of time, and finding time when community members are free;
- The need to build confidence, often by doing one or more small scale activities immediately or soon after the initial interaction among

- stakeholders; and
 - The perceived importance of Community-based Tourism in the local economy.
3. Conduct an initial assessment based on available information and knowledge, using a format similar to that in Table 6.3. Assessment of Success Factors, and the guidelines shown in Box 6.3. Facilitators will have to use their expertise to guide the process of assessment and strategy development, especially the generation of new information to fill in the current gaps in understanding of the key issues. While the questions in Box 7.3. can help guide the learning process, the tools identified in Table 7.4. will assist practitioners and participants in choosing appropriate tools for more detailed information gathering.

BOX 6.3. KEY ISSUES IN THE ASSESSMENT OF SUCCESS FACTORS

— *Make full use of the already identified assets from Discovery, these will help build confidence among participants—*

Markets: Issues - market potential (is there demand and can it be supplied now and over time), competition (what, where, how much)

Conservation: Issues - availability of the resource and any inputs such as energy (over time and area), nature of positive impacts

Financial: Issues - profitability (contribution to incomes), facilitating and constraining factors

Social/Institutional/Policy and Legal: Issues - distribution of benefits (direct and indirect), social acceptance of activity, supporting organizations and structures, how will policies (regulations, taxes, fees, land tenure) affect the development of the activity

Skills and Resources: Issues - Skills present and available (amount, where, type), technology and resources (type, availability, necessity)

The issues can be ranked (high-3, medium-2, low-1) to help priorities the activity and also help identify gaps in information that need to be filled.

4. Ranking current levels of understanding and information may be able to help participants assess the need for more work, and the extent to which that work can be carried out with available resources and time. However, ranking carries with it some concerns that need to be considered such as the relative importance of the criteria being assessed (see Box 7.2.) Facilitators will be need to be flexible in guiding participants into the steps that are the most appropriate for the context, and not to push communities into activities about which there is a degree of reluctance and indecisiveness.

5. This component can be quite lengthy and care needs to be taken in planning the sessions required. Depending on the number of products and current understanding of the key factors, several sessions where PLA tools are conducted may be needed before an action plan can be prepared. Alternatively, the first action plan may be one that seeks to address the gaps needed to complete a reasonable assessment of success factors. As facilitators, you will need to judge the need to move to action and Delivery, rather than to continue with a phase that may appear to be in a planning phase for some time.

- ▲ ***Participatory Learning in Design and Assessment*** — A fundamental principle of APPA is that participants are empowered through a learning process that generates information for community-based planning, and affirms the knowledge held by participants. In Design, it will be necessary to gather information in several areas, but facilitators will need to be aware that not all the information needed will be available in the communities. As practitioners, they will need to fill gaps or find organizations or individuals that can provide some of the data needs.

The key issue to consider in the choice of the learning tool is the information required: what do participants want to learn more about, what types of relationships, what types of data (quantity, location, changes over time). Only then can one conduct a participatory learning exercise, and as the facilitators and participants get more familiar with the data needs and the tools, the level of innovativeness and adaptation will increase.

TABLE 6.4. TYPES OF INFORMATION AND POSSIBLE LEARNING TOOLS FOR DESIGN

Information and Understanding	Learning Tools
<i>Market</i> – demand and supply trends, seasonality, size and types of market, knowing competitors, comparing competitors, customer types and quantities, market linkages (local to international), product information, feasibility, strategy development	Trend lines, seasonal calendars, brainstorming, matrices (ranking and pair-wise), mobility maps, venn diagrams, market chains, force field maps
<i>Conservation</i> - threats (amount and source), location of resources, trends in use, removal rates, preferences in resource use	Pair wise-ranking, maps, mobility maps, trend lines, transects
<i>Financial</i> - sources and volume of funds, trends in profitability, types and acceptance of collateral, sources of capital and investment	Brainstorming , mobility maps, trend lines, pair-wise ranking, matrices
<i>Social/Institutional/Legal/Policy</i> – stakeholders (size and relationship), social acceptance, benefit distribution, types of benefits, decision-making arrangements	Venn diagrams, ranking, pair-wise ranking matrices, decision-making chains, mobility maps, force field maps
<i>Skills and Resources</i> - types, location	Maps, brainstorming, lists, mobility maps

BOX 6.4. OTHER TYPES OF INFORMATION GATHERING

In addition to participatory learning, it is important that Community-based Tourism planning makes full use of relevant data from other sources, such as censuses, reports, articles, village records, etc. Useful information sources regarding tourism could include:

- ▲ Libraries and research institutions;
- ▲ Government ministries and departments;
- ▲ Village records;
- ▲ Chambers of Commerce;
- ▲ Non-government organizations; and
- ▲ Trade associations of entrepreneurs.

6. At some point both facilitators and participants will need to decide if enough information has been collected to make an assessment of success factors, and to eliminate certain Community-based Tourism products and services from the current planning period. Based on the information available you may also want to postpone certain product development until a later stage. After an assessment of success factors, participants should have a list of the most viable products and services, plus a description of the status of success factors. This information will be used to develop a strategy for product development.

TABLE 6.3. ASSESSMENT OF SUCCESS FACTORS

Issues	Conservation	Market	Financial	Social/etc.	Skills/Resources
Assets	alpine meadows, birdlife, forests	growing numbers of domestic visitors	local credit groups banks nearby	strong community spirit, local ethnic dance group	ex-hunters with wildlife ex knowledge
Information	lodges use 40 kg. fuelwood daily, homes use 15 kg/day	60% of visitors are in groups, 40% are FIT, group visitors spend \$ 3-5/day and FITs spend \$10-15/day	3 lodges have increased profits over past three years	lodge operators are organized in a committee	more than 40 bird species sighted in 1 day with binoculars

Opportunity

New hiking routes targeted at domestic visitors using local village trails

Current Interpretation	Conservation impact will be limited through using existing trails	Domestic visitors spend more per day in village, and prefer short hikes	Cost of new route development unclear, but considered too high	Local interest in route management but structure unclear, no regulations on domestic visitors	No interpretation or interpretive skills
Information gaps/ strategies	Conservation education about impacts	Market research on ideal hike duration, features of interest, willingness to pay for guides	Financial plans for site management and promotion, alternative fuels and standardized rates route management	Assess if local committee to manage new sites	On-site interpretation, training in interpretation

7. The final task will be to develop a strategy for product or enterprise development. The strategy is not a detailed action plan (which follows), but a description of the opportunities and constraints associated with the enterprise, and how the constraints can be overcome. In practice, this strategy is a summary of the previous activities in this phase, and serves to review and emphasize the learning and decision-making thus far.

4. Action Planning for Community-based Tourism

The primary output of the Design phase, however long it may be is an Action Plan. This plan will guide activities for the duration specified and is designed to be informative and easy to follow, and builds upon the previous steps. The important elements in this activity are that it:

- ▲ Has active participation by community members and other stakeholders if possible; and
- ▲ Covers the basic questions of who, how, by when, where, what, etc.

Depending on the nature of Community-based Tourism objectives and products, action plans will vary according to site, stage of development and often participants. For facilitators and practitioners, it will be important to tailor the plan and any sub-plans to tasks that have been identified and to guide participants through the process of understanding the value of planning, giving responsibilities and looking at resource availability. Facilitators may want to consider generating a series of small plans among interest/groups that are consolidated into a larger one. This can increase active participation in planning and management, as well as cover more activities.

Action Planning

- ▲ Have an agreement about the action plan format that should be prepared before the session starts.
- ▲ Guide the participants through the action plan format to familiarize them with the process. Remember to make use of the Six Helpers (Why, What, When, How, Who, Where) which will help in completing the action planning systematically.
- ▲ Having demonstrated the process once, hand over the pens to the local people to take over. As facilitators, remember to keep in mind the findings and outputs of the previous steps.
- ▲ Once the action plan format is completed, discuss among all the participants to get their agreement on any issues about which they may differ.
- ▲ Make sure to leave the plan with the participants or display it in such a place where everybody has access or can view it.

TABLE 6.5. SAMPLE FORMAT FOR AN ACTION PLAN

Activity	Purpose	Who	Where	When	Success Indicator	Resources Local	Resources Other

Overall plans for Community-based Tourism - a consolidated, potentially, multi-year plan covering the range of activities. Such plans can be summarized by topic or time, with more detailed information in sub-plans that cover the topic or time period.

Topics may include:

- ▲ Skills development and training
- ▲ Income-generation
- ▲ Institutional capacity building
- ▲ Conservation/Restoration
- ▲ Education
- ▲ Information gathering

Business and Enterprise plans - depending on the nature of the Community-based Tourism strategy, various types of business plans will be needed, e.g. for value-addition, new enterprises, market expansion, etc. Again, depending on the nature of the activity, business planning may be annual or multi-year, and need not be a process that is entirely driven by financial and enterprise experts. Many of the learning tools can be adapted to help community members develop budget and enterprise planning skills, e.g. participatory budget preparation using games.

Marketing plans – determining customer needs and interests is at the heart of marketing, and since customer needs are constantly changing in a competitive environment such as tourism, marketing plans will need to be developed on a regular basis.

Monitoring and Evaluation plans - while the action plans contain success indicators that are recorded, it may also be necessary to develop more detailed monitoring plans that provide more information about conservation and economic impacts.

BOX 6.5. TIPS FOR PREPARING ACTION PLANS

- ▲ Keep the number of activities to plan at a manageable level
- ▲ Keep a supply of energizers to liven the process (games, jokes, tea, coffee)
- ▲ Ensure representation from a variety of community groups, e.g. women, young, elderly, and other players such as the private sector and government if necessary
- ▲ Decide together on the best time of the day to develop an action plan
- ▲ Make sure to pass the writing and facilitation role among participants
- ▲ Break the participants up into groups to prepare smaller action plans that are presented to other groups, and then consolidated
- ▲ Use a planning and questioning process in generating logical sequences of activities, clustering activities if this is helpful, breaking down activities into sub-activities

5 Participatory Monitoring and Evaluation

Monitoring and evaluation are critical components of any Community-based Tourism initiative, and as with the entire planning and implementation process should be participatory to the fullest extent possible. **The principles of APPA are just as relevant in this activity as in any other part of the planning cycle – look for and learn about what is working and why, use a participatory learning approach and look for sustainability.** The outcomes of monitoring and evaluation start the 4-D cycle again as participants are encouraged to re-discover the factors that lead to success and those which can be improved.

The purpose of this section is to provide a rationale for participation, outline key elements in the design of participatory monitoring and evaluation systems and present a sample format for a monitoring plan. The following sections can be used to facilitate discussion and development of monitoring plans. However, the reader is strongly encouraged to consult the sources listed in this Kit for further reference and guidance, especially Worah et al., (1995) from where we have borrowed some of the following ideas, as well as other material.

Participatory Monitoring – involves participants in a systematic and on-going process of information gathering and learning over a period of time which leads to regular assessment of purpose and enables adjustments and refinements to be made. Monitoring enables participants to:

- ▲ Track progress
- ▲ Provide and generate timely information for decision-making to improve efficiency and effectiveness
- ▲ Helps to identify problems before they happen (and turn into crises!)

- ▲ Adapt to changing circumstances
- ▲ Provide and generation information for evaluation

Participatory Evaluation – involves participants in making a retrospective assessment of performance and achievements at a particular point. Useful criteria to consider in conducting a participatory evaluation include;

- ▲ Relevance – significance with respect to specific needs and issues
- ▲ Effectiveness – performance in relation to objectives
- ▲ Efficiency – rate and cost at which activities lead to results
- ▲ Impact – relevant ecological, economic, social political consequences
- ▲ Sustainability – continuation of impacts after external support is withdrawn

What to Measure – Selecting indicators

What is an indicator – An indicator is a measure of change, and is NOT a target and therefore is neutral, e.g., an indicator should not be defined as “an increase...” or “decrease in...”, but is a variable that helps to indicate whether progress toward objectives is being made (or not).

Indicators should be –

- ▲ Quantitative and qualitative
- ▲ Minimum but sufficient
- ▲ Specific (who, where, etc.)
- ▲ Measurable
- ▲ Appropriate (scale, resources, time)
- ▲ Relevant to all stakeholders

BOX. 6.6. HELPERS TO FACILITATE THE CHOICE OF INDICATORS

- ▲ What would tell you that conditions in the forest had improved?
- ▲ What would tell you that _____ has occurred?
(income increased, fuel wood use decreased)
- ▲ What information would you need to make a decision? (to provide additional training, to plant more trees)
- ▲ What could you see, hear, touch that would provide information about change?

Why Use Participatory Approaches to Monitoring and Evaluation

- ▲ Creates ownership and responsibility in the collection of information and more confidence in the results
- ▲ Provides timely, reliable and valid information that may not be as statistically exact as formal methods, but accuracy can be improved through cross-checking (see Table .
- ▲ Builds consensus especially when participants work together as a team
- ▲ Builds skills and confidence among participants particularly when their efforts are the basis for greater participation in subsequent decision-making
- ▲ Utilizes local knowledge that may result in greater efficiency and learning by all participating

A plan to help guide participatory monitoring may be useful, although to some extent simple monitoring should also be part of any action plan as well. The format below (Table 6.6.) only serves to guide facilitators – it may wise to use simpler versions depending on the size of the project or program and the context.

TABLE 6.6 PARTICIPATORY MONITORING PLAN FORMAT

Objectives	Evaluation Questions	Indicators	Means of Verification	Baseline Data needed	Frequency	Who is involved
Increased revenue to trained porters	Are porters earning more after training?	Amount received reported by trained and untrained porters Amount paid reported by agencies and visitors	Interviews Observation Receipts	Current amounts received and paid before training and publicity activities	Before and during tourist seasons	Porters, visitors, agencies, local villagers

Participatory learning is a critical element in monitoring and evaluation. Most of the learning tools used throughout the planning cycle are equally applicable at this stage. Facilitators should encourage participants to develop skills in choosing relevant tools for monitoring and evaluation. The use of pictures and diagrams to assess change and progress are particularly relevant since their use increases the opportunities for those with poor literacy skills to participate (see Box 6.7.).

BOX 6.7. FIELD NOTES FROM AN EVALUATION SESSION

from Community Initiatives in Ecotourism: A Case Study from Sikkim
(in Bornemeier et al., 1997)

On the first day of the evaluation session about 15 community worked together to analyze the activities of 1996, to discover the successes and the reasons why. The session was quite long as people were listening to what everyone had to say. We generated a list and later tried to focus on activities that were linked with conservation since this is critical to ecotourism, and gave an opportunity for participants to think carefully about linkages.

The pair-wise ranking of 1996 activities was very interesting as it showed that community initiated activities such as fighting a forest fire got the highest ranking while the study tour to Kurseong and Poly House Vegetable growing got one and zero points respectively. The community felt that this activity did not benefit the entire community and as such they ranked it so low. So it was discussed as to how a study tour could become meaningful for everyone and then they came out with the criteria as to what sort of a person should go for a study tour and after returning how the benefits could be shared by all community members. They took the responsibility of selecting their representatives for the forthcoming study tour to Nepal - The Panchayat, The Khangchendzonga Conservation Committee and the Khangchendzonga Samiti would select two members each for representing Yuksam in the tour and they have ensured that they will share the learning with the community.



CHAPTER 7

Delivery and Re-Discovery

“With the participation of the entire village, in just a few hours we did what we could not do for 43 years: we planted more than 150 trees on the slopes above our home to help prevent landslides and to make the community more attractive to tourists – and all in less than four hours. With herders represented at the planning workshop, we were able to all agree to keep the livestock from grazing the re-forested land without constructing a wall. We all contributed a little money to pay a person to water the seedlings until the monsoon rains start next month.”

Community member of Sing Gompa,
Langtang National Park, Nepal

Introduction

Delivery is the “Action” in Appreciative Participatory Planning and Action, the fourth — but not final — step in the 4D cycle; it is ongoing implementation of the plans developed in Design, and much more.. As the key to sustainable Community-based Tourism lies in building the community’s skills and motivation to carry out the plans they have made, Delivery also focuses on building community initiative, confidence, and commitment to action, and continues in the APPA style of building upon “what works.”

Thus, the circle closes with a return to Re-Discovery, and a continuation of the 4D cycle, again and again. As plans are implemented over time, Re-Discovery reflects upon and evaluates what was learned – *“what went well, what could have been better”*... — and reassesses *“what next”*. New strengths and opportunities are identified as the foundation for re-viewing and updating the strategy for attaining the Dream, and successes are celebrated.

Components, Steps and Outputs of Delivery and Re-Discovery

In addition to on-going implementation, Delivery and Re-Discovery have key components to address its varied functions.

- ▲ **Personal Commitments** - Each participant makes a public commitment to do something, as an individual outside of his or her normal work responsibilities, toward achieving the Dream. These are noted down and reviewed and celebrated in the future.
- ▲ **Immediate Group Action**- Participants bring together other community members and as a group they select, plan for and do an activity immediately (as the concluding activity of the planning workshop) toward achieving their Dream for Community-based Tourism.
- ▲ **Ongoing Implementation, Reflection, Evaluation, and Re-Assessment** - The community continues to implement the action plans, over time, monitoring the impacts and benefits, reflecting upon lessons learned, and developing managing and marketing strategies that build upon new successes, new strengths, and opportunities.

1. Personal Commitments

Personal commitments are individual promises to undertake a task on one's own toward attaining the community Dream. Commitments should be realistic: something an individual is able to do rather than something that impresses others but won't be done. Some examples: "I promise to plant flowers around my lodge to improve the village appearance;" or "I commit to picking up trash in the village every month." The process of making Personal Commitments personalizes each individual's contribution toward the community Dream. Everyone counts, and every action helps. Commitments serve as public promises that can be monitored in follow up meetings as a measure of local initiative. Each individual's follow-through becomes a matter of civic pride, and should be acknowledged and rewarded publicly

Exercise for Identifying Personal Commitments

Ask everyone in the room, including facilitators, project staff, observers, etc. to think a moment and make a verbal promise to the group to do something that helps achieve the community's Dream for Community-based Tourism. Write everyone's name and personal commitment on a large paper. Commitments should be sincere and realistic promises. Each person should be applauded for his or her commitment, no matter how large or small. Facilitators should be prepared to deliver on commitments as well, something beyond their normal job responsibility that makes it a true personal showing of support. Leave the list with the community; next time the group gets together, participants can report on commitments carried out, and make more.

2 Immediate Group Action

A tremendous amount of positive energy and confidence builds up during the Discovery, Dream and Design phases of APPA. This enthusiasm can be captured and turned into action that puts the Dream in motion. Immediate actions inspire further confidence and pride among community members and emphasize the spirit of participation and self-reliance that runs throughout the 4-D planning process. Actions are started and completed within a few hours, and benefit the entire community, thus engaging a wider population in the aims and immediate results of APPA. Activities such as rubbish clean-up and disposal, tree planting, repair of trekking or village trails, etc. are some actions that communities along Nepal's trekking routes have done.

The immediate action also serves as a final enjoyable, recreational activity of the planning session: a cause for celebration! Group action has a bonding and exhilarating effect on participants. Work that may be drudgery if done individually can become a game, and can be rejoiced with song and dance, even on top of the buried rubbish pit.

Exercise for Immediate Action

1. Decide upon Immediate Action

Initiate a discussion among participants (or include the wider community) as to what they as a group can do the same or next day (before the conclusion of the session) that will help achieve the desired state of Community-based Tourism and conservation of what they value as tourism assets. The action might be the first step in one of the planned implementation activities, but it should show results immediately.

2. Develop Action Plan

Develop a quick action plan for the selected activity, including the tasks to be done (what), the objective (why), a time and place (when and where), lead and support responsibilities (who), materials and skills needed and sources of those (how), and indicators of success (how they know when the job is done successfully). Seek permission from landowners or local institutions if necessary.

3. Do It!

Now set to work. The group enthusiasm is likely to attract a large following, so team leaders should be prepared to allocate tasks and tools.

4. Evaluation of Action

At the conclusion of the Action, have a brief discussion about what went well, and what could have been done better, and then celebrate.

3 Ongoing Implementation, Reflection, Evaluation, and Re-Assessment

Delivery is making Dreams come true; “delivery of the goods;” it is the implementation of action plans to develop and manage Community-based Tourism by the community.

The action plans developed by the community during the Design phase tell What, Why, Where, When, Who, and How to carry out activities to achieve the Dream within a time-line of short, medium or long term. It is important to review the overall time-line and total amount of local resources committed to implementation: “Is the schedule for implementation realistic? What is the strategy for raising local resources and mobilizing community action?” The participants should leave the APPA session with a clear plan of what to do next: which activity to do first, when the next meeting will be, and what needs to be done before the next meeting. If outside assistance or funding is needed, such as a matching grant or loan, they will need to develop a more detailed feasibility analysis or business plan that meets the funding agency’s objectives.

During the planning session, participants’ spirits are high and commitments of time and resources are readily made. But once the group disbands, it is common for that enthusiasm to fall as personal or family responsibilities take precedence. Follow-up support by project planners, partner organizations and most importantly, by local institutions or individuals, is critical within a few weeks or a month, and periodically (every two to three months) throughout the implementation schedule.

APPA planning tools are also useful in monitoring the implementation process, on the ground results and impacts, and institutional growth. A monitoring plan may have been developed during the Design phase for each activity, with indicators, methods of measurement, responsibilities, time frame, etc. Project staff should maintain close contact with communities to monitor progress in the implementation of action plans. The use of APPA tools for monitoring purposes is discussed in the back of this Kit.

As progress is made in the implementation of Community-based Tourism plans, it is important to reflect, re-evaluate, and re-assess the results *and* the process. The community needs to know what it is doing well, and what it needs to do better, both in terms of achieving Community-based Tourism objectives of supporting conservation and generating local benefits, as well as having strong community participation. Both are critical to sustainable Community-based Tourism. Re-Discovery thus consists of:

- ▲ A reflection on what the community has learned (e.g., new information, new skills, etc.) and how it can incorporate that learning into the strategy for achieving the Dream;
- ▲ An appreciation of what the community has accomplished, what it is proud of, and what tourists value and are willing to pay for; and
- ▲ A re-assessment of community assets, strengths and opportunities, and how it can further build upon those for sustainable and marketable Community-based Tourism.

There is no fixed schedule for Re-Discovery: it should be done periodically as a monitoring exercise to re-assess the situation and re-formulate strategies as new opportunities arise. In a three to five year planning cycle, Re-Discovery should be done at least every three to six months to review the short term achievements and progress, and to plan for (Design) the next cycle.

Exercises for Reflection and Re-Assessment

1. Reflection

Periodically throughout the period of implementation, schedule a reflection and evaluation session or informal gathering with participants of the original planning session, and others in the community to get a wider assessment of what has changed. This can be done by asking simple questions, such as those listed in the box above, or more specific questions focusing on the specific actions and indicators but using an appreciative approach. PLA tools can also help stimulate discussion and provide a more concrete method of measuring change.

2. Re-Discovery

Re-Discovery looks again at the good things and successes achieved since the first round of Discovery, with periodic reflection on:

- ▲ What went well?
- ▲ What could have been better?
- ▲ What are you proud of (this could focus on improved assets, achievements, new skills, etc.)
- ▲ What is working?

Do's & Don'ts For Teams

Do

- ▲ Pre-inform participants about the venue of the meeting venue, expected participation (male...female and children..?) and the purpose of meeting, include the possible duration of meeting to key community members, village groups leader and government personnel.
- ▲ Prepare for the meeting and assign responsibilities among yourselves (one should facilitate, one should be taking notes, and another should be observing and telling the facilitator when the discussion is being dominated by certain people, etc.).
- ▲ Arrive at the venue earlier than given time.
- ▲ Check the distribution of participants (make a note if you need to arrange another meeting with those who are missing) and start the meeting with an introduction and an overview of the purpose and nature of process to be used.
- ▲ Welcome and greet participants using the local language and acknowledge their contribution of time.
- ▲ Make sure that the interaction is not dominated by a few people, ensure that as many have the chance to speak as possible - use mechanisms to ensure participation and no interruptions.
- ▲ Be aware when the process is losing energy and try to liven the interaction - stories, jokes, etc.
- ▲ Respect local cultures and traditions, especially in a rural setting.
- ▲ Make sure that the information generated is also left for the participants - summaries the findings in a participatory manner and leave charts, maps, etc with the participants.
- ▲ Acknowledge participants' effort and time.
- ▲ Make sure that all team members debrief and complete a report before leaving the site.

Don't

- ▲ Hold meetings in political party offices, and avoid conducting meetings in private houses and same venue again and again.
- ▲ Wait too long to start the meeting.
- ▲ Make final summary based on one point of view.
- ▲ Become angry in meetings. Avoid public arguments among the team members
- ▲ Pressurize village people especially women to adjust meeting times to suit yours.
- ▲ Ask too many closed or leading questions (those that result in a yes or no answer).

Brainstorming and Clustering Techniques

- Objective**
- ▲ To quickly develop an unconstrained, non-evaluated list of issues, topics and questions using the collective insights of a group for later discussion, grouping, clustering, sorting and prioritization.
 - ▲ To help in team building

Materials Flipcharts, small sheets of cards or paper, tape, white board, pens

Time 30 - 45 minutes

Steps

1. Ask the group to appoint a recorder who will not participate in the session but will make a note of all the proceedings.
2. Ask the group to think of the different issues and topics related to the particular subject of the day.
3. Encourage the group of participants to think adventurously. Everything must be noted, even the wildest of ideas. Encourage quantity of ideas about the issue rather than the quality, the more ideas the better.
4. Two options for recording brainstorming:
 - (a) People call out their ideas and the recorder writes them down each on a flipchart or white board. It is basically a collection of all the ideas, no evaluation or comments on the ideas provided.
 - (b) People write down the issues, their ideas, and questions on pieces of the cards provided earlier. These are then collected and pasted on the board.
5. Cards that are pasted on the board are grouped according to broad topics. Exact duplicates may be removed, but all other cards must remain on the board, even the most outrageous.
6. Participants can join in to cluster the different cards according to the broad topics.

Comments

This method is quite flexible and can be used for a variety of purposes. It is a very useful way to involve all participants in almost all discussions. Even the most reserved participants feel bold enough to let their ideas flow. Ideas are generated on focused topics which makes the process very quick.

SNOWBALLING – A VARIATION TO BRAINSTORMING

1. Divide the whole group into pairs, and each pair is asked to brainstorm and write down ideas on cards/pieces of paper
2. After a few minutes two pairs join, and so on and compare lists and prepare a list that captures the ideas of four people. This process is repeated in the larger group.
3. After a few minutes the groups of four become eight, and the brainstorming and listing continues.
4. Continue the formation or “snowballing” of larger groups every few minutes, until you have a master list of the whole group
5. This process needs to be relatively quick with groups joining together every few minutes (use a bell to move people along).

Maps for Community-based Tourism

- Objectives:**
- ▲ *Discovery Maps:* To produce a map of current tourism assets and resources to serve as the basis for community-based tourism product identification, planning, and development, and for use in monitoring changes over time.
To collect and demonstrate the value of presenting different perspectives in mapping.
 - ▲ *Dream Maps:* To produce a map of potential tourism assets, activities, and development opportunities that represent the collective Dream for community-based tourism and conservation.
- Materials:**
- ▲ Small objects such as rocks, corn kernels, dry beans, sticks, twigs, seeds, grass, etc.
 - ▲ Large paper, pencil, colored pens, colored paper, glue, scissors
- Time:**
- ▲ Total time: approximately 1.5 hours

Steps

1. Explain the purpose of mapping community-based tourism assets:
 - ▲ To identify and value assets and resources that currently attract tourists, that the community is proud of, and that provide a foundation for strengthening community-based tourism (see list of CBT Assets – Box 4.1.).
 - ▲ To draw the community into the process of community-based tourism planning by learning participatory mapping skills to gather different perspectives.
2. Explain how the CBT map can be used:
 - ▲ As the basis for developing a CBT plan.
 - ▲ To document the number of households currently benefiting from tourism and tourism-related skills of those persons residing therein.
 - ▲ To map land ownership
 - ▲ To show the community tourism assets in relationship to other nearby tourist attractions, roads, trails, airports, etc. to build on the regional strengths
 - ▲ To highlight sensitive environmental and cultural sites.
 - ▲ To provide baseline data for monitoring change in CBT assets, impacts, and benefits.
 - ▲ As the basis for a brochure or map informing tourists of interesting sites.
 - ▲ Etc: perhaps participants can think of additional uses as part of the discussion.

3. Divide participants into groups of 5-7 to facilitate the production of CBT maps. Participants should represent a cross-section of the village in terms of gender, age, livelihoods, etc. to bring different perspectives to the map (e.g., farmers, tour guides, religious leaders, lodge operators, women), and to start to identify how CBT takes in many aspects of the community. Be sure there are people who know something about tourism and what tourists like; and who are knowledgeable about the area.
4. Assign responsibilities among facilitators and/or participants as the *Interviewer*, who takes the lead in asking questions that result in the identification of tourism assets by the participants, and assures that all participants have a chance to contribute; the *Recorder*, who keeps notes about tourism assets that are not easily represented on the map and any other useful information or side stories brought out in the map-making process; and the *Observer*, who observes and notes the process of map-making, paying attention to who is participating and who is not, what and how the questions are asked and whether they generate the right information.
5. Discuss the area and scale of the maps to be made, and what to show on the maps. Different groups may want to map at different scales, some focusing on the immediate community and others on a wider area. They can also produce maps of the same scale, showing the different perspectives of participants.
6. Maps should be made on the ground using stones, sticks, seeds, leaves, etc., which are collected in advance. Choose a site out of the wind that will attract other community members. Participants should invite others' comments in map-making exercise. If a site on the ground is not available, make the map on a surface that can be easily changed, such as a chalk board. Paper and pencil are not the best choice as only one person usually controls the pencil. The idea is to engage the entire group in placing the stones and seeds on the ground where they go. In the process, participants and community members will discuss the relationship of various sites, the history, stories, etc. which are also enlightening and provide good material for community-based tourism planning.
7. A good way to start the map is with a line on the ground showing the main road or trail through the community. As details are filled in, don't worry about scale: this is a schematic map only.
8. The facilitator should stay in the background as much as possible. If participants are stuck for what to map, he or she might suggest some types of CBT assets and resources from the CBT Assets list (see Box 4.1.). Be sure that human resources and skills, such as tour guides, weavers, English or other foreign language speakers, etc. are represented on the map as well; show these with a symbol on the skilled person's home or work-place, or in some other manner. This information

can be cross-checked later in another participatory exercise.

9. Be sure to capture other assets or resources that are not easily mapped, such as good views, clean air, friendly people, good access, good climate peacefulness, a multi-ethnic population, etc. in some way, such as with pictures or symbols; you might need to also prepare a list of these for clarity. The *Recorder* should note all of the discussion as much information comes out during this participatory exercise.
10. Focus on preparation and completion of the map on the ground before copying it onto a paper. This allows participants to continue to discuss and revise the map until the end.
11. When the participants feel the map is complete, ask one of them to now copy it onto a large paper, using colored pens, for sharing with others. Be sure to label it, note the names of all informants, the date, north arrow, and a legend.
12. Gather together and have each group present its maps. Note what features all groups included, and what only certain groups included, relative to who the participants are in those groups. Discuss the different perspectives and biases represented.
13. If several maps were made of the same or overlapping locality, reach consensus on what aspects of each maps to include in a final composite CBT map; produce a final map on a large paper that all agree to. Copy it onto an A4 size as well for the report.
14. Discuss the process of making the map, in terms of what was easy and difficult to agree upon, what was included and excluded (note: keep excluded things in "parking lot" for inclusion elsewhere), what they can do with the information, how they now feel about their community and opportunities for community-based tourism.
15. Conclude the session with reflection. Questions for reflection: *What did you learn?, What was good about process, What could've been better?*

Sample List of Community-Based Tourism Assets for Mapping Exercise

1. Natural Features

- ▲ Scenic and varied landscape (meadows, varied ecological/altitudinal zones, open vistas)
- ▲ Forests and vegetation (type of), rare vegetation species
- ▲ Streams, rivers, lakes, waterfalls
- ▲ Mountains, climbing peaks, glaciers
- ▲ Ocean, sandy beaches, rocky sea cliffs
- ▲ Wildlife habitats/conservation sites
- ▲ Wildlife viewing areas
- ▲ Fishing or scuba sites
- ▲ Hot springs

2. Cultural Sites and Activities

- ▲ Monasteries, temples
- ▲ Caves, holy lakes
- ▲ Festival grounds
- ▲ Pilgrimage routes
- ▲ Traditional architecture in houses, buildings
- ▲ Art gallery
- ▲ Museum

3. Community-based Tourism Facilities and Services

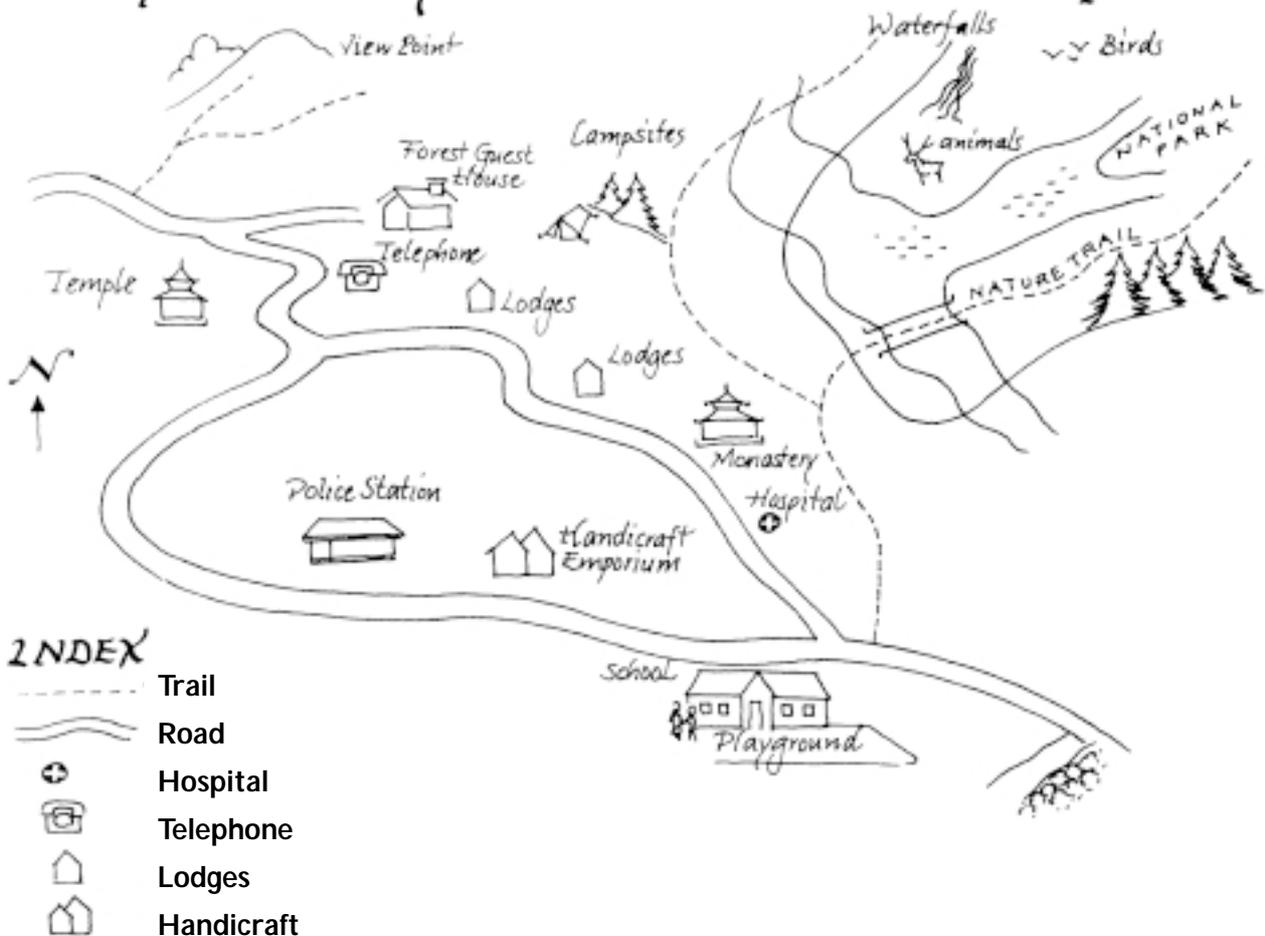
- ▲ Lodges, hotels/motels, guest houses, campsites, hostels, home-stay sites
- ▲ Restaurants, tea shops
- ▲ Food sales, vegetable cultivation, dairy sales, special regional foods (cheese)
- ▲ Supply sales and rentals, e.g., camp and recreational equipment
- ▲ Alternative fuel (kerosene depots, solar, hydro-electricity)
- ▲ Visitor information center, check posts
- ▲ View points and rest stops, sunsets and sunrise spots
- ▲ Trails, bridges, roads, airports, train and bus service
- ▲ Handicraft production and sales sites
- ▲ Water sources
- ▲ Telephone, hospitals, community services...
- ▲ Emergency rescue, helicopter pad
- ▲ Park offices
- ▲ Rubbish disposal, treatment, recycling
- ▲ Toilets (lodges, public), showers
- ▲ Signs (trail directional signs, information, rules, etc.)
- ▲ Animal transport grazing sites

- ▲ Porter rest shelters
- ▲ Horse riding
- ▲ Rafting, kayaking, canoeing sites
- ▲ Skiing sites

4. Community-based Tourism Human Skills

- ▲ Tour, trek, cultural, naturalist guides, mountain climbing guides
- ▲ Porters, animal transport drivers
- ▲ Special cooks
- ▲ Handicraft producers (e.g., weavers, wood cutters, bamboo workers, artisans)
- ▲ Foreign language speakers
- ▲ Medical skills

Example Community-Based Tourism Resources Map



Force Field Analysis

- Objective:**
- ▲ To develop a shared vision of a “future situation” for community-based tourism and conservation as part of Design phase.
 - ▲ To develop strategies for achieving the future situation, focusing on strengthening local resources, overcoming constraints, and enhancing community commitment and participation in achieving it.

Materials: Sample drawing of Force Field diagram (see next page), flipchart paper, colored pens, ruler

Time: 2 hours

Steps

1. Introduce the Force Field diagram.
2. Explain that the left hand box labeled “present situation” represents “where we are now” with regard to the objectives of community-based tourism and conservation (i.e., viable enterprises that generate community benefits and contribute to conservation, and local communities empowered and capable of conservation).
3. The right hand box represents the future situation, as it will be in an improved state that achieves the objectives.
4. The distance between the two boxes represents how far apart the two situations are, or how much improvement is needed to attain the future situation.
5. Brainstorm all together and select a present situation that relevant to the objectives (e.g., 75% of local revenue from tourism is benefiting five wealthy lodge owners), and to visualize the improved future situation of wider community benefits from tourism (e.g., ten families of lesser means are operating profitable home-stay programs to tourists).
6. Discuss how far apart these situations are in terms of how much effort (development of local skills in English language, hospitality, and cooking; and overcoming a lack of funding) it will take to achieve the future situation. Draw the boxes a suitable distance apart to represent the degree of effort required.
7. Portray in words or pictures the present and future situations in the boxes.
8. Draw an arrow connecting the boxes to represent the “critical path” to achieving the improved future situation. The arrow should be drawn boldly to show confidence and determination, and even decorated to reflect the level of commitment and excitement.
9. Now draw lines with arrows labeled “constraints” (or hindering forces that are in the way of achieving the desired situation) pointing downward and away from the critical path, and lines with arrows labeled “local resources” that will assist in achieving the future situation (e.g., skills, materials, funding, technology, commit-

ment, etc.) pointing upward away from the critical path..

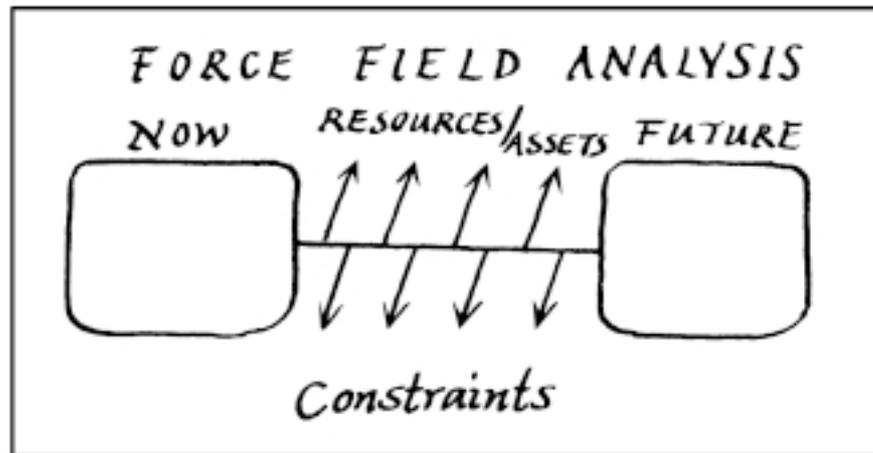
10. Brainstorm and note in words (or pictures) constraints and local resources attached to the lines with arrows.
11. Break into groups and discuss ways in which local resources can be strengthened, with specific actions such as training (in English language, hospitality, cooking). Share with the other groups, modifying, adding or deleting the recommendations.
12. Ask the participants to sort the constraints or hindering forces according to the following criteria: easy to overcome, can be overcome but with difficulty, beyond the control.
13. Return to the groups, take each constraint at a time and brainstorm appropriate strategies, actions, and skills/resources to weaken or eliminate the constraint. Phrase these as positive actions that build upon local strengths and capabilities, rather than looking outside for solutions. Share these with other groups for discussion and revision.
14. Finalize the chart, and wrap-up with what the participants learned from the exercise, what they liked about it, and how it might be used to address other issues.

Comments

- ▲ Force Field Analysis serves a complementary function to the Discovery, Dream and Design phases of APPA, and begins to address actions needed to accomplish the Dream. It directly identifies constraints, or “hindering forces” to be overcome, unlike the APPA approach which indirectly deals with problems and constraints, instead focusing on opportunities that build on strengths. Discussion of constraints should address positive actions that build upon local skills and resources.
- ▲ Refer to the strategies to strengthen local resources, and strategies to overcome constraints, later in the development of Design action plans, where details of who, when, where, how, why, etc. will be addressed.
- ▲ It may be useful in introducing this exercise to begin with a very simple example of “local resources” and “constraints” to accustom the participants to the terminology and representation mechanisms — an example with not more than two or three arrows.

(Source: Bhatt et. al, 1998, Rietbergen-McCracken and Narayan. 1997)

Example of Force Field Analysis



Matrix Ranking

Objective To produce a scored and/or ranked list of criteria or qualities about some topic of interest.
To show participants how they can discover different perceptions about advantages and disadvantages of a particular issue amongst different social groups in a community.

Materials Papers, pens, chart papers, and any local material like seeds, stones etc.

Time 1 hour

Steps

1. Divide the participants into groups of three or four. In each group ask participants to assign responsibilities of one or two interviewers, one recorder and an observer.
2. In the meeting community participants, the team identifies four or five key issues or topics for the ranking exercise depending upon the theme of the investigation.
3. Having identified the issues, gather various criteria for their assessment. For each issue questions such as "what is good about it?" can be asked. Even negative criteria such as expensive can be turned into a positive – cheap. Continue asking questions until there are no replies and there are several criteria (between 10-20 is enough)..
4. Groups prepare the matrix table that lists the issues across the top against the various criteria down the side. Participants the work together to rank each issue or topic against each criterion. Questions in the following sequence help to facilitate the session
"Which is best ?"
"Which is next best ?"
"Which is worst ?"
"Which is next worst ?"
"Of the two remaining, which is better?"
5. While conducting the matrix scoring, explain that they can choose how many counters (stones, seeds, bottle caps etc) to place in each square representing the relative value of the object ranked against each criterion. For example placing four seeds in the square for the durability value of oak, and only three for alder, the participants is indicating that oak is highly durable compared to other timber.
6. Record the results directly on to the matrix, and review the final results with questions such as "What are the top four and why?"

Comments

- ▲ As the matrix scoring is in progress, discussion can be promoted if participants are asked which criterion is considered important by people and why?
- ▲ If possible it is best to limit the number of topics to be ranked to less than ten, otherwise the exercise can become too lengthy.
- ▲ Ranking can produce inaccurate results if the participants are not clear about the criteria.
- ▲ Avoid asking questions that are beyond the knowledge or experience of the informants.
- ▲ Village women are busy with household tasks and are often shy, this may affect their ability to participate, and a separate session might prove fruitful.
- ▲ Be careful about the interpretation and use of the analyses – the total score hides the fact that not all criteria carry equal weight and value.

Tips

- ▲ Select times of the day when ranking is likely to cause less disruption to local activities of the people
- ▲ Locate key informants and knowledgeable persons who are willing to participate and provide a wide cross section of information and opinions.
- ▲ Check reliability of information collected through direct observation and cross - checking.

Matrix ranking for traditional food

Criteria	Dhero	Gundruk	Kodo Roti	Kinema	Chhang
Available locally	○ ○ ○ ○	○ ○ ○	○ ○ ○	○ ○ ○ ○	○ ○ ○
Nutritious	○ ○ ○ ○	○	○ ○ ○	○ ○	○
Quickness of Preparation	○ ○ ○ ○ ○	○	○ ○ ○ ○	○ ○ ○	○ ○
Which dish tourists like most?	○ ○	○	○ ○ ○ ○ ○	○ ○ ○	○ ○ ○ ○
Appearance	○	○ ○	○ ○ ○ ○ ○	○ ○ ○	○ ○ ○ ○
Flavour	○ ○	○ ○ ○	○ ○ ○ ○	○	○ ○

Mobility Map

Objective To help understand the spatial relationship between locations, resources and their use, and also time. For example, to identify where local people travel, purpose of their travel, distance travelled and time taken .

Materials Pens, flipcharts, local materials.

Time 1 hour

Steps

1. Introduce the session to the participants stating that the movements of local people will be traced to understand why people travel out of their village, how far they go and how long does it take them to do different activities.
2. On the chart paper or on the ground, draw a circle representing the village community. This helps focus the exercise and serves as the starting point.
3. Start with one issue, for example, Where do you have to go to get medical services for yourself, Where do you send visitors for medical services, How far away are these places and if they are different places why do you go here and visitors are sent somewhere else?
4. On the mobility chart, each typical journey is shown by different lines, relative distances from the village and reasons can also be recorded along the lines.
5. While working with local participants on issues of mobility, access to resources, etc., deal with only one topic at a time. Only when one topic has been covered adequately, should you move to the next one.
6. Having completed the mobility chart, discuss the opportunities and constraints the people face around their area.

Questions to ask

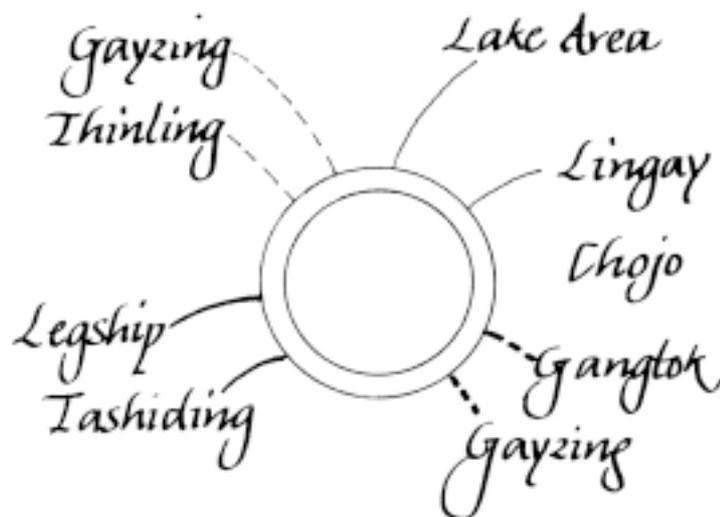
- Where have they been going and why?
- How long have they been going there?
- What are the special features of the sites they go to?
- How have the patterns of movement changed and why?

Comments

1. To generate discussion about the various activities the village people do, a balanced participation of men and women is helpful.
2. By tracing the movements of local people, participants reflect and analyze their economic status since some may travel to distant places for education and medical treatment depending upon costs.
3. The intensity of their movement to areas around their village can give an idea of pressures and threats to natural resource extraction. The time taken for different activities should also be recorded as it tells participants how much time they give for a particular activity and why it is important to them.
4. The information can be useful in planning since it helps field workers to meet people in time to implement development activities

Example of a Mobility Chart

Mobility Map - Mobility of People in Kecheopalvi Village, Sikkim



Index

- Pilgrimage
- Official Work
- Fuel and Fodder Extraction
- Medical Treatment

Entrepreneur's Window – Options for New Product and Market Development

- Objective :**
- ▲ To help analyze Dream products in terms of product (supply) and market (demand and customers)
 - ▲ To analyze risks associated with product and market development in the Design phase

Materials : Flip chart paper, pencil/pen, ruler

Time : One hour

Steps

1. Identify Products and Market Options:

- ▲ At the beginning of the Design phase, the question is asked: *“What activities can you do and want to do of those identified in Dream?”*. A ranking exercise is done to prioritize activities according to potential for local benefits, links with conservation, and local skills, resources and commitment. This Options tool can also help in prioritizing activities related to product design and market options.
- ▲ Ask the question: *“What community-based products and/or markets can be developed?”*.
- ▲ New products might be brand new products or activities (e.g., a new destination or newly established home-stays), or variations on or value added to existing products (e.g., new packages at an existing destination, set meal combining traditional foods).
- ▲ New markets might be an entirely new market segment (the “green” market) or a subdivision of existing market segments, such as *elderly* or *family* trekkers.
- ▲ There are four options to consider, as shown in the **bold** matrix combinations below
- ▲ Draw a simple matrix with three columns and three rows (with large boxes for the bold headings) and fill in the following information.

<p>1. Existing Product/Existing Market this involves selling more of the existing product to the same market of consumers - getting more of the same type of customers such as independent domestic visitors and travelers to go on an existing trek route</p>	<p>2. Existing Product/New Market– this option involves finding new markets or types of consumers for the existing product - in addition to the existing customers, finding new types of customers, such domestic visitors and groups to go on existing trek routes</p>
<p>3. New Product/Existing Market this option seeks to find new products for existing customers - creating a product for the existing base of customers, e.g. new trekking options for independent travelers</p>	<p>4. New Product/New Market the highest risk option, this seeks to develop new products for new customers - often the highest risk is to develop a new product and find the market for it, e.g. trekking where there has been none before</p>

- ▲ Identify an existing product or activity from Discovery and identify its existing market.
- ▲ Now examine the enterprise results of the Dream phase and consider where each might go in terms the product and its customers. At this point participants can analyze each window and its contents in terms of a profit and risk analyses (see below).
- ▲ Participants can also examine the contents of the existing product/existing market box and consider whether they would want to change the market to increase profits and who they might do this (see Comments section).

2. Profit and Risk Analysis:

- ▲ Discuss the potential profit and risk factors in the four options. Ask: which combination potentially has the greatest profit, the greatest risk, and in between?
- ▲ Draw an X and Y axis, X for potential profit, Y for potential risk.
- ▲ Along a 45 degree transect from bottom left to upper right, draw in boxes labeled EP/EM, EP/NM, NP/EM, NP/NM to represent the four options according to their rated potential profit and risk.
- ▲ This graph can be referred to later when market segments and strategies is discussed.

Comments

- ▲ **Existing Products/Existing Markets:** The option of lowest risk is to continue making the existing product (or doing the existing activity) and marketing it to the current market. *The Marketing Strategy would be to expand sales to existing markets:*
 - Attract more customers
 - Convince current customers to buy more of the existing products by intensifying promotion, improving quality of existing product, or adjusting the price.
- ▲ **Existing Product/New Markets:** The option of moderate risk is to continue making the existing product but adding or expanding into new markets. *The Marketing Strategy would be to develop new markets:*
 - Conduct a marketing survey to identify new markets
 - Study market trends to identify emerging markets
 - Search for new market localities (niches) or explore export markets
 - Focus on improving efficiency or effectiveness for a section of the market better than your competitors
- ▲ **New Products/Existing Markets:** Another option of moderate risk is to introduce new products to an existing market. *Companies that have a well established market often do this.*
 - Conduct market survey to identify new product potential, then test the market.
 - Involve existing customers in the conceptual design of new products.
- ▲ **New Products/New Markets:** The market option of *highest risk but with greatest potential profits* is this.
 - Customize new products to suit new or emerging markets
 - Develop a promotional strategy to create a distinctive product identity targeted at an anticipated demand

Pairwise Ranking

Objective To describe the basic procedure of pairwise or preference ranking
To highlight how participants make choices based on agreed criteria
To highlight the importance of exploring the existence of key differences in preferences between participants

Materials Papers, pens, flipchart paper

Time 1 hour

Steps

1. Divide into groups if needed and then assign roles of interviewer, recorder and observer among team members.
2. Each team works with local participants to identify and list the different items that are to be discussed and ranked, for example timber trees, fodder types, fruits etc. Ask participants them to choose a maximum of up to 10 items for ranking depending upon the investigation. If too many items are chosen then the exercise becomes too lengthy.
3. Ask the participants to draw up a recording matrix where the different items are listed on both axes. Avoid explaining the entire exercise at the start since this often confuses participants – take it step by step.
4. Begin the exercise by asking the participants pair by pair to nominate their preference between the first two items. The participants should be asked why s/he has made the choice. The probing of the choice continues until no further questions arise and should be carried as a group discussion with a consensus on the final choice. The question that forces participants to make the choices is important. Once the choice is made, it can be recorded in the matrix.
5. Repeat until all possible combinations have been compared, i.e. all boxes of the matrix have been filled. The recorder should record all the reasons that the participants gave about why the choices were made.
6. Show participants how to complete a ranked list from most preferable or frequent (highest number of times recorded) to least preferred or frequent (least number of times recorded), with the frequency of occurrence of each item indicating its rank.

Comments

- ▲ The real value of the exercise does not lie in the absolute ranking but rather in the opportunity that arises for a discussion of choices. Such an exercise provides a useful insight into the nature of local preferences.
- ▲ At the end of the exercise it is useful to focus the debriefing on the following comments and questions

- ▲ Note the criteria and preference lists varied greatly between participants, Why was this so?
- ▲ How can we use or adapt this exercise to make it relevant for your program or project?
- ▲ The tool has been found to be particularly useful in monitoring and evaluation, especially of activities in plans – why were some activities considered and successful offer great insight into the value and design of project activities.

Comparing the benefits from Tourism Activities in Yuksam, Sikkim

	Lodge Operation	Guide Services	Cooks	Pack Animal Operators	Handicraft	Tea Shops
Lodge Operations	X	Lodge Operation	Lodge Operation	Lodge Operation	Lodge Operation	Lodge Operation
Guide Services		X	Guide Services	Guide Services	Guide Services	Guide Services
Cooks			X	Pack animal operators	Cooks	Tea Shops
Pack Animal Operators				X	Pack animal operators	Tea Shops
Handicraft					X	Tea Shops
Tea Shops						X

Use of Pictures in APPA

A picture is worth a thousand words...

The use of visual rather than written techniques “shift(s) the balance of power away from “outsiders”... to the “insiders”... who have the knowledge as a community”.

“Pictures give a voice to those who have little status in the community”

From Robert Chambers, *Rural Appraisal: Rapid, Relaxed and Participatory*

Much research has been done on the communication and educational value of pictures and other visual techniques. There are certain advantages to using both pictures and other visuals (maps, diagrams, etc.) in community-based tourism and conservation planning, some of which are mentioned below. In our experience, use of pictures in APPA has some of its greatest value in enabling illiterate people to participate (especially women), and in helping to make the planning activities and outputs fun, creative, and attractive. Use of pictures is especially appropriate for expressing the Dream image conjured up by participants when asked “What does your future community LOOK LIKE?”

Use of Pictures in Participatory Learning Tools and APPA

- ▲ Use of pictures engage people who better express themselves in images, are illiterate, or young – and thus open the participatory process to more of the community
- ▲ Pictures better portray an image or idea that would be difficult to express in words
- ▲ Pictures can give a more complete description, a feeling of place, characteristics, a scene
- ▲ Pictures enable better communication across cultures and in different languages
- ▲ Use of pictures may aid in addressing a sensitive issue that people may be hesitant to express in words
- ▲ Pictures allow more creativity and to give a unique flavor to expression
- ▲ Use of pictures may better capture and keep people’s attention – they are fun!
- ▲ Pictures are instructive, can often better explain relationships or processes than words
- ▲ Pictures can deliver powerful images and messages

- ▲ Pictures added to reports are appealing, communicative, and build local pride
- ▲ “Visual techniques, particularly when drawn on the ground, make it difficult for any one person to dominate”

(Source: Rietbergen-McCracken and Narayan, 1997)

Cautionary Notes in Using Pictures

- ▲ Pictures can be manipulative, misleading
- ▲ Use of pictures may over-simplify or idealize the object/s portrayed
- ▲ Pictures may not express the point exactly enough, and are subject to different interpretation (especially across cultures)
- ▲ OTHER?

Seasonal Calendar

- Objectives**
- ▲ To demonstrate ways to explore change during the year.
To understand seasonal trends within a community and
 - ▲ identifying periods of opportunity, stress and vulnerability.

Materials Locally available materials (Stones, bricks, seeds chinks, pen, paper etc.)
Use a large sheet of paper (flip chart paper) or make sketches on the ground depending upon where the exercise is being conducted.

Time 45minutes - 1hour

Steps

1. Using a group forming exercise, divide the participants into small groups of 3 to 5 people depending upon the number of participants.
2. Ask the groups to collect some of the materials required to make the seasonal calendar – others may be collected at the site where the exercise is conducted
3. Work with a group of participants some of whom have specialist knowledge about particular topics that will be useful to understanding and developing CBT (see box below).
4. Then the participants are asked to make diagrams to illustrate trends and changes in those activities or features over a period of a week, a year (whatever applicable).
5. In making the blank calendar make sure that calendars are culturally appropriate, for example, use local lunar months if most people use these, use symbols instead of letters to be more inclusive.
6. Hand over the pens, materials to the participants to fill in the months, with the team members working as facilitators and asking questions to the individual and group about the decisions made.
7. Be sure to ask why months and seasons differ and what the reasons for change are.
8. If the exercise was done on the ground, be sure to make a copy on paper.

Comments

- ▲ Ask the participants to divide the year according to what suits them best - western calendars may differ.
- ▲ Use whatever material is available locally to show the trends-colored chalk can be used to draw line graphs; different sized piles of seeds, stones, beans can be used to show seasonal variations.
- ▲ Combine all seasonal patterns into one diagram to show correlation between variables and identify periods of particular opportunity or stress.
- ▲ Cross-check and refine the seasonal calendar throughout the fieldwork.

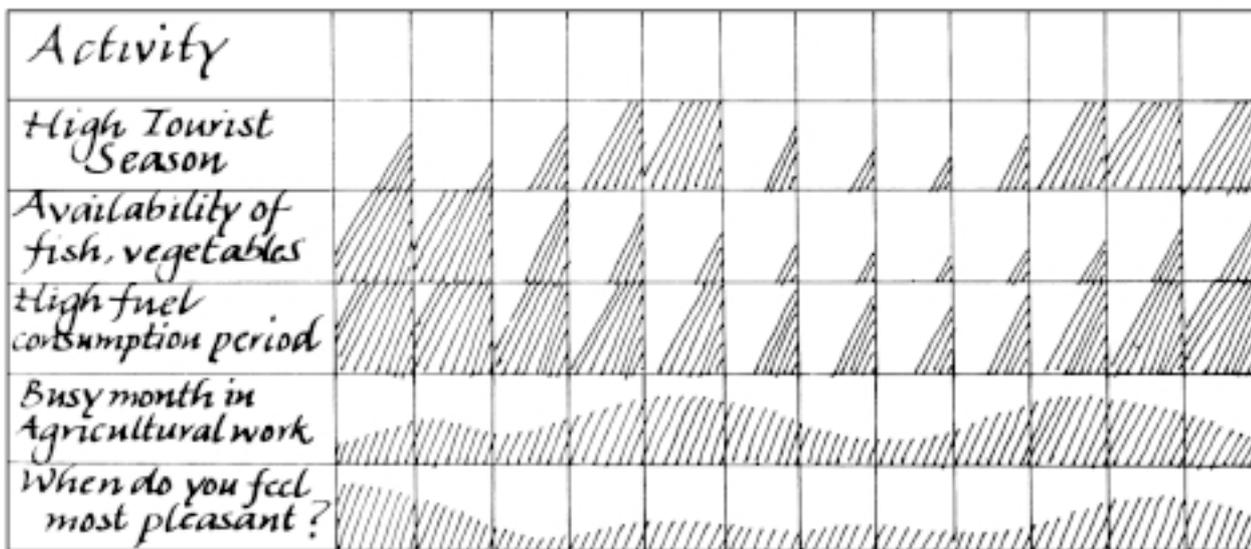
- ▲ Upon completion of the seasonal calendar, ask each group to present its findings to others and encourage them to concentrate their presentations on the process they went through, not just on the final product.

RELEVANT TOURISM VARIABLES

Weather, Festivals, Crop sequence, Availability of fruits and vegetables, Tourist activities, Out migration of local people, Busy months of the year, Wildlife viewing, Flowering times, Natural hazards, etc.

A Sample Seasonal Calendar

Seasonal Calendar - Seasonal Activities in a Village



Spider Diagram for Feasibility Analysis

- Objective:**
- ▲ To identify strengths and weaknesses among feasibility factors (Economic/Market, Environment, Local Skills and Resources, and Institutional/Cultural) in Design phase
 - ▲ To identify how products/activities need to be modified or other interventions made to better address activity objectives and weaknesses.

Materials: Flipchart paper, colored pens, ruler

Time: 20-30 minutes

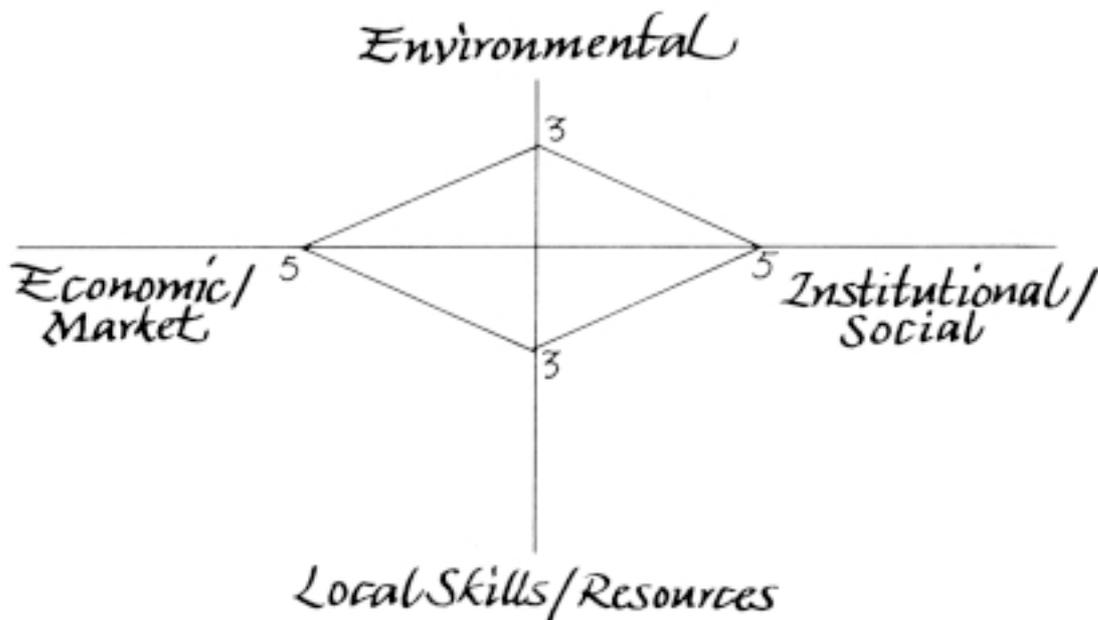
Steps

1. Do this exercise for each selected activity during Design phase, following the sorting of information in a Feasibility Analysis Matrix based on four factors: Environmental, Institutional/Cultural, Local Skills/Resources, and Economic/Market.
2. Draw a large cross on the paper, and label the four end points for these four factors. Score the lines from 0 to 5 along each line beginning with 0 in the middle.
3. Note the various issues from the Feasibility Analysis Matrix on cards and cluster them in the relevant four categories at the appropriate end points.
4. Score the activity along the transect lines, according to the relative weaknesses and strengths of the activity for each feasibility factor; e.g., an activity that has some minor negative environmental impacts and does not contribute positively to conservation might score 3 along the Environment transect; if local skill levels are moderate it would score 3 on the Local Skills transect; if the market demand is high it would score 5 on the Economic/Market line; and if the activity were appropriate culturally and permitted by government regulations, it would score 5 on the Institution/Cultural line.
5. Draw a line connecting the four transect lines intersecting at the score points (3,3,5,5), forming a diamond. Note how the diamond is skewed away from the center toward the Institution/Cultural and Economic/Market end points, and toward the center along the Environment and Local Skills transects. The diamond, or Spider Diagram, is off center.
6. Analysis of the situation suggests that to bring the Spider Diagram onto center (to address the Environment and Local Skills weaknesses), some interventions or modification to activity design or management are needed. Discuss what interventions can be done, particularly by local people, to 1) improve skills (training) and 2) mitigate environmental impacts.

Comments

- ▲ This scoring of feasibility factors assumes that all factors are to be weighted equally in determining feasibility. This may or may not be so, depending upon the community-based tourism objectives, for example, would the community plan for a tourism activity that had high market appeal but harmful environmental impacts? Differences in weighted factors, if any, can be addressed through another feasibility analyses or ranking exercises.
- ▲ This exercise can be done in a large group, or in small groups who compare results and discuss different perspectives.

Spider Diagram - An assessment of a New Lodge



Transect Walks

- Objective**
- ▲ To generate a common understanding of how features can change over altitude or another aspect of landscapes
 - ▲ To demonstrate the importance of going in person (as a team) to observe and talk about things of local importance.

Materials Small note books, pens, flipchart paper or white board.

Time 1 to 3 hours or up to a whole day.

Steps

1. Identify the route to be taken by the teams to conduct the transect walks. The route will depend on the issue about which the team and participants wishes to learn.
2. Make arrangements for local participants to accompany the team.
3. Divide the participants into small groups using a group forming exercise.
4. Give time for the team to prepare and plan their transect walk. Ensure that the subject of inquiry is well defined and groups focus on what they are hoping to find out and what methods they will be using.
5. Groups conduct transect walks, noting features and changes as they walk making sure to ask why, when, how, etc. Return at an agreed time to prepare and present findings.

Comments

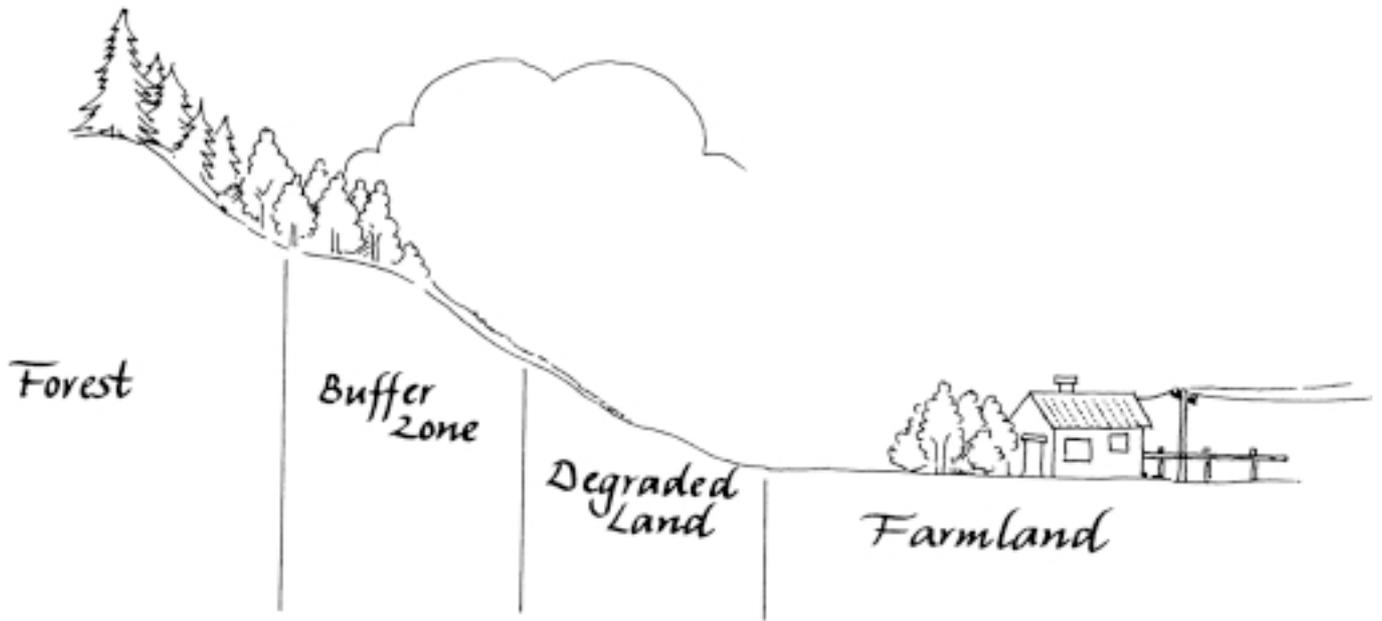
- ▲ During the debriefing session focus the discussion on both methodological issues and findings of the walks :
 - “ What was new that you have discovered”?
 - “ How did you feel talking to informants in their own territory”?
 - “What methods did you use during the transect walk

Applications of transects

Transects can be use to provide insight into:

- ▲ Changes in vegetation and forests over altitude
- ▲ Changes in human habitation over altitude
- ▲ Changes in vegetation and human habitation over space
- ▲ Changes in variables over time, by sampling the same transects in different time periods

Example of a Transect Walk



Trend Line: Historic and Future Trend Analyses

Objectives: *Historical Trend Line as an Analytical Tool:* To represent and aid in the analysis of relationships between historical and current trends in selected environmental, cultural, socio-economic and market conditions for use in identifying opportunities and designing community-based tourism products.

Future Trend Line as a Monitoring Planning and Reporting Tool: To represent a time-line for achieving impacts and benefits of community-based tourism as a result of implementation of action plans; and to measure progress in achieving impacts and benefits.

Materials: Large poster paper. Prepare X and Y axis lines, Y (vertical) representing relative increase in values and X (horizontal) representing time. Do not fill in the X and Y values until the exercise.
Different colored pens, pencil and eraser; ruler (scale)
If done outside on the ground, stones and a stick for drawing lines.

Time: 1 hour for historical or future trend line development and analysis
2 to 1 hour as monitoring tool

Steps

Historical Trend Line Analysis in Discovery

1. Introduce the Trend Line exercise and the XY graph. Explain the concept of an X-Y chart, showing relative change over time.
2. Identify (brainstorm) environmental, cultural, socio-economic and market conditions and characteristics that relate to community-based tourism and conservation (e.g., trends in numbers of tourists and lodges, employment, condition of forest, garbage, cultural integrity, etc. See Box for Sample Topics.)
3. Select (prioritize or cluster) 6-10 trend topics to be plotted; more than 10 lines becomes cluttered and confusing.
4. Ask the participants how many years back they can visually recall the selected conditions and characteristics. Chose a start point when at least a few of the participants can remember. (In selecting participants, include several elderly people).
5. Draw the lines for the X and Y axis on a paper, or on the ground. Mark points on the X axis for every 1, 2, or 5 years depending on the overall time period portrayed.

6. Select a condition/characteristic topic for a trend line and discuss criteria for determining whether the trend line should go up or down over. Discuss specific events or factors that influenced the trends. Place points on the chart at the height that represents the value of each condition or characteristic for a given year, using a pencil so it can be changed during the discussion; or if doing the exercise outside, place stones on the graph.
7. Continue plotting all points for a selected condition or characteristic before connecting the points into a line. Check with participants if the line is representative of the trends. Proceed to the next issue.
8. Ask the participants to discuss whether and how the various trend lines are related and what conditions have influenced each other (e.g., how has an increase in tourist numbers and/or tourism development affected local people's economic status, forest conditions or garbage?; have garbage conditions effected tourist visitation numbers?). This analysis is very important in helping participants to appreciate the relationship between community-based tourism, conservation, local benefits and market demand. Be sure to note the discussion content.
9. Finalize the graph; copy it onto a large paper and color the lines for clarity.
10. Reflect on the value of this exercise, how looking at past trends helps understand the current situation and the causal relationships between factors of change.
11. Conclude with a brainstorming session of other conditions and issues for which the Historic Trend Line tool might be used and what it might reveal.

SAMPLE HISTORICAL TREND LINE TOPICS AND ANALYTICAL QUESTIONS

Sample Topics:

- ▲ *Trends in tourism development and market demand*, represented by trends in the number of tourist arrivals (by types of tourists if relevant), number of lodges/beds and occupancy rates, average number of days tourists spend in area (by type of tourist), tourist activities plotted separately (trekking, rafting, bird watching, cultural touring, home-stays), demand for services (local guides, homestays), etc.
- ▲ *Trends in the socio-economic impacts and benefits of tourism*, represented by number of local guides employed, revenue earned by lodge and restaurant operations, sales of locally made goods (vegetables, eggs, milk, handicrafts, fuel, supplies), English speaking (or other foreign language) abilities, inflation of local prices, general living standards (using proxy indicators as relevant), etc. (Note: relate this trend graph with that for market demand above).
- ▲ *Trends in cultural integrity*, represented by community support for religious or cultural institutions and activities, number of practicing artisans, use of native language, consumption of local food, attendance at ritual ceremonies, etc. and relate it to local people=s time or financial resources committed to tourism.
- ▲ *Trends in environmental conditions*, represented by the condition of forests (re: species diversity, distance to collect wood/timber/fodder, etc.), productivity of grazing lands used by livestock transport, amount of garbage, wildlife sightings.

Sample Questions to Stimulate Analysis of Historic Trend Lines

- ▲ *Re: Market Trends*: Which type of tourist generates the greatest local benefits (e.g., guide jobs, lodge revenue, local product sales), the greatest demand for services, facilities, and resources, and the greatest impact on the environment? How has the condition of forests, garbage situation, instances of wildlife sightings, number of cultural activities, etc. affected a rise or fall in tourist numbers? How has the availability of tourism services and activities affected the number and length of stay of different types of tourists?
- ▲ *Re: Socio-Economic and Cultural Trends*: What is the relationship between cultural integrity (as defined) and tourism (by different types of tourists)? How is tourism affecting the general socio-economic situation in the community? Are trends in the numbers of artisans and the number or buying habits of certain types of tourists linked? What is the relationship between local interest or participation in cultural events and tourism trends?
- ▲ *Environmental and Natural Resource Trends*: Are fuelwood and timber collection rates and the effects on forest conditions linked to number of tourists or tourist lodges, and if so how? How do tourism trends relate with garbage or pollution trends? What other factors (e.g., economic activities, population growth, consumption patterns) have affected specific resource use trends; can these be separated from tourism use patterns?

Remember to ask open-ended questions!

Future Trend Line as a Planning and Monitoring Tool

12. Discuss the use of Future Trend Lines in plotting anticipated impacts, benefits and market characteristics of community-based tourism that will result from implementation of action plans. Identify indicators of impacts and benefits. Relate the timing of achieving certain impacts, benefits and targeted market segments with the implementation schedule of various activities.
13. Prepare X and Y axis lines on a large piece of paper, and identify the future point in time used in the Dream exercise (10-20 years). Mark the X line for every 6 months to one year, depending on the overall time-frame.
14. Discuss the anticipated impacts and benefits that will occur when each Design action plan is implemented over time; identify indicators to represent those impacts and benefits. Identify the market segments to be targeted and the anticipated demand for services they will bring.
15. Plot lines along the X-Y axis for each main impact, benefit and service demand anticipated. Upward and downward trend lines will represent when and how much impact, benefit and demand will occur according to the action plan schedule. Leave the trend lines in pencil for possible revision later.
16. Discuss potential interventions or factors that may affect the trends over time. Are there any shared opportunities or constraints? Is the timing realistic or are too many activities scheduled at once? Are their opportunities for combining efforts to achieve complementary benefits, such as joint marketing of tourism activities?
17. Review and revise action plans as necessary based on the discussion of anticipated results and shared opportunities and constraints.
18. Finalize the Future Trend Line as a monitoring planning tool by summarizing the schedule for achieving identified impacts and benefits alongside a summary implementation schedule.

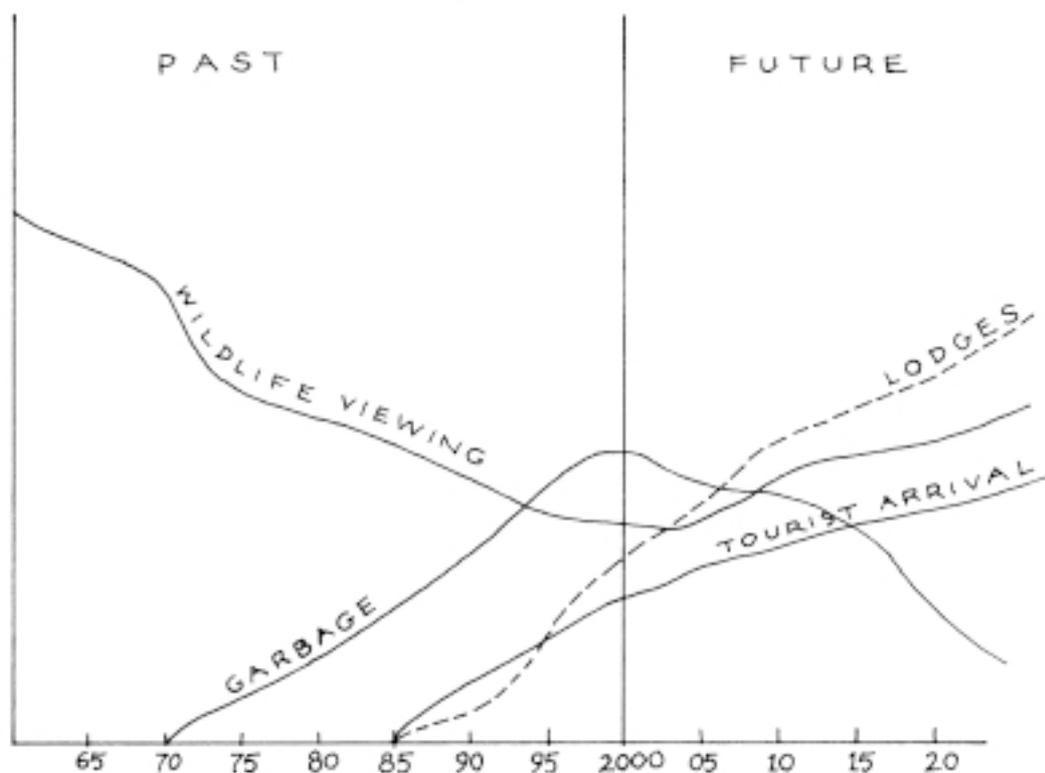
Future Trend Line as a Monitoring and Reporting Tool

19. Periodically update Historic Trend Lines to bring them up to date in plotting and analyzing the relationship between certain conditions.
20. Review Future Trend Lines every six months to note progress made in achieving impacts and benefits as a result of action plan implementation. Note the discussion around the monitoring review re: opportunities and constraints in implementation.

21. Discuss the need to revise Future Trend Lines according to monitoring results and any revision to implementation schedules or modifications of indicators.

Comments

- ▲ Trend Lines are also useful in planning for and monitoring institutional capacities, community awareness, and the relationship between a variety of community-based tourism and conservation conditions and factors.
- ▲ Trend Lines represent qualitative not quantitative measurement of conditions, characteristics, situations, attitudes, etc. Thus the lines upward and downward represent relative change, not exact measurements.
- ▲ The facilitator should influence the selection and definition of trend line topics to provide useful information for subsequent 4-D exercises and analyses.



*Trend Line : Past and future Tourism-
Related Trends in a Village*

Venn Diagram

Objectives To identify community organizations and institutions, their roles, and linkages to community based tourism.
To reveal important linkages and constraints in the participants' own institution or organization according to the perceptions of different groups of participants

Materials Pens, paper, scissors, tape or glue

Time 1 hour

Steps

1. Divide the participants producing the Venn Diagrams of a known institution, usually to the ones that the participants belong. Alternatively divide into groups according to what they know about the existing institutions or according to hierarchy or department.
2. Ask participants to identify key institutions and individuals who play a role in the community for any tourism or conservation related activity.
3. Cut out or ask the participants to draw circles of different sizes to represent the institutions and individuals in the community. The size of the circle can show the size of the organization, or the relative importance of their role in community-based tourism. But be clear which criterion is being used and be consistent about its use. Ask participants to label the circles.
4. Ask the participants to arrange the circles on the paper to represent working relationships between and among the various organizations:
 - ▲ Separate circles - no contact among institutions / individuals
 - ▲ Touching circles - information is shared between them.
 - ▲ Small Overlap - some collaboration and cooperation in decision making
 - ▲ Large Overlap - considerable collaboration and cooperation.Once circle inside another – part of the larger organization
5. When the diagram is completed, analyze the key differences between the organization – distance and size and the underlying reasons.

Comments

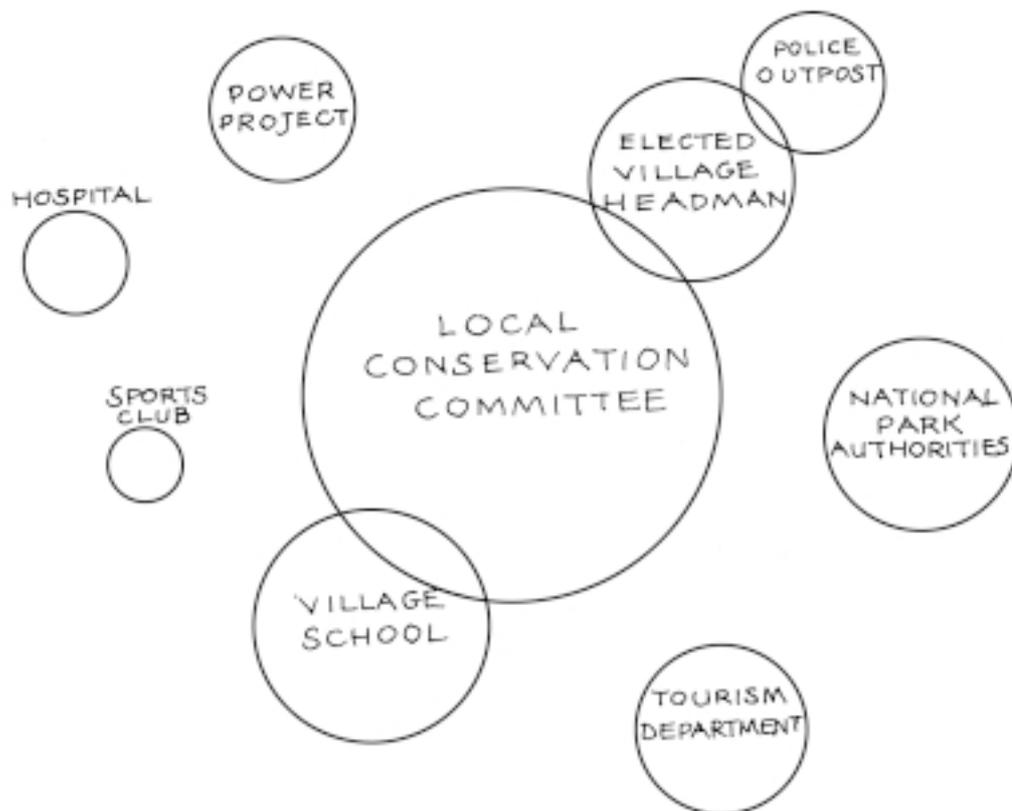
This entire process of Venn Diagramming can be a very illuminating exercise as certain aspects of one's institution and the role they play can be revealed for the first time. It may help to highlight the different perceptions of different groups, the degree of relationship and importance, areas of dispute and show a means to resolve the conflicts. In the process of making Venn Diagrams of different situations as seen by different actors, participants can discuss ways to resolve conflicts, fill in institutional

gaps, encourage linkages between institutions associated with tourism and conservation, quantify natural resource use, etc.

Make an effort to include individuals who play an important role in community institutions

Venn diagrams of current organizations and relationships can be compared with ideal situations (the Dream) to show what communities would like the future be.

Venn Diagram - Individuals and Institutions Involved in Tourism in Yuksam, Sikkim





APPENDIX III

Resource Materials

There is a considerable body of literature on sustainable tourism, participatory learning and Appreciative Inquiry. The references given here are some of the key articles and books that readers may want to review. Also listed are websites that readers may find useful: remember there are many more and search engines can guide you to other sites.

Boo, E. 1990. *Ecotourism : The Potentials and Pitfalls*. Vols 165 pp. Washington, DC: World Wildlife Fund.

Bornemeier J. Victor, M., and Durst, P.B., 1997. *Ecotourism for Forest Conservation and Community Development*. Proceedings of an International Seminar, Chiang Mai, RECOFTC Thailand.

Brandon, K., 1996. *Ecotourism and Conservation: A Review of Key Issues*. World Bank Environment Department. Paper No. 033. Washington, DC: World Bank.

Ceballos -Lascurain, 1996. *Tourism Ecotourism and Protected Areas*
H.C. Gland, Switzerland: IUCN

Cooperrider, D.L., 1990 *Positive Image. Positive Action: The Affirmative Basis for Organizing*, in Srivastava, S., Cooperrider, D.L., and Associates, (eds) *Appreciative Management and Leadership*. Jossey-Bass. San Francisco.

CRWRC. 1997 *Partnering to Build and Measure Organizational Capacity: Lessons from NGOs Around the World*. Grand Rapids, Michigan, USA

Hammond, S., and Royal, C., 1998, *Lessons from the Field: Applying Appreciative Inquiry*. Thin Book Pub Co.

Ingram, C. D., and Durst, P.B., 1989. *Nature-Oriented Tour Operators: Travel to Developing Countries*. *Journal of Travel Research* 28, no.2: 11-5.

International Resources Group Ltd. 1992. *Ecotourism: A Viable Alternative for Sustainable Management of Natural Resources in Africa*. U.S. Agency for International Development, Washington D.C.

Jackson. W.J., and Ingles. A.W., 1998. Participatory Techniques for Community Forestry -A Field Manual. Australian Agency for International Development (AusAID), IUCN -The World Conservation Union. World Wide Fund for Nature.

Larson, P., Svendsen, D., 1995 Participatory Monitoring and Evaluation: A Practical Guide for successful ICDPs. WWF-USA, Washington D.C.

Lindberg, K., and Hawkins, D., 1993. Ecotourism. A Guide for Planners and Managers. North Bennington, Vermont, U.S.: The Ecotourism Society. Vols I & II.

Organization Development Practitioner 1996, Vol 28

Pretty, J. N., Gujit, I., Scoones, I., Thompson, J., 1995. A Trainer's Guide for Participatory Learning and Action. Sustainable Agriculture Programme. International Institute for Environment and Development, 3 Endsleigh Street. London WC1H 0DD, UK

Rietbergen-McCracken J., and Narayan, D., 1997. Participatory Rural Appraisal. Module III. Social Policy and Resettlement Division, Environment Department. The World Bank.

Smith. V, 1989. Host and Guests: The Anthropology of Tourism. University of Pennsylvania Press.

Srivastva. S., and Cooperrider. D.L., (Revised Edition), 1999, Appreciative Management and Leadership: The Power of Positive Thought and Action in Organization. Williams Custom Publishing.

Whelan. T., (ed) 1991. Nature Tourism: Managing for the Environment. 223pp. Washington, D.C.: Island Press.

Wells. M., Brandon. K., Hannah, L., 1992. People and Parks: Linking Protected Area Management with Local Communities. World Bank. WWF. USAID. Washington D.C.

Worah, S., Svendsen, D., Ongleo, C., 1999. Integrated Conservation and Development: A Trainer's Manual. WWF-UK, Godalming.

Ziffer. K.. 1989. Ecotourism: The Uneasy Alliance. Washington. D.C.: Conservation International and Ernst & Young.

Web Sites

Adventure Travel Business Trade Association - <atbta@adventuretravel.com>

Appreciative Inquiry - <http://appreciative-inquiry.org>

Australian Tourist Commission - <http://www.au.tourism.org>

Biodiversity Conservation Network - <http://bcnet.org>

Conservation International - <http://www.conservation.org>

Eco Travels in Latin America - <http://www.planeta.com>

Institute for Development Studies - <http://ids.ac.uk>

International Institute for Environment and Development-

<http://www.iied.org>

International Institute for Sustainable Development - <http://www.iisd.ca/ai/>

Mountain Forum - <http://www.mtnforum.org>

Nepal Tourism Board - <http://www.welcomenepal.com>

PromPeru - <http://peruonline.net>

Regional Community Forestry Training Centre - <http://www.recoftc.org>

Taos Institute (for Appreciative Inquiry) - <http://www.taosinstitute.org>

The Ecotourism Society - <http://www.ecotourismsociety>

The Mountain Institute - <http://www.mountain.org>

The World Tourism Organization - <http://world-tourism.org>

The World Travel and Tourism Council - <http://www.wttc.org>