PROJECT DEVELOPMENT FOR SUSTAINABLE TOURISM
A STEP BY STEP APPROACH

Sustainable Tourism: International Cooperation for Development
ONLINE TOOL KIT AND RESOURCE SERIES
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ST101. Global Tourism
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Primary Author
Eileen Gutierrez

Contributors
Roberta Hilbruner, USAID
Donald E. Hawkins, George Washington University

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Preface

This course introduces the participant to developing a sustainable tourism project that contributes to international development goals. Upon finishing the course, participants will have the tools necessary to complete a successful project concept note or similar proposal at the design stage. Participants will gain an understanding of standard requirements for concept planning and design and how best to gather needed information. Participants will learn approaches to rapidly assess project areas and write project goals, objectives, and activities that embrace the principles of sustainable tourism. Upon completion of this course, participants will be able to construct a concept note for submission to bi-lateral, multi-lateral, and other donors for sustainable tourism projects.

The target audience consists of professionals engaged in development assistance in developing countries and working on sustainable tourism projects, including staff from donors (such as USAID), government agencies, NGOs, consulting firms, universities, businesses, and related entities. Some specific examples of audiences which would benefit include:

- Local authorities such as a destination management organization, tourism office, promotion agency, or organization exercising governance power over tourist activities
- Public, semi-public, or civil society administrators or professionals responsible for the development, promotion, or organization of tourism activities
- Destination management companies responsible for managing commercial activities for city, theme park, or resort destinations
- Local, public, or private tourism operators offering transportation, lodging, food, space, attractions, events, or others concerned with enhancing the long-term sustainability and competitiveness of tourism destinations
- Consultants involved in tourism planning and development
- University professors teaching tourism or planning courses

Whether developing a canoe trip or a national ecotourism investment program, each sustainable tourism project passes through a life cycle which generally begins with developing a project concept. The project concept note or proposal is a key planning and design tool, which most funding organizations require as part of their approval process. It describes in clear terms the projects goals and objectives; the background surrounding the issues; the key challenges and opportunities involved; main activities planned; how outcomes may be measured; the organizations involved and their roles; and a budget estimate.

Producing a successful sustainable tourism project concept involves early project planning and coordination efforts. For sustainable tourism this planning typically involves a rapid assessment process of economic, environmental, and social contexts where stakeholders' involvement greatly facilitates an understanding of the project area and agreement on project goals, objectives, and activities.

Context mapping, value chain analysis, and other participatory approaches such as System-wide Collaborative Action for Livelihoods and the Environment (SCALE®) and the Tourism Assessment Process (TAP) are tools that rapidly gather information for a sustainable tourism

project concept note. They guide the participant on how to assess: the structure of the tourism industry; supply and demand; environmental and social considerations; and, potential project activities and strategies. By employing participatory approaches throughout these early assessments organizers can identify organizations and individuals needed to support and implement the project.

Donors will often require that the concept note include a performance plan and potential indicators, i.e., number of hectares under improved environmental management as a result of the project. Indicators can be economic, environmental, or socio-cultural and reflect the measured area or activity. Donors may also require standard formats, such as a logical framework, casual models, and results framework to summarize major goals, objectives, activities, and performance indicators.

This course provides a general introduction to tools used by sustainable tourism development professionals to complete project concept notes. A major output of this distance learning is that participants develop a concept note for a sustainable tourism project. Participants would utilize one or more courses which follow to further develop specific content related to a chosen area of focus, such as investment and finance, business planning, and tourism destination management.

The majority of the information in this course exists thanks to the dedication of professionals who have invested uncountable hours synthesizing their experiences in the field. In particular, Roberta Hilbruner of the Social Change Communication/Sustainable Tourism Development unit at USAID and Dr. Donald Hawkins, Eisenhower Professor of Tourism Policy at The George Washington University have ceaselessly supported sustainable tourism as a development approach and captured many lessons learned in this field of growing importance. Their contributions to this course have been instrumental.

The Global Sustainable Tourism Alliance Management Partners — Academy for Educational Development, The George Washington University, Solimar International, and The Nature Conservancy — provided helpful guidance.

We would like to express our deep appreciation and gratitude to a number of individuals who shared their knowledge and experience in the production of this publication, particularly to our editor, Jon Kohl and to Annessa Kaufman and Kristin Lamoureux of George Washington University.

We also express our appreciation to the World Tourism Organization and its Themis Foundation for permission to utilize information from their publications and to pilot test this publication.

Eileen Gutierrez

Acronyms

AED — Academy for Educational Development
AETS — Alianza Ecuatoriana del Turismo Sostenible/Ecuadorian Sustainable Tourism
Alliance Program
AOTR — Agreement Officer Technical Representative
CBO — Community-based Organization
CDF — Comprehensive Development Framework
DFID — UK's Department for International Development
DSTA — Dominican Sustainable Tourism Alliance
GDP — Gross Domestic Product
GEF — Global Environmental Facility
GSTA — Global Sustainable Tourism Alliance
GSTA/PD — Pay Dogon (Mali) Sustainable Tourism Alliance Program
GW — The George Washington University
HIV/AIDS — Human Immunodeficiency Virus/Acquired Immunodeficiency Syndrome
IAD — Inter-American Development Bank
IPCC — Inter-Governmental Panel on Climate Change
LFA — Logical Framework Approach
MDGs — Millennium Development Goals
MOU — Memorandum of Understanding
NGO — Non-Governmental Organization
NRM — Natural Resource Management
NTFP — Non-Timber Forest Products
NWP — Nature Wealth and Power
PMP — Performance Monitoring Plan
RFA — Request for Applications
RFP — Request for Proposals
SAVE — Scientific and Volunteer Tourism
SCALE® — System-wide Collaborative Action for Livelihoods and the Environment
SME — Small- and Medium-Sized Enterprises
SWOT — Strengths, Weaknesses, Opportunities, and Threats
TAG — Technical Advisory Group
TAP — Linking Tourism, Conservation and Communities
UN — United Nations
UNED — United Nations Economic Development
UNWTO — United Nations World Tourism Organization
USAID — United States Agency for International Development

Unit 1 — Sustainable Tourism Project Concept Development

At the end of this unit, participants will be able to:

- Understand where the project concept fits in the project life cycle.
- Understand the information donors need and the key criteria they use to evaluate projects for funding.
- Become familiar with major sustainable tourism development themes.

Introduction: Project Life Cycle

Development projects typically have a life cycle (Figure 1.1) that begins with project preparation and planning, then approval, that leads into detailed activity planning and implementation, and ends with completion and final reporting.

Figure 1.1. Project Life Cycle (IAD, 2011a)

Developing a concept is part of the preparation phase. During preparation and planning organizers may identify a general project concept based on an obvious issue, for example, developing tourism enterprises that provide jobs and income without degrading ecosystems. They may also target sources of funding such as aid banks, donors, and government programs. Equally important is identifying potential implementing agencies — either organizations or people with enough expertise and experience to carry out project activities. Once organizers articulate these basic project aspects, they need to elaborate the specific objectives and goals. Organizers should work in concert with stakeholders to develop goals and objectives through a participatory process which captures results in a document that can be shared with potential funders before advancing to detailed activity planning and

implementation. The United States Agency for International Development (USAID) defines four steps that lead to a well-designed project (2011a).

1. Clearly define the problem
2. Develop a results-oriented program description
3. Establish a system for monitoring and evaluating performance and for reporting, using, and sharing performance information
4. Agree upon responsibilities for performance

Organizers define a project concept during preparation in a written document. Organizations may refer to this document with various names, for example, project concept note or project abstract or technical application. Organizers often use the project concept to garner agreement or approval from project stakeholders and supporters such as donors and government. For this course, we focus on how to develop a project concept document that describes a "results-oriented" sustainable tourism project that can be submitted for funding by an aid bank or donor. Results represent the highest level of impact that a project may achieve and are "a significant, intended, and measurable change in the condition of a customer, host country, institutions, or other entities that will affect the customer directly or indirectly" (USAID, 2011a, http://pdf.usaid.gov/pdf_docs/PDABR702.pdf).

Sustainable tourism projects may pursue many kinds of results, such as economic growth, reducing poverty, improving natural resource management, or conserving biodiversity, among others. The following types of sustainable tourism projects will be discussed in-depth in the following courses which are part of this online learning program.

- Tourism Investment and Finance: Accessing Sustainable Funding and Social Impact Capital
- Sustainable Tourism Enterprise Development: A Business Planning Approach
- Tourism Workforce Development: A Guide to Program Assessment and Design
- Tourism Destination Management: Achieving Sustainable and Competitive Results

This course will guide practitioners through a step-by-step process to develop a results-oriented sustainable tourism project concept. Unit 8 summarizes a step-by-step guide for developing the concept note. This guide can be printed or downloaded from http://www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/ProjectConceptDevelopment.doc.

Project Life Cycle: The Donor Viewpoint

Major donors often fund sustainable tourism development projects that meet particular strategic objectives and development goals. Each major multilateral donor such as the World Bank, the Inter-American Development Bank (IDB), the Global Environment Facility (GEF), and the United Nations (UN) as well as bi-lateral governmental donors such as USAID or UK's Department for International Development (DFID) set their objectives and goals on a periodic basis. The overall objectives and goals are public information and easily accessible both printed and on the internet. See Box 1.1 for USAID's guidelines for funding projects. Note: private donors and foundations, such as the Kellogg or Ford Foundations, also provide guidelines and instructions to access their grant funding system.

Box 1.1

USAID Funding for Projects

USAID utilizes various acquisition and assistance instruments to implement its activities, such as contracts, grants, cooperative agreements, and purchase orders. These instruments provide a variety of commodities and technical assistance to support agency objectives.

USAID's relationships with its implementing partners fall into one of these categories:

1. USAID provides **grants** to a grantee to implement a program without directly intervening itself during the program.
2. USAID provides funds via a **cooperative agreement** to a cooperator but does have substantial involvement and contact with the implementer during project.
3. USAID provides funds for a minority share of project costs to a private sector implementer through a **public-private partnership agreement**. The implementer is usually a non-traditional or first-time recipient of USAID financial support.
4. USAID uses contracts with services or equipment providers to implement projects over which USAID has management responsibility.

To solicit provider participation, USAID issues *requests for applications* (RFA) and *requests for proposals* (RFP). It publishes these solicitations at the US Government Points of Entry, www.fedbizopps.gov and www.fedgrants.gov. In all cases an RFA or an RFP provides adequate time for a potential partner to respond.

An RFA results in a grant or cooperative agreement and an RFP results in a contract. These requests can be issued any time for any activity or program.

(USAID, 2011b)

Multi-lateral and bi-lateral donors set specific country objectives and develop funding programs based on these. Donors rely on their in-country program teams and development experts to develop these in concert with the host government and key stakeholders such as non-governmental organizations. Once established, a donor announces a request for proposals or applications from private and non-governmental organizations to compete for projects that meet their goals.

Project Management Viewpoint

One of the top six reasons projects fail is poorly defined scope and scale (Font et al, 2012.) The Project concept document is an excellent tool for solidifying project ideas and communicating these among internal and external audiences.

Developing the project concept note typically requires deep conversation with project stakeholders and ground-truthing to assess the viability of proposed goals, objectives, and activities. Project concepts help organizers to spell out the issue they plan to address, principal challenges they may face, and opportunities that may arise in the process. A project concept outlines the management structure of the project by clarifying who will manage the project and implement activities and which organization may receive funds and how funds may be distributed. See Figure 4 Sample Technical Application. The example below is an outline used for developing concepts used for submitting Global Sustainable Tourism Alliance (GSTA) Program concepts to USAID Missions.

Section I: Understanding and Technical Approach
    A. Setting the context
    B. Constraints, challenges, and opportunities
    C. Approach overview
    D. Design phase
    E. Implementation phase
    F. Monitoring and evaluation plan
    G. Cross-cutting issues and key considerations

Section II: Program Management & Organizational Structure
    A. Program management
    B. Organizational structure
    C. Generating, monitoring, and reporting cost-share contributions

Section III: Proposed Staffing Pattern & Personnel
    A. Proposed personnel (design phase only)
    B. Proposed staffing pattern (implementation phase)

Section IV: Partner Institutional Qualifications & Past Performance
Annex A: Work plan and timeline

Annex B: Summary matrix of implementation partners

Figure 1.2. Sample Technical Application (Concept Note) Outline (GSTA, 2009)

In addition to poorly defined project scope and scale, projects fail due to "unprofessional project management, lack of understanding of the local situation, unskilled/unprofessional implementation, lack of leadership, collaboration and communication between stakeholders" (Font et al, 2012.) This course addresses all these topics except for project management and professional implementation. There are many resources available to practioners on project management.   In the US and globally, the Project Management Institute (PMI) offers Project Management Professional (PMP) Certifications. PMP describes core practices and a range of project management techniques. The United Kingdom Government and public and private institutions across Europe and Australia use Projects IN Controlled Environments or PRINCE2. The PRINCE2 methodology defines what must be done, when and how it must be done, and by whom during the life of a project   The Foundation for European Sustainable Tourism (FEST) has developed a version of PRINCE2 specific to Project Management for European Sustainable Tourism (PM4ESD). Both PMP and PM4ESD aim to improve project management and certifications are available in both. The manual for PM4ESD can be downloaded at http://pm4esd.eu/.

For this course, we focus on developing a sustainable tourism project concept based on major donor requirements. The primary mission then is to ensure that the project will result in a "significant, intended, and measurable change in the condition of a… [target population], host country, institutions, or other entities that will affect the [population] directly or indirectly." (USAID, 2011a, http://pdf.usaid.gov/pdf_docs/PDABR702.pdf) See Step 1 below.

Step 1 – Identify the Project's Major Results

Identify major results for the sustainable tourism project and organizations that may have similar goals or objectives. Several donor websites appear below. Also check with locally available projects, such as donor country offices, government programs, and foundations.

Tourism's Role in International Development

How can tourism contribute to international development? Below in Figure 1.2 is a list provided by the Global Partnership for Sustainable Tourism. Steered by United Nations Environmental Program and United Nations World Tourism Organization, the Global Partnership for Sustainable Tourism is a membership organization made up of donors, government, non-government, and tourism businesses. It will be useful for the project team to keep these seven priority themes in mind when deciding which results they would like their project to aim for.

☐ Backing Support of Effective Policy frameworks and Good Governance

☐ Climate Change Adaptation and Mitigation

☐ Protection of the Environment and Biodiversity

☐ Promotion of Sustainable Tourism to Alleviate Poverty

☐ Preservation of Cultural and Natural Heritage

☐ Adoption of Sustainable Management Practices by the Private Sector

☐ Integration of Sustainability Factors into Financing and Investment Decisions

Figure 1.2 Priority Themes (The Global Partnership for Sustainable Tourism, 2013)

Summary

- A project life cycle is a series of stages including project preparation and planning, approval, activity planning and implementation, and completion and final reporting.
- Developing a project concept in written form is the principal output of the project preparation and planning stage.
- Successful projects are based on participatory planning that begins by clearly defining the problem.
- Organizations such as multi-lateral and bi-lateral donors have larger development goals and objectives, which guide what type of projects they may seek and support.

For More Information

USAID Sourcebook
http://pdf.usaid.gov/pdf_docs/PDABR702.pdf

Inter-American Development Bank's Multilateral Investment Agency: Doing Business with the IADB Group
http://www.iadb.org/en/resources-for-businesses/resources-for-businesses,6300.html

African Development Bank
www.afdb.org/en/

Asian Development Bank
www.adb.org/

UK's Department for International Development
www.dfid.gov.uk/

European Union
http://europa.eu/

Unit 2 — Developing Sustainable Tourism Projects for Funding

At the end of this unit, participants will be able to:

- Learn overall approaches to project planning for sustainable tourism and the role of the project concept note
- Introduce standard requirements for a project concept note

Planning to Develop a Sustainable Tourism Project Concept

Step 2 – Identify Project Team Members

Identify and consult with potential team members to help with developing a sustainable tourism project concept. These may be individuals either within your organization or external to your organization. Consult with each to determine if they have the time and interest to engage with developing the concept note.

To develop a sustainable tourism project, practitioners gather a small team to help bring together the project. Successful project preparation begins by clearly defining the problem that the project hopes to mitigate or overcome. The problem implies understanding of core issues, their importance, and how their consideration might influence project design. To understand the interaction between the myriad environmental and social factors may require a broad expertise to develop a sustainable tourism project concept.

The team may receive its mandate from an organization, a government entity, or individual actors joined in response to a donor's request for proposals or applications. Ideally, a tourism development specialist leads the team, potentially composed of specialists in

- Business analysis and marketing research
- Local cultural heritage and history
- Local wildlife and natural resource management
- Environmental and biodiversity conservation
- Socio-economic development in rural areas
- Local, regional, or international tourism
- Communications and participatory development

Normally project organizers contract expert consultants and rely on stakeholders, some of whom may eventually assume an implementation role. When organizations join forces in pursuit of a project, they often use a Memorandum of Understanding (MOU). For an example of one, see

The team needs to agree on how to develop their project concept , who the target audience is, and what information that audience requires.

Donor Requirements for Project Concept Notes

> **Step 3 – Determine the Target Audience**
>
> The project team considers the target audience for the project concept note. Is it a government agency, a local community, a funding organization, or all? If a funding organization, review all donor requirements for the submission and establish a timeline and responsibilities for completing each section. See the Sample Project Profile Form provided at:
> www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/IADB_Project_Profile_Form.doc

Each donor has its own rationale and process for prioritizing funded projects. In general donors support projects that further their development goals and strategies. See Box 1.1 for an example of IDB's rationale for reviewing projects.

> **Box 1.1**
>
> **IDB's Multilateral Investment Facility (MIF) Project Rationale**
>
> The MIF identifies and prioritizes projects to meet the objectives set in the MIF's agendas. The MIF uses the following criteria to prioritize projects:
>
> - **Project results and alignment with Agenda objectives**. How does the project contribute to the objectives of the Agenda?
> - **Prioritization rationale**. Why was this project chosen in the context of the Agenda rationale?
> - **Learning in the context of the Agenda**. What hypothesis from the Agenda is being tested? How will the project respond to the hypothesis? How will project activities enable learning?
> - **Project components**. What are the project components and activities and how do they contribute to project outputs and outcomes? How will project learning be captured, measured, and used to reach the desired audiences?
> (IDB, 2011f)
> http://www5.iadb.org/mif/PartneringwiththeMIF/FinancingOportunity/tabid/176/language/en-US/Default.aspx

As the project development team develops its concept, members ask these questions:

- Does project identify goals and objectives relevant to the supporting organization?

- What are project components and activities and how do they contribute to outputs and outcomes? Will activities meet objectives and goals, and will they lead to larger results desired by the supporting organization?
- What is the project's potential scale of impact on the supporting organization's objectives? Is that impact significant enough to warrant funding?
- Will project activities contribute to learning among the supporting organization's networks? How will project lessons learned be measured and disseminated?

The concept proposal format and process for submitting varies; however, the basic information required tends to be similar. The following is an example from IDB's Social Entrepreneurship Program Project Profile Form (IDB, 2011c):

1. **Provide background Information**. Describe project's beneficiaries or direct clients and its socio-economic and institutional context (specific sector, activities, number of beneficiaries, gender, geographic location, degree of organization and support received from other institutions, income level, poverty indicators, etc.).
2. **Define the problem**. Describe main problems or specific deficiencies that the project addresses in the sector and geographical area, and the impact of these problems on micro- and small entrepreneurs. This is not a list of traditional problems but a demonstration that problems really exist and the impact that they have had. The problem description, of course, must directly relate to the proposed solution.
3. **Project management**. Describe the implementing agency's experience in the sector where it proposes to carry out the project and how it plans to do it.
4. **Approach**. Describe advantages of the model's approach to solve the problems.
5. **Proposed solution**. Describe the proposed solutions for each problems presented. For each activity include the budget in US dollars.
6. **Results**. Describe expected results of the project.
7. Executing **Agency and institutional aspects**. Describe most important aspects of the implementing agency. Include its founding, years of operation, mission, vision, main strengths, areas of operation, financial situation, and briefly explain why it is the best candidate to carry out the project. Project **sustainability**. Describe project aspects that will increase its sustainability after funding has been completed. **Issues**. Describe issues that the project will analyze, for example: (a) size of project components; (b) demand for project's products; (c) how project participants will benefit from project; (d) feasibility and origin of counterpart funds.
8. **Environmental and social impacts and proposed solutions**. Describe environmental or social negative impacts and how they will be mitigated. Highlight if the project includes any important aspects regarding gender, social inclusion, or indigenous groups.

A well-organized team and motivated stakeholders can provide the required information. The timeframe for pulling together a project concept will vary and largely depends on information availability and project scope. It can take as little as a few weeks or many months to fully develop a project concept note.

At this point, the team considers methodologies and approaches it may use. A participatory approach, such as hosting workshops or consultations with local stakeholders, is an effective way to define project scope for a host of reasons, discussed in Unit 3. In addition, several rapid assessment methodologies help to define the problem addressed, determine strategies and activities employed, and how to monitor these. Units 4, 5, and 6 introduce these methodologies and resources. Finally, Unit 7 covers project management and cost. The end

of each unit points the team to a project concept template in order to guide the team step-by-step through its completion.

Summary

- Defining the problem for a sustainable tourism project requires understanding factors that range from environment to socio-economic to political. Several areas of expertise may be needed to develop a sustainable tourism project concept.
- A project concept note is directed at some organization which requires certain information. In most cases a donor offers specific timelines, requirements, and processes for submitting a concept.
- Key questions to ask when determining which donors to target are:
  - Does the project achieve goals and objectives relevant to the organization?
  - What are project components and activities and how do they contribute to project outputs and outcomes? Will activities achieve objectives and goals?
  - What is the potential scale of project impact? And is it enough?
  - How will project activities contribute to learning? How will lessons learned be measured and disseminated?
- Project concept proposals require a significant amount of information.

For More Information

Ashoka Changemakers –National Geographic – Geotourism Challenge 2010 Winners
www.changemakers.com/en-us/coasts

Inter-American Development Bank – Geotourism Challenge
http://www5.iadb.org/mif/apps35/Home/Calls/GeotourismChallenge/tabid/207/language/en-US/Default.aspx

Inter-American Development Bank – Social Entrepreneur Program
http://www5.iadb.org/mif/apps35/PartneringwiththeMIF/Aprogramwithasocialfocus/tabid/102/language/en/Default.aspx

USAID AD 303 Guidelines
www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/USAID_ADS_303_Guidelines.pdf

Memorandum of Understanding Example
www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Memorandum_of_Understanding_Example.pdf

Sample Project Profile Form
www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/IADB_Project_Profile_Form.doc

Unit 3 — Working with Stakeholders

At the end of this unit, participants will be able to:

- Determine which participatory methodologies to use for gaining preliminary project support from stakeholders
- Understand that communications and social networking are integrated into a sustainable tourism project to help scale up impacts
- Develop a summary of goals and objectives for the project

Importance and Benefits of Engaging Local Stakeholders

Involving strategic stakeholders — those from the local community, tourism industry, and government — in the process of planning and implementing greatly increases chances of long-term success. As explained in Gutierrez, Lamoureux, Matus, and Sebunya (2005), several methodologies engage stakeholders early in project development:

- Hosting Future Search and Mapping the Context workshops
- Visioning exercises
- Participatory strength, weakness, opportunities, and threats analysis
- Community mapping
- Focus groups

Stakeholder engagement throughout the process is important since tourism is widely impacted by the following:

- Resident-tourist interactions
- Availability of public and private resources and infrastructure
- Resident ownership of the tourism plan
- Potential for the development of varied tourism products

Local stakeholder involvement presents a win-win opportunity. On one hand, the project development team can raise awareness of the destination's natural and cultural resources, and how to leverage these resources for sustainable development. On the other hand, involving stakeholders from the start gives stakeholders an opportunity to learn firsthand about the concepts being considered and provides a space to [voice] community priorities and concerns. In addition, engaging stakeholders early will (Gutierrez et al., 2005):

- Give opportunities to answer questions and contribute to project concepts
- Engage in open discussions of concerns regarding any immediate concerns about tourism development
- Allow communities to cite key issues that they think are important
- Decide the community's level of "general readiness" for tourism development

- Decide if the assessment should proceed in full, in part, or not at all

Scaling Up a Project's Impact: A System-wide Approach

> The tourism industry often serves as a network of economic and political agents, processes, and resources. The interactions among these elements will ultimately determine the level of positive or negative impacts tourism may have on the destination. Key stakeholder groups, given their central influence regarding the impacts of tourism on biodiversity, include government, the private sector, development agencies, and local residents. Other stakeholders, such as tourists, non-governmental organizations, intergovernmental agencies and experts, financial institutions, academics, and consultants, also have important roles, but their actual contribution depends on their ability to influence the central players (Gutierrez et al., 2005, p. 18).

In recent decades, the international development community has focused more attention on working with these larger systems and networks. One such approach developed by AED on behalf of USAID is SCALE®. SCALE stands for System-wide Collaborative Action for Livelihoods and the Environment. The SCALE approach seeks to identify leverage points within the interconnections present in a given industry or focus area and to use those to catalyze actions. See Box 3.1 excerpted from "Putting SCALE into Practice," a training course that introduces participants to system-wide communication based approaches to development.

Box 3.1

SCALE's Theoretical Base
Development Communication, Systems Thinking, Social Capital, and Social Network Analysis

The evolution of SCALE® reflects the changes in development communication. In GreenCOM, what began as a behavior change communication-based approach (adapted from the health and education sectors), evolved over time into an integrated systems approach that *combines the best behavior change communication tools with systems-based, participatory, and strategic planning tools.* GreenCOM's extensive field experience demonstrated that development communication needs to take an integrated approach in which all stakeholders in the social system related to the issue — from government, civil society, private sector, and the environment — have the opportunity and support to contribute to the solution. This results in a shift from focusing on changing a few discrete behaviors to catalyzing system-wide change that engages all segments of society affected by an issue. For this to happen, *communication among stakeholders plays a critical role.* Table 1 summarizes this development communication paradigm shift.

(Booth, 2009)

SCALE as a Project Strategy: Integrating Communications and Social Networking

SCALE emphasizes the importance of increasing communications and social networking among target audiences to strengthen social capital. Booth (2009) writes:

> Households with greater connectedness have been shown to have higher incomes (Narayan and Pritchett, 1996; Krishna, 2002; Wu and Pretty 2003), better health, educational achievements and longevity (Fukuyama, 2000), improved social cohesion (Schuller, 2001) and lead to more honest government (Putnam, 2000). Research has demonstrated that smaller, tighter networks can be less useful to their members than networks with lots of loose connections (weak ties) to individuals outside the main network. More "open" networks, with many weak ties and social connections, are more likely to introduce new ideas and opportunities to their members than closed networks with many redundant ties. It is better to have connections to a variety of networks rather than many connections within a single network.[*]

Table 1.1. The Changing Development Communication Paradigm (Booth, 2009)

From	To
Objectives: From change *not only* in individuals….	But also changes in social norms, social networks, and social systems that reach beyond and influence the individual
Audiences: from *not only* high-risk populations and their influencers….	To include a wide range of non-traditional stakeholders including the media, policymakers, and the private sector
Messages: from *not only* vertical "do this" messages….	To include horizontal communication among organizational and interpersonal networks
Channels: from media *not only* as channels….	But also as partners — and from traditional broadcasting to new media technologies
Capacity Building: from communication capacity building of a few counterpart organizations	To strengthening communication skills of people and throughout the system (everyone in the system is a communicator) as well as networks of organizations at multiple levels

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[*] Find references cited in this passage in original work by Booth.

In many projects increasing communications and social networking among target audiences in a project area can be done through widely available communication tools and approaches such as the internet, public relations, radio, public events, and newsletters.

Rapid Participatory Approaches for Working with Stakeholders

As an initial step, the project team brainstorms with local contacts about whom to specifically invite or consult and how to engage those individuals or groups. See Figure 3.1.
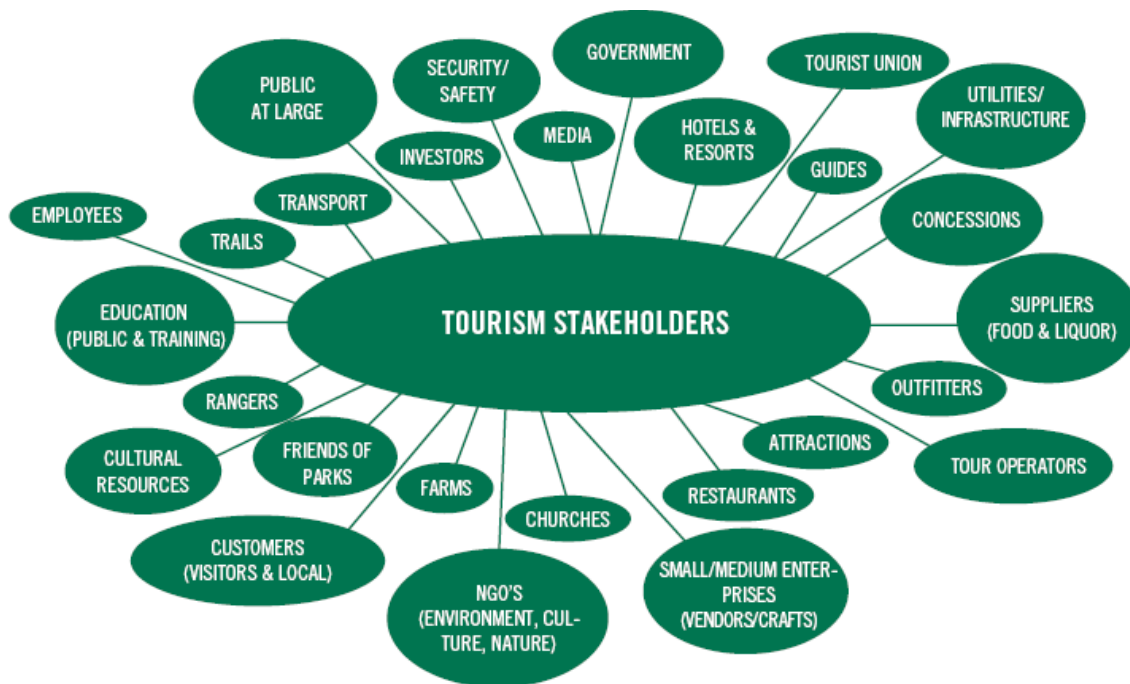
Figure 3.1. Tourism Stakeholders (Gutierrez et al., 2005)

Depending on size and locations of stakeholders and available funding, the project team may decide to use approaches for large groups or smaller groups or a combination thereof. For example, USAID's Global Sustainable Tourism Alliance (GSTA) program in the Dominican Republic used a large initial meeting to bring key stakeholders together to determine larger project goals and then followed with smaller meetings in seven target destinations to determine specific objectives for each. This approach was taken because the GSTA took this approach because it worked at both national and local levels; in addition the GSTA received initial funding from USAID to cover large-scale meetings. Conservation International's Sustainable Tourism Development project in Bolivia used small group meetings with community leaders to develop a project concept for building Chalalan — a community-owned and operated ecolodge, which was then submitted to and funded in part by the Inter-American Development Bank.

Working with Large Groups: Mapping the Context and Future Search

SCALE offers an effective methodology for working with larger groups to determine a project's overall goals and objectives. The process begins by gathering a smaller group of stakeholders representative of various sectors that would be involved in the project. This group meets to determine the central goal of the project through a process called Map the Context. This map becomes the theme for a larger stakeholder meeting to determine common ground and actions that the project and other initiatives may undertake. See Box 3.2 for a summary of the Map the Context.

Box 3.2

Essential Information to Map the Context

Mapping the context develops a thorough understanding of the social system related to the issue in order to decide who should take part in the Future Search workshop. Traditional development methodologies frequently spend up to a year conducting assessments and other studies that they use to determine where the project will intervene in the system. SCALE proposed that if the right people — those who genuinely represent a major portion of the social system related to the issue — are in the room at the planning workshop, they will have all of the information that they need to help the system self-organize towards their common goal. So in SCALE, information gathering is very focused and limited to information that can ensure that the entire social system is participating in making these decisions.

(Booth, 2009)

At the end of a Mapping the Context, the group will have identified issues and summarized the overall context — governmental, social, environmental, and economic, which influence the project. In addition, the group will have identified important individuals and groups and those connections that need to be strengthened. Those identified earn a spot on the guest list for a larger Future Search workshop. See "Putting SCALE into Practice" for instructions on how to host these events.

Box 3.3

What Is a Future Search?

The Future Search workshop, originally developed by Weisbord & Janoff (2010), involves social actors in a system related to a particular issue in a change process that they own and shape. It provides a forum where representatives of diverse groups can develop a common vision about the issue and analyze the current reality and decide what needs to change. They generate ideas about how and what to change as well as hopefully commit to short-term (three months) and long-term (three years) implementation plans towards that vision.

Why Do a Future Search? People will support what they help create. When people are involved and share power in a decision process, they more willingly help to implement the product of that process. Future Search workshops access a critical mass of people who have the **critical mass of information** that informs and enriches the change process.

How is a Future Search workshop different from other participatory meetings?
The principles set the stage for a different kind of workshop:
- ♦ The **whole system** participates — a cross-section of as many interested parties as practical. It includes people with authority, resources, expertise, information, and need. That means more diversity and less hierarchy than is usual in a working meeting, and a chance for each person to be heard and to learn other ways of looking at the task at hand.
- ♦ Future scenarios — for an organization, community, or issue — are put into **historical** and **global** perspective. That means thinking globally together before acting locally. This feature enhances shared understanding and greater commitment to act.
- ♦ People **self-manage** their work, and use **dialogue,** not problem solving as their principal tool. That means also helping each other to do tasks and taking responsibility for their perceptions and actions.
- ♦ **Common ground** rather than conflict management is the frame of reference. That means honoring our differences rather than having to reconcile them.
- ♦ Participants are invited to **take responsibility** for their views, comments, and plans.

What Will We Do during the Workshop?
There are many Future Search techniques; SCALE uses an adapted format.

Sample Agenda
> Day 1 Afternoon
> - Focus and analyze their common past
> - Focus on and analyze the present including external trends
>
> Day 2
> - Continued analysis of trends
> - Ideal Future Scenarios
> - Identify Common Ground
>
> Day 3 Morning
> - Confirm Common Ground
> - Action Planning and Commitment
>
> (www.futuresearch.net/method/methodology/index.cfm)

Working with Small Groups: Visioning Exercises, SWOT Analysis, and Community Mapping

The Visioning Exercise and SWOT Analysis are both quick and effective tools for soliciting input from community representatives on tourism development and related issues such as biodiversity conservation, poverty reduction, local human resources, and capacity. Both the Visioning Exercise and SWOT can be used to explore sustainable tourism project concepts. When working with smaller groups, it is recommended that the team use these methodologies first, before any detailed project assessments and planning begin, as an effective way to garner initial input and participation from stakeholders.

A community map shows the assessment team and stakeholders where tourism resources, activities, problems, and opportunities are located; the dimension and scope of issues — social, cultural, economic; and, their relationships to biodiversity. It helps in understanding the boundaries and characteristics of the community involved or targeted for tourism development (Gutierrez et al., 2005, p. 74).

See Tourism Destination Visioning Exercise at
www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Tool_Tourism_Destination_Visioning_Exercise.doc

See Tourism SWOT Analysis at
www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Tool_SWOT_Analysis.doc

See How to Conduct Community Mapping at
www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Tool_How_to_Conduct_Community_Mapping.doc

Focus Groups

The Assessment Team may choose to conduct focus group discussions with a smaller group of local community leaders, key experts and representatives of local organizations. These discussions will help the team to gain an understanding of community issues, priorities and concerns, as well as hear initial reactions to the potential of tourism development. When preparing for groups discussions, tailor specific questions to the groups background or area of interest. Start with introductions of the Project Team and a brief presentation on the project goals. Ensure ample time for individuals to ask questions and provide insights and inputs. (Gutierrez et al., 2005, p.76).

See How to Conduct a Stakeholders Focus Group at
www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Tool_How_to_Conduct_a_Stakeholder_Focus_Group.doc

Step 4 — Develop a Plan for a Participatory Process

Review the methodologies below for engaging stakeholders to determine projects goals and objectives. Determine the best approach to use for the project area and a plan to carry it out. Remember to consider available funding and necessary logistics.

Step 5 — Define Project Goals and Objectives together with Stakeholders

Use one or several methodologies to develop overall goals and objectives for the project. Based on engagements and discussions with key stakeholders, summarize the overall goals and objectives that stakeholders feel are important for the project. Include a list of issues and challenges, as well as opportunities gleaned from stakeholder discussions.

Box 3.4

How Participatory Is Participation, Really?

Commonly we hear practitioners and government officials alike laud the importance of participation or declare their projects as participatory. But maybe the correct question is not if a project is participatory but rather how participatory is the project. In fact, in 1969 Sherry Arnstein asked the second question and created a now classic scheme for qualifying just how participatory, called the Ladder of Citizen Participation. In the ladder she identified eight different levels of participation.
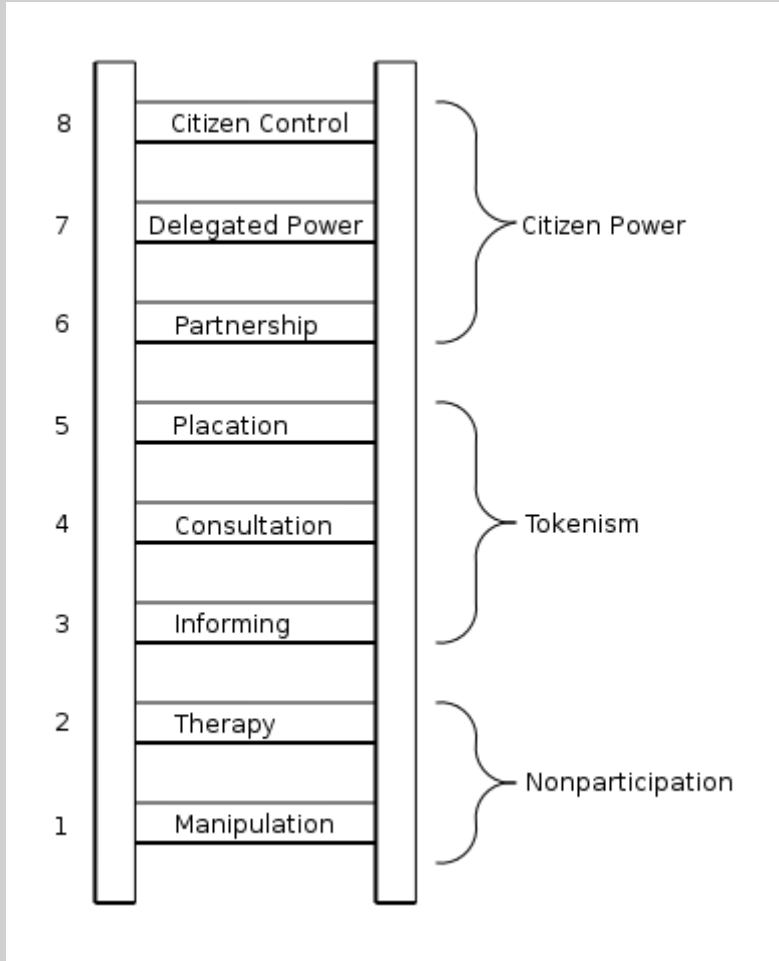
Box 3.4 continued

At the bottom of the ladder, planners and organizers basically manipulate other stakeholders for their own purposes. They might, for instance, invite stakeholders to a mock meeting simply so they can have many names on their participation list once they complete their tourism master plan. The second level is where participants try to help stakeholders see things differently, where planners understand stakeholder views as symptomatic of some deficiency and need therapy. At the third level, planners and organizers inform stakeholders of their intentions to plan, what the plans are, and other information. Communication is one way. At the fourth level, organizers solicit stakeholders' reactions, opinions, and expressions of needs and problems. Planners may do nothing with this information, but stakeholders at least can be heard, though almost no power is shared. Communication is two ways.

At the fifth level, organizers want to placate stakeholders' need to participate, often by putting them on boards and other planning bodies. Quite often, though, power holders retain power by ensuring that those bodies have enough votes to pass what they want to do. For stakeholders to truly take advantage of such positions, they must have their own resources, advisors, and self-organization in order to wrest some power away from power holders. At the sixth level, planners authentically want to work together with other stakeholders. Stakeholders often have equal power in decision-making on decision-making bodies. Again, stakeholders must be organized and equipped to take advantage of this power-sharing opportunity. At the seventh level, the power holders actually delegate power to other stakeholders; co-management is an example of this level. At the final level, stakeholders wield power over conventional power holders, such as an indigenous group that control its reserve or a powerful NGO that leads a change process.

So next time someone says their process is participatory, you can ask them, "That's fine, but how participatory is it really?"

For a non-technical overview of the ladder and Arnstein's work, see http://lithgow-schmidt.dk/sherry-arnstein/ladder-of-citizen-participation.html

Summary
- Involving as many relevant stakeholders in the project development increases chances of long-term success.
- Benefits from stakeholder involvement include understanding immediate concerns and key issues and defining which central players are within the industry or system.
- Working with larger systems and networks enables a project to increase its impact. SCALE is one such approach based on increasing communications and social networking among industry stakeholders.
- There are a wide spectrum of tourism stakeholders ranging from transportation, hotels and resorts, to government and the public at large.
- The project team will need to determine the best approach for engaging stakeholders in a participatory manner. This may depend on several factors including the number of stakeholders, the geographic reach of the project, and funding resources available.
- A large-scale approach is the Future Search workshop. A smaller scale approach maybe hosting working groups and completing SWOT analysis or Visioning Exercises.

Community mapping is an excellent way to engage smaller communities. Use the resources below to link to tools and methodologies.

For More Information

Tourism, Conservation and Communities: A Tourism Assessment Process
www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Tourism_Assessment_Process_Manual.pdf

Tool: Tourism Destination Visioning Exercise
www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Tool_Tourism_Destination_Visioning_Exercise.doc

Tool: SWOT Analysis
www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Tool_SWOT_Analysis.doc

Tool: How to Conduct Community Mapping
www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Tool_How_to_Conduct_Community_Mapping.doc

Tool: How to Conduct a Stakeholder Focus Group
www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Tool_How_to_Conduct_a_Stakeholder_Focus_Group.doc

Unit 4 — Providing Background and Context

At the end of this unit, participants will be able to:

- Understand the context for a sustainable tourism project using available information sources
- Use information gathered to provide donors with background and understanding of challenges and opportunities in the project area

Assessing the Context

In addition to working closely with stakeholders to Map the Context or determine common ground for the project, the team should more fully understand the physical and socio-economic context in a given destination. The team needs to understand the context in order to provide insight about potential project activities. In addition, organizations increasingly look at overall project sustainability, such as the triple bottom line (social, economic, and environmental returns of the project). Several approaches exist to assess the context of a destination. This unit reviews these approaches detailed in the *Linking Communities, Tourism, & Conservation: A Tourism Assessment Process* manual (Gutierrez et al., 2005). In addition, the unit introduces participants to the Nature, Wealth, and Power framework. The IDB's Sustainability Scorecard gives participants examples of questions funders and other organizations may ask when reviewing a project concept.

Two further areas covered in the unit are climate change and gender. Finally, the Value Chain Analysis, an enhancement of TAP, is tailored principally for enterprise development. Unit 5 explains this approach. Project-specific approaches are also discussed in the Destination Management, SAVE, and Enterprise Development courses.
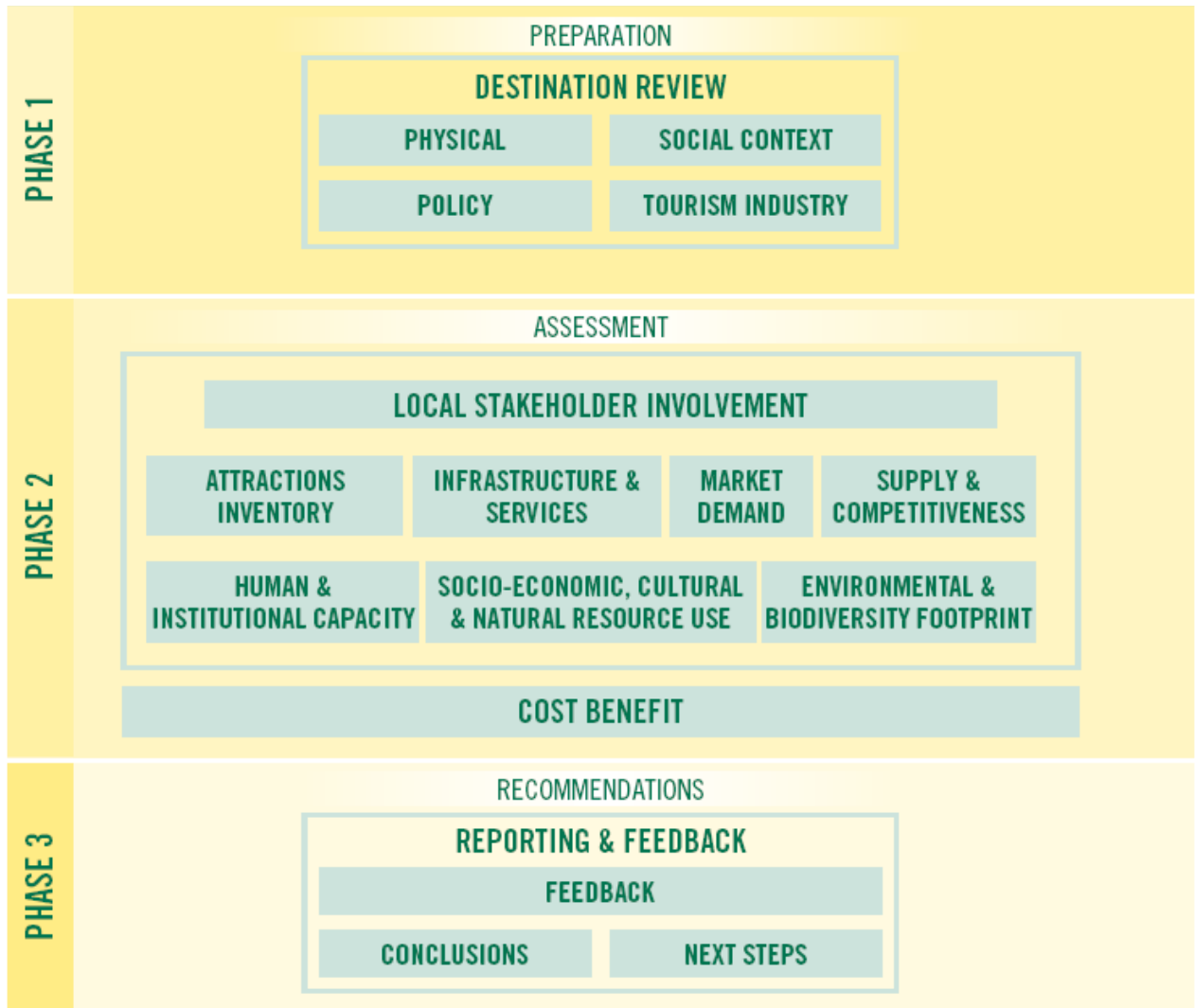
Figure 4.1. Tourism Assessment Process — Three Phases to Success (Gutierrez et al., 2005)

Conducting Destination Review

To start the project team researches the focus area. This process also assists the rapid assessments in the field. Below is a useful list of available information that the team might gather.

INFORMATION NEEDED	USE	POTENTIAL SOURCE
Geography, Climate, and Topography	Planning logistics, and understanding of physical attributes that may relate to tourism attractions and activities	Internet, travel guide books, topographical maps, national or regional tourism offices
Socio-Economic, Political, and Cultural Context	Defining the general context within which the team will be working	Government websites, travel guide books, newspapers, economic, sociology, and anthropological journals and magazine articles, history books
Tourism Policies, Master Plans, and Marketing Strategies	Understanding of government strategic approach to tourism development	Government investment promotion websites, tourism board or economic development office websites
Environmental, Biodiversity, and Natural Resource Use Issues (see below for further information on the importance of this area)	Preliminary understanding of priority conservation, land and resource use issues	Local conservation organization publications and websites, international organizations i.e. Conservation International, World Wildlife Fund, and The Nature Conservancy; Natural Resource and Protected Area Management Plans — check National Park Administration, Forestry Dept. and Department of Interior websites
Market Structures	General understanding of existing tourism plant, key market segments, products offered, and overall trends	World Tourism Organization statistical references, government websites, travel guide books, tourism and hospitality management publications, local tourism association websites
General Institutional Support	List organizations currently involved in tourism development	Government, tourism boards or administration, investment promotion offices, park and wildlife services, local tourism association websites

Table 2.1. Site Research (Gutierrez et al., 2005)

Assessments of Attractions, Infrastructure, Services, Demand, Supply, and Competitiveness

With research, goals and objectives completed with stakeholders, the team conducts rapid assessments to ground truth main problems and issues that the project might address in the area, and the impact these problems impose on the target population. In addition, these

assessments help to determine principal interventions. The list below describes general areas that may warrant assessment. Participants refer to TAP for detailed descriptions of methodologies and worksheets.

The rapid assessment will yield a separate report to share results. See the GSTA Tourism Assessment Report template: www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Tourism_Assessment_Report_Template.doc.

As described in TAP, the following are the main components of a rapid tourism assessment:

Attractions inventory. Attractions are the magnets that draw visitors to the destination. The assessment examines both existing attractions and attractions that have the potential for future development. This includes wilderness, leisure, and recreational attractions such as camping and mountain biking; historic monuments and other human-made attractions; and special events such as festivals, rituals, ceremonies, sporting events, and music festivals. Each is evaluated for their potential using the following key criteria: potential draw, aesthetic or scenic value, biodiversity value, cultural value, historical value, uses and activities, community participation, control, access, and product development potential.

Infrastructure and services. Inadequate infrastructure and basic services can hinder the development of a tourism destination, even those with unique attractions. Accessibility, communications, transportation, and waste management are among the services essential to tourism. Among the issues assessed are accessibility; transportation infrastructure and services; available public services such as water, energy, health, and security; health of the surroundings; and general land use and availability.

Market demand. Market potential for a destination is determined by the assessment of the tourism trends and visitor profiles. Based on tourist demographic profiles, this assessment analyzes travel interest in the destination and identifies existing and future travel markets. The markets can be identified by nationality/country of origin and/or by segment. It is crucial to determine the potential demand in the focus destination and develop a strategy for meeting this demand. It will be equally important to collect information on tourist activities, as well as information on travel motivation and behavior.

Supply and competitiveness. An assessment of the competition in the region can give the destination a clear idea of what competitors are doing and how to compete with other local destinations. It is also important to consider destinations around the globe that offer similar products and services because they are competing for the same travel markets. This section analyzes the current structure, size, and health of tourism facilities and services in the focus destination. It can also help to further identify additional potential markets and opportunities for partnerships and collaboration. [Note: Supply and Competitiveness and Market Demand analyses can be completed as part of a Value Chain Analysis in Unit 5].

Human and institutional capacity. Tourism is a people-oriented business and depends on quality service from trained managers and employees. Understanding the actual and potential human resource base of a destination is critical in determining to

what degree a community can meaningfully participate in the development of sustainable tourism. Institutional support is also a factor. This assessment analyzes the available capacity of the destination to engage in tourism development.

Socioeconomic, cultural, and natural resource use considerations. This assessment gauges the community's attitudes and expectations, its developmental needs and priorities and its socio-economic situation in relation to biodiversity conservation. This process also explores tourism as an economic alternative and its potential to address conservation issues. Although tourism development often has a positive impact on a destination's economy, society and natural environment, it may also come at a price. It is important to assess the potential benefits and costs of tourism in terms of the social, cultural, and economic dynamics that influence tourism development and its potential to benefit biodiversity conservation and poverty alleviation. [See section 4.4 for a discussion on Nature, Wealth and Power – Understanding Natural Resource Use Issues and an outline of recommended Principles for guiding investments in Natural Resource Management].

Environmental and biodiversity footprint. This step estimates the potential impacts, both negative and positive, of tourism development on biodiversity and the environment. This process relies on expert interviews to review issues regarding flora and fauna, functioning ecosystems, physical landscapes, identified important biodiversity areas, water and energy sources, waste management systems, and other general environmental considerations. Although each assessment is designed as an independent stand-alone module that addresses a specific thematic or technical area, the integration of the final results of each will enhance the overall recommendations for tourism potential in the region. [Tourism's role in addressing climate change, one of the largest issues impacting biodiversity and the natural environment today, is discussed in section 4.5 below]. (Gutierrez et al., 2005, p.9).

Nature Wealth and Power — Understanding Natural Resource Use
USAID's "Nature, Wealth, and Power: Emerging Best Practice for Revitalizing Rural Africa (2004) summarizes considerations and principles to guide projects that include natural resource use issues and their management. The following is excerpted from this document:

What are natural resources? Resources are not static biophysical entities. They are dynamic, socially embedded, and political. Human institutions (in a broad sense including economic and management systems, social networks, and so on) define resources and their use. Biophysical resources are political as well as economic commodities. Recognizing the natural, economic, and governance dimensions of resources is critical to developing appropriate management systems.
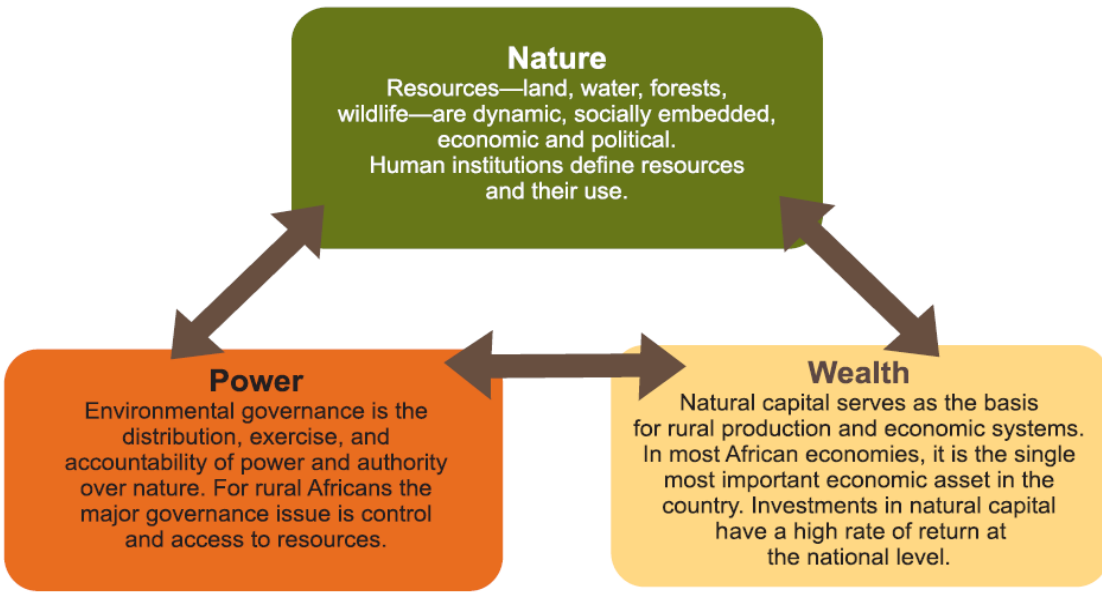
Figure 4.2. Nature, Wealth and Power — Definitions and Links (USAID, 2004)

Field experience shows that a number of assumed drivers of sustainable resource management need urgently to be questioned and refined: perceptions of environmental collapse and crisis have often driven environmental investments in Africa. Although in some areas, degradation is a real and serious problem, crisis management of the environment has tended to obscure the economic and governance rationale for investment in the sector. It is often assumed that Africa is awash in a sea of rampant environmental degradation. However, examples of environmental recovery are on the increase. Some estimates of degradation have been exaggerated and are based on simplistic understandings of both ecological and social dynamics. For example, large programs to fight erosion have been developed and implemented in a number of Africa countries, even when it appears that erosion is not a serious problem. Urbanization is often seen as a positive driver and sign of development. In Africa, however, urbanization has often resulted in centers of consumption, bureaucracy, and political-economic control rather than centers of production, administration, and political representation. Prospects for a successful agricultural transformation and for viable macroeconomic performance depend on creating a more positive urban/rural dynamic.

Population growth is often said to drive degradation; however, examples abound where populations have increased dramatically, while degradation has decreased. It is how people are organized and what governance/management systems are in place that has a greater effect on the status of the resource base than the numbers of people. Links between poverty and resource degradation are often simplified on all sides of the debate. The poor often lack resources, control, and the "margins of subsistence" needed to manage the environment successfully. However, much empirical evidence points to the resourcefulness of poor people and their ability to manage under the right conditions. Moreover, the rich and powerful also contribute significantly to mismanagement and degradation. Sustained efforts to reduce poverty are an

excellent investment. In many instances, agriculture is seen as central to rural development, the major economic driver, the hub of rural activities, and a permanent estate. Agriculture, however, is also a dynamic subset of natural resource management and, in some cases, is neither the optimum land use nor the most important economic sector. In Africa, some 81 percent of the soils are classified as "problematic" from an agricultural point of view — acidic, poor water retention, steep slopes, and so on.

Agriculture has to be seen in the larger context of land use and resource management and not as an automatic response to rural economic growth and poverty alleviation. In fact, many rural production systems blur the lines among agriculture, forestry, animal husbandry, and other forms of land use and count on integration for optimization. NRM practices get the most from "marginal areas" and can contribute to raise agricultural productivity. Identification of drivers of and approaches to sustainable natural resource management needs constant reconsideration and refinement. The NWP framework may be useful in developing a more realistic and field-oriented approach (USAID, 2004 pp.3–4).

Figure 4.3. Principles to Guide NRM Investments in Africa (USAID, 2004)

Principles to Guide NRM Investments in Africa

Nature:
- Improve information and knowledge management systems
- Promote local land use planning and appropriate resource tenure systems
- Foster innovation, social learning, and adaptive management
- Build capacity and invest in human resources
- Promote cost-effective technical advisory and intermediary services

Wealth:
- Be strategic about the economics of natural resource management
- Strengthen markets and NRM market incentives
- Invest in rural organizations
- Create a framework for better NRM choices
- Assure that local resource managers have secure access to NRM means and benefits

Power:
- Strengthen environmental procedural rights for rural people
- Improve rural input into public decisions and policy
- Redistribute natural resource authority and functions
- Transfer powers, rights, and responsibilities to representative and accountable authorities
- Explore a minimum environmental standards approach
- Promote platforms that allow for continuous and inclusive consultations

Climate Change
As described by the United Nations World Tourism Organization's paper, "Davos to Copenhagen and Beyond: Advancing Tourism's Response to Climate Change" (UNWTO, 2009):

Climate change is one of the most serious threats to society, the economy, and the environment and has been an issue of international concern for decades. The Inter-Governmental Panel on Climate Change (IPCC) has reported that warming of the global climate system is "unequivocal" and that it is "very likely" that anthropogenic (human-made) greenhouse gases (GHG) have caused most of the observed global temperature rise since the middle of the 20th Century. Ambitious emissions reduction targets for developed countries and an effective framework that addresses the needs of developing countries are required.

As climate defines the length and quality of tourism seasons, affects tourism operations, and influences environmental conditions that both attract and deter visitors, the sector is considered to be highly climate sensitive. The effects of a changing climate will have considerable impacts on tourism and travel businesses. In some parts of the world, these impacts are increasingly becoming evident. The Caribbean, small island developing states, Southeast Asia, and Africa are the tourism regions thought to be most at risk. Climate change adaptation by the travel and tourism sector will ensure that individuals, communities, and nations continue to receive the benefits of tourism.

Tourism and travel is also a vector of climate change, accounting for approximately five per cent of global carbon dioxide emissions. By 2035, under a business-as-usual scenario, carbon dioxide emissions from global tourism are projected to increase by 130%. Most of the increase is attributed to air travel but the tourism sector has pledged to substantially reduce emissions. As tourism is so important to poverty reduction and economic development in developing nations, any policies aimed at mitigating and reducing greenhouse gas emissions should be formulated and implemented in a considered way in order not to disadvantage these countries. The transportation sector, so fundamental to tourism, will form a critical aspect of national and international mitigation policy negotiations (UNWTO, 2009, p. 2.).

As a consequence, the integrated effects of climate change are anticipated to have far-reaching impacts on tourism and travel businesses and destinations. Indeed, climate change is not some distant, future threat to tourism and travel, as the varied impacts of climate change are increasingly becoming evident in various destinations around the world and affecting the tourism and travel industry and the communities who depend upon it. Climate change is also already altering the decisions of travelers in terms of the destinations they choose and the timing of their trips. Climate change will result in both negative and positive impacts for the tourism and travel sector and its impacts will vary substantially by geographic region and sector. There are four broad pathways by which climate change will affect the global tourism and travel sector:

Direct climate impacts. Changes in the length and quality of climate-dependent tourism seasons (i.e., sun-and-sea or winter sports holidays) could have considerable implications for competitive relationships between destinations and intra-regional tourism flows. Other impacts will include increased infrastructure damage, additional emergency preparedness requirements, higher operating expenses (e.g., insurance, backup water and power systems, and evacuations), and business interruptions. Similarly, key

cultural heritage assets that are also important attractions for tourists are also increasingly threatened by extreme climatic events and projected climate change.

Indirect environmental change impacts. Tourism is often based on a high-quality natural environment. Changes in water availability, biodiversity loss, reduced landscape aesthetic, altered agricultural production (e.g., wine tourism), increased natural hazards, coastal erosion and inundation, damage to infrastructure, and the increasing incidence of vector-borne diseases will all impact tourism to varying degrees. In contrast to the varied impacts of a changed climate on tourism, the indirect effects of climate induced environmental change are likely to be largely negative. Mountain, island, and coastal destinations are considered particularly sensitive to climate-induced environmental change, as are nature-based tourism market segments. Visitors may be deterred from visiting if the quality of the attractions decreases markedly.

Impacts of mitigation policies on tourism mobility. As will be discussed in more detail later, national or international policies to reduce GHG emissions will potentially impact tourism flows by causing an increase in transport costs and fostering environmental attitudes that lead tourists to change their travel patterns (e.g., shift transport mode or destination choices).

Indirect societal change impacts. The impacts of, and adapting to, climate change will have an economic cost. If not tackled, climate change may also threaten future economic growth and even the political stability of some nations. Any reduction of global GDP due to climate change would have negative implications for anticipated future growth in tourism. Tourists are averse to political instability and social unrest, and there would be negative repercussions for tourism in the climate change security hotspots.

The tourism and travel sector is characterized by considerable diversity and consequently, there are extensive differences in the nature of climate sensitivities and adaptive capacities of tourism and travel operators and destinations. Furthermore, the implications of climate change for any tourism business or destination will also partially depend on the impacts on its competitors, with a negative impact in one part of the tourism system constituting an opportunity elsewhere. Assessments by different groups of international experts have consistently identified developing nations in the Caribbean, small island developing states (SIDS), Southeast Asia, and Africa as the most at-risk tourism destinations, because of their high exposure to multiple climate change impacts that will affect key tourism products, distance to major markets (long-haul travel greater than five hours) and consequent exposure to increasingly stringent emissions policy on aviation, lower overall adaptive capacity, limited domestic markets, and a high economic dependency on international tourism and travel.

Regardless of their relative vulnerability to climate change, all tourism and travel businesses and destinations will need to adapt to climate change in order to minimize associated risks or capitalize upon new opportunities, in an economically, socially and environmentally sustainable manner. Considering

that the large information requirements, policy changes, and investments required for effective adaptation by tourism and travel destinations will require decades to implement in some cases, the process of adaptation must commence now for destinations anticipated to be among those impacted by mid-century.

With their high capacity to adapt to the effects of climate change by substituting the place, timing, and type of holidays in their travel decision-making, tourists will play a pivotal role in the eventual impacts of climate change on the tourism and travel industry and destinations. Tourists are also increasingly willing to pay a premium for sustainability or environmentally-friendly practices and operators are responding with new products and services.

Tourism and travel also contributes to climate change through the emission of GHG. Tourism and travel accounts for approximately 5% of global carbon dioxide emissions. The transport of tourists to and within destinations accounts for 75% of all carbon dioxide emissions by the tourism sector, with air travel making up about 40% of the total. It has also been predicted that, under a business-as-usual scenario, carbon dioxide emissions from the global tourism sector will increase by 130% by 2035. Most of this growth was attributed to air travel. This projected growth in emissions from tourism is inconsistent with the deep emission reductions needed to address climate change… (UNWTO, 2009, pp. 5–6).

…Reducing emissions is important for the long-term, however the tourism and travel sector also needs to adapt to the impacts of climate change in the short- and medium-term. Across destinations and locations the quality, quantity, and accuracy of climate projection data varies. This could limit or affect how nations, especially developing countries, adapt to climate change. The WMO, in collaboration with UNWTO, established an Expert Team on Climate and Tourism. Their role was to improve the application of information in the tourism sector. In 2007, UNWTO launched a Climate and Tourism Information Exchange Service to enable tourism stakeholder's access to research and data. The organization has developed and disseminated technical publications addressing climate change impacts and adaptation responses. The most important of these are "Climate Change and Tourism — Responding to Global Challenges"in support of the Davos Declaration, and "Climate Change Adaptation and Mitigation in the Tourism Sector: Frameworks, Tools and Practices" in coordination with the University of Oxford, the WMO, and UNEP released in 2008 (UNWTO, 2008, p. 3).

See end of unit for links to each of these documents.

Social and Cultural Impacts
Much has been written about the social and cultural impacts of tourism on the relationship between host community and tourist. The most notable changes occur when tourists influence host community behavior. The demonstration effect describes when local people strive for the material or behavioral attributes of the visitors (Cochran, 2005). As per the TAP manual:

Because tourism involves bringing "strangers" into a community, it is important to consider social, economic, cultural, and related natural resource use impacts

of the introduction or enhancement of tourism in a destination. Tourism has the potential to generate both positive and negative impacts on an area and its inhabitants. Negative impacts of tourism, particularly to the social and cultural integrity of a community, usually occur when the values and behaviors of the local community are threatened. This can include changes to the family structure, relationships, collective traditional lifestyles, and on moral values. On the other hand, tourism can be positive by fostering local pride, decreasing urban flight and increasing global understanding.

In addition, tourism activity can positively or negatively impact on a host community's use of natural resources. These resources can include water, clean air, agricultural lands, recreational areas, and important ecosystems such as forests, grasslands, wetlands, and coastal areas. Tourism can also compete with host communities for scarce resources such as food, fuel, wood, and other sources of energy. These impacts can further negatively affect local economies by driving up food, housing and energy costs. However, well-planned tourism can result in positive impacts on natural resource use. For example, it can provide alternatives to more destructive livelihoods such as illegal logging, poaching, or unsustainable farming. In most destinations, pristine ecosystems and landscapes are resources for tourism, creating an economic reliance on a healthy natural environment. In these cases, host communities often become stewards of these resources, defending and protecting important ecosystems and landscapes from over-development or degradation (Gutierrez et al, 2005, p. 70).

The TAP manual provides an assessment approach on how to identify the complementary relationship between a host community and tourism and the potential impact on natural resource use. See the TAP manual, page 70 at www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Tourism_Assessment_Process_Manual.pdf.

Incorporating Gender

According to the United Nation Environment & Development United Kingdom Committee Project Report, "Gender & Tourism: Women's Employment and Participation in Tourism (2002):"

> ….integrating gender perspectives into the discussion of tourism is particularly important as the tourism industry is one major employer of women, offers various opportunities for independent income generating activities, and at the same time affects women's lives in destination communities.

> Tourism has demonstrated its potential for creating jobs and encouraging income-generating activities to benefit local communities in destination areas. The tourism sector definitely provides various entry points for women's employment and opportunities for creating self-employment in small and medium sized income generating activities, thus creating paths towards the elimination of poverty of women and local communities in developing countries. However, there are a number of conditions under which this potential can be used more effectively. This

requires collaboration of all stakeholders — governments and intergovernmental bodies, local government, industry, trade unions, local communities and their different member groups, NGOs, community based tourism initiatives, etc. Increasing the use of tourism's potential whilst safeguarding the natural environment and cultural heritage and increasing social and economic justice should be the goal of further tourism development (UNED-UK, 2002, www.earthsummit2002.org/toolkits/women/current/gendertourismrep.html).

Sustainability Scorecard

Most organizations require that a project concept review potential social and environmental issues and how they will be addressed. A useful tool for this assessment is IDB's Tourism Sustainability Scorecard (IDB, 2011c). The following is excerpted from the webpage:

Its purpose is two-fold: i) allow the IDB to assess the sustainability aspects of the projects that request IDB financing and to prioritize those requests which demonstrate potentially positive impacts; and ii) guide developers to formulate more sustainable projects and encourage them to think about sustainability issues from the outset. The overall structure of the Scorecard is as follows:

I. General information about the project
II. Tourism activities
- The project has established or will establish effective sustainable management practices.
- The project will maximize social and economic benefits to the local community and minimize negative impacts.
- The project will maximize benefits to cultural heritage and minimize negative impacts.
- The project will maximize benefits to the environment and minimize negative impacts.
- The project will minimize its negative impacts on the tourism destination.
- III. Real estate activities
- Real estate activities associated with the project will not have negative consequences for the tourism destination and the local community.

Section I, designed to obtain general information, will allow the IDB to understand the overall scope, location, and outline of the project, as well as its potential to generate employment. In this section, the developer fills in the blanks with the requested information.

Section II, about tourism activities, is designed to aid both the developer and the Bank to understand the positive and negative impacts that the project is likely to have. The areas included here cover (a) whether or not there is a sustainability management system (similar to a quality or environmental management system, but more encompassing); (b) positive and negative socioeconomic impacts on the communities affected by the project; (c) potential positive and negative impacts on the cultural heritage and surroundings, including archeology, history, and living cultures; (d) steps taken to reduce negative environmental impacts and create positive impacts; and (e)

cumulative impacts, considering this project in the context of the destination and other existing and approved projects.

Section III considers whether the tourism project is financially viable without the component of real estate development (for instance, land lots, houses, condominiums, or apartments). It also considers the possible consequences for the tourism destination and the local community of real estate activities that are not being registered at true market value, and of property that is not being offered along with hotel space, or does not pay taxes for municipal services.

Step 6 Complete in-field assessments

Draft a report using the GSTA Tourism Assessment Report template:

www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Tourism_Assessment_Report_Template.doc. Then, in the project concept document, write a summary that, "describes the project's beneficiaries or direct clients and its socio-economic and institutional context (specific sector, activities, number of beneficiaries, gender, geographic location, degree of organization and support received from other institutions, income level, poverty indicators, etc.)," (IDB, 2011b).

Summary

- Stakeholder involvement and input is critical to the overall success of a sustainable tourism project.
- Keep stakeholders engaged throughout any assessments of the destination.
- Prepare for field assessments by reviewing information available on the physical, political, social, and tourism industry context.
- Plan field assessments based on project goals. These may include various methodologies and approaches to conduct assessments of:

  - Attractions
  - Infrastructure and services
  - Market demand
  - Supply and competitiveness
  - Human and institutional capacity
  - Socioeconomic
  - Cultural
  - Natural resource use
  - Environment
  - Biodiversity

- The Nature Wealth and Power (NWP) Framework promotes understanding of how natural resource use links to the social, economic, and political context. Human institutions define how natural resources are used. Governance distributes power and authority over resources. Natural resources are one of the most important economic

assets. "Nature, Wealth and Power" recommends several principles for guiding projects that involve natural resource management.

- Climate change impacts tourism and tourism contributes to climate change. A long-term solution is to reduce tourism-related emissions; however, tourism must innovate short- and medium-term solutions.
- Social and cultural impacts of sustainable tourism are pronounced because tourism usually takes place in the host community. Negative impacts can include changes to family structure, relationships, collective traditional lifestyles, and moral values. On the other hand, tourism can be positive when it fosters local pride, decreases urban flight, and increases global understanding. In addition, tourism activity can positively or negatively impact on a host community's use of natural resources.
- IDB's Sustainability Scorecard assesses a project concept's social, economic, and environmental sustainability. It is useful for conducting an overall project review as well as ensuring that sustainability criteria are being met or are addressed in the concept document.

For More Information

"Linking Communities, Tourism and Conservation: A Tourism Assessment Process"
www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Tourism_Assessment_Process_Manual.pdf

Tourism Assessment Report Template
www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Tourism_Assessment_Report_Template.doc

"Responding to Global Challenges," UNWTO
www.uneptie.org/shared/publications/pdf/WEBx0142xPA-ClimateChangeandTourismGlobalChallenges.pdf

"Advancing Tourism's Response to Climate Change," UNWTO Background Paper
www.unwto.org/pdf/From_Davos_to%20Copenhagen_beyond_UNWTOPaper_ElectronicVersion.pdf

*Climate Change Adaptation and Mitigation in the Tourism Sector: Frameworks, Tools and Practices (*Simpson et al., 2008)
www.uneptie.org/shared/publications/pdf/DTlx1047xPA-ClimateChange.pdf

Global Code of Ethics for Tourism, UNWTO
www.unwto.org/ethics/index.php#

"Gender & Tourism: Women's Employment and Participation in Tourism," UNED-UK
www.earthsummit2002.org/toolkits/women/current/gendertourismrep.html

IDB's Tourism Scorecard
http://www.iadb.org/tourismscorecard/

Unit 5 — Value Chain Analysis

At the end of this unit participants will be able to:

- Understand value chain analysis and how it provides insight about challenges and opportunities of project planning
- Include value chain analysis findings in a project concept document

Overview of the Value Chain Analysis

To enhance industry competitiveness the Value Chain Analysis (VCA) quickly assesses the structure of a given industry, identifying leverage points. The methodology identifies market threats and opportunities for businesses with a diagnostic framework that includes the following elements:

- End market targets
- Enabling environment internationally and nationally
- Inter-firm cooperation: Vertical linkages
- Inter-firm cooperation: Horizontal linkages
- Supporting markets (sector-specific and non-sector specific services, including financial services)
- Firm-level upgrading (product and process upgrading)

See Figure 5.1 for more on VCA. See also "How to Conduct a Value Chain Analysis" at http://microlinks.kdid.org/sites/microlinks/files/resource/files/ML6356_key_elements_of_the_value_chain_approach_briefing_paper.pdf.

Value chain analysis is a process to understand systemic factors under which a value chain and its firms can achieve higher levels of performance. When using value chains as a tool to plan for growth and reducing reduction, the analysis identifies ways to contribute to two objectives: i) improve competitiveness of value chains with large numbers of small firms, and ii) expand depth and breadth of benefits generated.

Figure 5.1. Introduction to the Value Chain Analysis (USAID, 2011c)
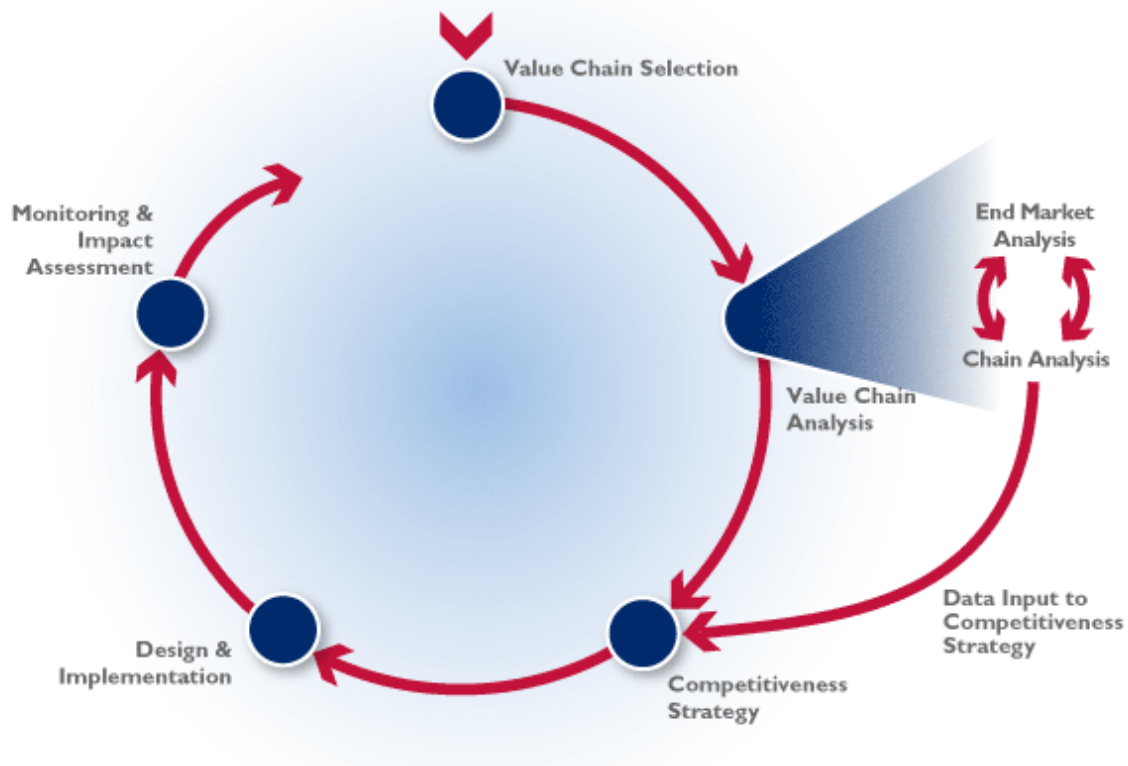
Typically, the VCA identifies all major constraints to improved performance or competitiveness. However, USAID recommends a strategic approach that focuses on understanding end-market opportunities and the constraints to these opportunities — such an approach obviates the need to understand all constraints and narrows the scope of the analysis to "constraints to opportunities."

The analysis offers industry stakeholders a vision for value chain competitiveness and forms the basis for a *competitiveness strategy* — a plan for eliminating constraints to end market opportunities and advancing sustainable competitiveness.

Applying Value Chain Analysis to a Tourism Destination

VCA applies to tourism destinations. Users can complete the VCA as part of an overall participatory process and supplemented with accompanying assessments on institutional capacities, socio-cultural, environmental, and biodiversity considerations. The link demonstrates an example whereby Conservation International that applied VCA to a tourism destination.

www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Conservation_and_Tourism_A_Value_Chain_Approach.pdf

The schematic provides an example of how one can utilize value chain analysis tools to illustrate with stakeholders the constraints and opportunities in a tourist destination. The constraints identified by stakeholders in this example were easy for stakeholders to see using a tourism value chain-mapping template. The following is a brief description of the constraints depicted in the value chain map of one destination taken from Conservation International's document on value chains (Conservation International, 2010):

- The one national airline has significant market share, yet does not have competitive pricing and provides inconsistent service.
- Not enough high-end/ higher-end lodging options to meet the demand because of land tenure constraints.
- Guides are occupying the empty niche of local excursion assembler. They wield an unusual amount of power, yet are not providing professional, quality services in either guiding or excursion arranging.
- Several unmet opportunities to increase local benefits derived from tourism while providing tourists more diversified experiences (no nighttime entertainment, cultural attractions, limited shopping opportunities, few historical attractions), natural resources are not well utilized, and areas are not well exploited (in terms of value derived from natural attractions that could fund economic or social development and better environmental protection).
- Few locally sourced inputs limit the local benefits derived from tourism.

Step 7 Conduct a Value Chain Analysis

As part of the in-field assessments use the VCA to determine any key competitiveness issues that need to be addressed by project activities.

Step 8 Write a Summary of the Main Problems

Based on both the TAP assessment and VCA, in the project concept template, briefly describe the main problems or specific deficiency that the project plans to address in the sector and geographical area, and the impact that these problems are having. The problem description must be directly related to the proposed solution. This is not a list of traditional problems but a demonstration that they really exist and have real impacts.

Summary

- Value chain analysis quickly identifies the structure of an industry as well as leverage points
- VCA looks at:
    - End market opportunities
    - Enabling Environment internationally and nationally
    - Inter-firm cooperation: Vertical linkages
    - Inter-firm cooperation: Horizontal linkages
    - Supporting markets (sector-specific and non-sector specific services, including financial services)
    - Firm-level upgrading (product and process upgrading)
- VCA identifies all major performance or competitiveness constraints, especially in end markets.
- Practitioners can complete VCA as part of an overall participatory process and supplemented with accompanying assessments on institutional capacities, socio-cultural, environmental, and biodiversity considerations

For More Information

"Conservation & Tourism : A Value Chain Approach" (Conservation International, 2010)
www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Conservation_and_Tourism_A_Value_Chain_Approach.pdf

"Key Elements to the Value Chain Approach" (Campbell, undated)
http://microlinks.kdid.org/sites/microlinks/files/resource/files/ML6356_key_elements_of_the_value_chain_approach_briefing_paper.pdf

"How to Conduct a Value Chain Analysis" (USAID, 2011c)
http://microlinks.kdid.org/sites/microlinks/files/resource/files/ML6356_key_elements_of_the_value_chain_approach_briefing_paper.pdf

Unit 6 — Major Activities, Monitoring Plans, and Project Timelines

At the end of this unit participants will be able to:

- Link project activities, goals and objectives, and plans for measuring project outcomes
- Develop a summary project matrix of activities and timeline.

Writing Effective Activities and Objectives

At this point, the team has finished gathering background information and carried out a participatory process to determine project goals, objectives, and activities. Now the team must clearly articulate project objectives and activities and demonstrate how these activities link to intended results.

Surprisingly, project organizers often confuse objectives and activities when writing a project concept document. Adding to the challenge, funding agencies often use their own terminology to refer to objectives and activities. The following excerpt from the University of Tennessee's Partnerships and Sponsored Programs website explains how to differentiate between objectives and activities as well as offers tips for writing them (University of Tennessee Chattanooga, undated).

Objective: A Change in Condition

An objective describes a change in condition — an increase in a positive phenomenon or a decrease in a negative one. The objectives should tell proposal reviewers what will change as a result of your initiative.

As you are writing objectives, make sure that the "action word" denotes a change in condition rather than an activity. If you find that your objectives include words like "provide," "establish," "support," "hold," etc., you need to re-think — those are probably activities rather than objectives.

Aim high, but be realistic. Be realistic about what is possible within the grant period and the baseline from where you are starting. It is critical that the objectives are realistic because the funder will hold you accountable for accomplishing the objectives if you receive an award.

- Answer the Questions

A good objective should tell the reader *what* you are going to change, *how much* it will change, and *when* it will change. The test for a strong objective is that it contains within itself the answer to the questions — how will we evaluate this? How will we know when the objective has been accomplished?

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- Examples of poor objective: Increase access to international markets

- Example of a good objective: Increase by 50% the number of ecotourism businesses participating in sustainable tourism certification programs [by 2014].

Activity: An Action You Will Take

An activity indicates an action you are going to take. You may provide, establish, serve, etc. It is something that you are going to *do* in order to accomplish the project objectives, i.e., implement a training program to help ecotourism programs improve their marketing materials.

The activities that you propose to undertake to alleviate/resolve the problem should flow naturally from the causes of the problem that you identified and from the objectives that you develop.

For example, say your overarching goal is to enhance tour guiding skills among young guides in your community. You have documented a problem — that guides have poor skills and you have determined that a lack of training is one of the causes of the problem. So, one of your objectives is to increase [the level of tour guiding skills].

The kinds of activities you might develop to support that objective are as follows: Assess existing training and organization and determine how to improve available training and add additional courses. Work with trainers to improve their skills and develop courses. Establish an incentive program to increase tour guide attendance at training. Ensure tour guides can be certified as a result of training, etc.

What you would *not* want to include are seemingly random activities like purchase new office equipment, etc.

- Be specific

Your [activity section] should supply sufficient detail so that someone else could take over and run the program using only the narrative. If you are vague, reviewers are likely to conclude that you aren't knowledgeable about what it takes to implement a successful project. This section should not only describe a clear and convincing plan for operating the project, but should also build your credibility among reviewers by showing that you have carefully thought through project implementation and that you are aware of the activities required for a successful project

- Be reasonable

As with the objectives, it is important to show that you are ambitious in what you plan to accomplish during the project period. However, it is equally important to be reasonable and realistic in which activities you can accomplish with the time and resources you have available. Experienced reviewers can generally tell when an applicant is outlining a work plan that is unreasonable, and they will not score the proposal favorably.

Develop a Project Communication Strategy

Communication among internal and external project stakeholders is critical to project success. As discussed in Unit 3, an integrated approach to communication that involves all stakeholders – among business, government, NGOs, and civil society – can catalyze system-wide change. Stakeholders are more likely to support, contribute and undertake project activities in a project with open communications channels. Some examples of communications strategies and approaches are: internet sites; social media; public relations, radio, public events, meetings, conferences, seminars, newsletters, project brochures, Refer to Table 1.1. The Changing Development Communication Paradigm p. 19 for an overview of how communications can impact a project.

Box 6.1

The Partnership Model and 'Pearls of Uganda'
The United States Agency for International Development designed the Sustainable Tourism in the Albertine Rift Program (STAR) to improve biodiversity conservation through sustainable tourism development in the Albertine Rift of Uganda. The Partnership Model included a variety of activities, which fostered relationships amongst the private sector, community tourism enterprises (CTEs), government and conservation organizations. These relationships increased the promotion of, technical assistance to and funding for sustainable tourism and conservation in the Albertine Rift. The Partnership program helped establish 185 partnerships in support of conservation; leverage over $2,000,000; support over 40 community enterprises in Uganda.

(Solimar, 2013)

Identify Risk Factors and Potential Solutions

Every project may face events that are beyond the project managers' control. Identifying risk factors and solutions is often required by major donors. Risks maybe internal or external and some examples are: changes in government offices involved in the project; currency exchange rates; natural disasters and acts of war; and, changes in key personnel. Risks may also present opportunities. The project team can identify, assess, and determine potential control measures to address the risk.   Risk responses can be categorized as follows (PM4ESD, 2013):

THREAT Responses
- o Prevent: Eliminates the Risk completely
- o Mitigate: Reduces the Impact and/or Probability of the Risk occurring
- o Transfer: Transfers the financial impact of the Risk on a third party
- o Contingency: Provides for an alternative should the risk materialize
- o Accept: No response will be implemented

OPPORTUNITY Responses
- o Exploit: Take advantage of the opportunity
- o Improve: Increase the likelihood of the opportunity occurring
- o Reject: The opportunity will be discarded

Linking Goals, Objectives, and Activities to Monitoring and Evaluation

Once the team has defined goals (longer-term desired outcomes) and objectives (specific ways and means of achieving goals) as well as all activities, it needs to create a monitoring and evaluation framework based on these.. If planned activities lead to predicted results, which indicators measure performance? Keep in mind that some organizations, such as USAID, have a list of pre-approved indicators (State Department, undated). A useful tool to create a monitoring and evaluation plan is to develop a causal model (Figure 6.1).

Causal Models

Viable development projects clearly link program activities and outputs to outcomes and results. The activity leads to certain outputs, such as training in marketing that provided leads to tour operators improving their promotions. The short-term outcome may be that tour operators increase sales and a long-term outcome is increased market share for tour operators. As explained by USAID's publication, "Developing a Causal Model for Private Sector Development Programs," "a causal model is akin to a roadmap showing how the [project] gets from Point A (program activities) to Point Z (program impact)…The importance of the causal model for program design is that it forces program designers to articulate these causal relationships and evaluate the degree to which they make sense and/or are justified." (USAID, 2007, p. 1)

A causal model is excellent for creating a brief summary of a monitoring and evaluation plan. See Figure 6.1.

Figure 6.1: Causal Model Example (GSTA, 2007a)

PROJECT ACTIVITIES	OUTPUTS	SHORT-TERM OUTCOMES	LONG-TERM OUTCOMES	IMPACTS
1. ENVIRONMENT				
1.1 Assist tourism and handicraft businesses to diversify and create sustainable non-timber forest products.	(1) Number of businesses producing new sustainable NTFPs and eco-tours. 2) % Decrease in products based on unsustainable inputs i.e. endangered hard wood and coral species.	(1) Interest and support from key stakeholders achieved. (2) Market-based incentives created and implemented.	(1) Improved physical structure and restored ecosystems. (2) Number of endemic and endangered species increase.	Biodiversity Conservation and Economic Growth
2. SOCIAL				
2.1 Create a public awareness campaign to inform residents about tourism and how to receive visitors.	(1) Number of news articles and public forums on hosting tourism. (2) Number of participants with increase understanding of impacts of tourism. (3) Community plans for addressing impacts of tourism.	(1) Communities actively engaged in waste management and recycling programs (2) Decrease in children begging from tourists (3) Increased awareness among tourist on culturally acceptable behavior	(1) Minimized negative social impacts on host community from tourism 2) Host community feels tourism has a positive impact	Economic Growth
3. ECONOMIC				
3.1 Determine and implement specialized, high-value internet activities that promote the destination.	(1) Target markets and internet strategies designed in concert with local businesses.	(1) Integrated website that promotes and sells destination designed, launched, and promoted.	(1) Number of hotel and tour bookings increased. (2) Increased revenue per visitor stay.	Economic Growth
4. GOVERNANCE				
4.1 Enhance the capacity of local associations and businesses to engage Government on managing tourism activities in forests and parks.	(1) Number of people trained. (2) Number of new policies developed to improve natural resource management (3) Full participation in environmental governance increased.	(1) Interest and support from key stakeholders achieved. (2) Technical and managerial capacity increased in natural resource management.	(1) Reduction in unsustainable practices. (2) Protection of endangered species and ecosystems. (3) Policies, laws & plans strengthened, developed, adopted and implemented.	Improved 'Natural Resource Management

The following example shows a hypothetical causal model for the GSTA/Mali program:

PROJECT ACTIVITIES	OUTPUTS	SHORT-TERM OUTCOMES	LONG-TERM OUTCOMES	IMPACTS	INDICATORS OF CHANGE	TARGETS	SOURCE OF INFO.
Improve the quality of SME and CBO-based tour operators in the PD	Training, technical assistance, grant, and best practices	SME & CBO-based tour operators improve marketing efforts and services	Increased business growth and income among SME &CBO-based tour operators	Stimulate Economic Growth	Increase # of PAX received by tour operators Increased income	20% increase in PAX and income	Tour operator surveys
Develop program to improve handicraft production and marketing by SMEs & CBOs targeted at existing tourism markets	Targeted technical training in handicrafts production, awareness and capacity building among businesses	SME & CBO-based handicraft producers testing and developing marketable products	Increased income and employment opportunities for Malians	Reduce Poverty	Increased sales of locally-made handicrafts to existing tourism markets Increased employment and income opportunities	10% increase in tourist spending on handicrafts # of people employed # of local businesses operating	Visitor Surveys Business Surveys

Figure 6.2. Causal Model Example for Mali (GSTA, 2007a)

Results Framework

A results framework graphically demonstrates how project goals link to objectives and results. As explained in USAID (2010) Performance Monitoring and Evaluation,

> Typically, [a results framework] is laid out in graphic form supplemented by narrative. A results framework includes the objective and the intermediate results, whether funded by USAID or its partners, necessary to achieve it. The framework also conveys the development hypothesis implicit in the strategy and the cause-and-effect linkages between the intermediate results and the objective. It includes any critical assumptions that must hold for the development hypothesis to lead to achieving the relevant objective. In short, a person looking at a results framework should be able both to understand the premises underlying the strategy and to see within the framework those intermediate results critical to achieving the objective (USAID, 2010, p. 2).

See the link to the full document in the For More Information below. An example of a tourism project results framework follows.

USAID

Priority Objective: **Economic Growth**

Program Area: **Natural Resources and Biodiversity**

Program Area: **Clean Productive Environment**

GSTA\PD PROGRAM

GSTA/PD Strategic Objective

Provide income-earning opportunities and equitably distributed benefits to all stakeholders while respecting and protecting natural resources of local communities

GSTA/PD Development Goals

a) Conserve biodiversity
b) Improve livelihoods for rural Malians
c) Stimulate investment in the tourism sector
d) Showcase the country's patrimony to international and national visitors
e) Build stronger, more capable Malian tourism institutions, SMEs, and CBOs
f) Improve public-private-civil society sector collaboration and outreach to new development partners at the national, regional, and global levels

Figure 6.4. GSTA/PD Results Framework (GSTA, 2007)

Donor Requirements for Monitoring and Evaluation Plans

International development agencies often require a performance monitoring program for any project. Donors in particular typically require potential indicators and a summary of the approach to develop the performance monitoring plan. Since formats can vary, the following section shows three such formats. The discussion is excerpted from Hawkins & Lamoureux (2007, pp. 11–17).

The Performance Monitoring Plan (PMP) is employed by the United States Agency for International Development (USAID). The Logical Framework Approach utilized by the Inter-American Development Bank (IDB); and the Comprehensive Development Framework employed by the World Bank. Each example outline helps to identify the scope and degree of detail required as well as necessary steps and processes.

USAID - Performance Monitoring Plan

A performance-monitoring plan, as utilized by USAID, is used to manage the collection of performance data for a given project. The PMP should include:

1. Detailed definition of each performance indicator
2. Source, method, frequency, and schedule of data collection
3. Description of how the performance data will be analyzed, reported, reviewed, and used to inform decisions

As mentioned, it is also essential to involve stakeholders in planning and selecting indicators. Stakeholders typically have the most familiarity with the quality and availability of data. But more importantly, key stakeholders can help evaluators think through data collection, analysis, reporting, and review. This will help ensure that performance data supports informed decision-making.

Table 6.1 below describes elements recommend by USAID for a performance monitoring plan.

Table 6.1. Elements of a USAID Performance Monitoring Plan (USAID, 1996, pp. 2–4)

1. Performance indicators and their definitions	Each performance indicator needs a detailed definition. Be precise about all technical elements of the indicator statement. As an illustration, consider the indicator, number of small enterprises receiving loans from the private banking system. How small enterprises are defined — all enterprises with 20 or fewer employees, or 50 or 100? What types of institutions are considered part of the private banking sector — credit unions, government-private sector joint-venture financial institutions? Include in the definition the unit of measurement. For example, an indicator on the value of exports might be otherwise well defined, but it is also important to know whether the value will be measured in current or constant terms and in U.S. dollars or local currency.
2. Data source	Identify the data source for each performance indicator. The source is the entity from which the data are obtained, usually the organization that conducts the data collection effort. Be as specific about the source as possible, so the same source can be used routinely. Switching data sources for the same indicator over time can lead to inconsistencies and misinterpretations.
3. Method of data collection	Specify the method or approach to data collection for each indicator. Note whether it is primary data collection or is based on existing secondary data. For primary data collection, consider: The unit of analysis (individuals, families, communities, clinics, wells) data disaggregation needs (by gender, age, ethnic groups, location) sampling techniques for selecting cases (random sampling, purposive sampling); and techniques or instruments for acquiring data on these selected cases (structured questionnaires, direct observation forms, scales to weigh infants). For indicators based on secondary data, give the method of calculating the specific indicator data point and the sources of data.

4. Frequency and schedule of data collection	Performance monitoring systems must gather comparable data periodically to measure progress. But depending on the performance indicator, it may make sense to collect data on a quarterly, annual, or less frequent basis. When planning the frequency and scheduling of data collection, an important factor to consider is management's needs for timely information for decision making.
5.Responsibilities for acquiring data	For each performance indicator, the responsibility of the operating unit for the timely acquisition of data from their source should be clearly assigned to a particular office, team, or individual. An effective performance monitoring system needs to plan not only for the collection of data, but also for data analysis, reporting, review, and use. It may not be possible to include everything in one document at one time, but units should take the time early on for careful planning of all these aspects in an integrated fashion.
6. Data analysis plans	To the extent possible, plan in advance how performance data for individual indicators or groups of related indicators will be analyzed. Identify data analysis techniques and data presentation formats to be used. Consider if and how the following aspects of data analysis will be undertaken: (a) comparing disaggregated data. For indicators with disaggregated data, plan how it will be compared, displayed, and analyzed, (b) comparing current performance against multiple criteria. For each indicator, plan how actual performance data will be compared with past performance, planned or targeted performance or other relevant benchmarks. (c) Analyzing relationships among performance indicators. Plan how internal analyses of the performance data will examine interrelationships or (d) analyzing cost-effectiveness. When practical and feasible, plan for using performance data to compare systematically alternative program approaches in terms of costs as well as results.
7. Plans for complementary evaluations	Reengineering stresses that evaluations should be conducted only if there is a clear management need.
8. Plans for communicating and using performance information	Planning how performance information will be reported, reviewed, and used is critical for effective managing for results. For example, plan, schedule, and assign responsibilities for internal [communications].

Logical Framework Approach

The results-based Logical Framework Approach (LFA) helps to conceptualize, design, implement, monitor, and evaluate projects. It provides structure to project planning and

communicates essential information about the project to stakeholders in an efficient, easy-to-read format.

The IDB uses logical framework techniques to facilitate each phase of its project cycle — from project identification and preparation to project management, implementation, and evaluation.

Logical frameworks are mandatory for IDB projects. Once a project is approved, the project document, including information about environmental and social aspects, becomes available on the Bank's website_ Logical frameworks (also known as log frames) include these principal steps:

1. Diagnostic evaluation monitoring

2. Process and product evaluation

3. Effectiveness evaluation

4. Impact evaluation

It is important to understand the timing of each step, as well as corresponding key questions. To better understand each step, refer to Table 6.2.

Table 6.2. IDB Logistical Framework Analysis Elements (IDB, 1997)

1. Diagnostic evaluation — carried out during the design and planning of the project.	*Questions*: What are the conditions that will affect the project? What resources are at hand? Is the project feasible given the conditions and resources? *Relationship to the framework*: The diagnosis concentrates on the last row of the framework, on resources, and assumptions about conditions.
2. Monitoring — carried out once the project is under way.	*Questions*: Did the project do what it promised to do (in delivery of resources and activities and in timing)? If not, why not? (Here, the main culprits may be economic or political conditions external to the program or the failure may reflect internal administrative problems.) *Relationship to the framework*: Monitoring depends primarily on quantitative measures and concentrates on the delivery of resources, the completion of activities as scheduled (compared with those planned), and the outputs obtained. It can also provide information about whether the program is reaching the target population and about the regular functioning of a system once in place. Monitoring is linked to a regular system of statistics. It is concentrated in the lower two rows of the framework.
3. Process and product evaluation — carried out early in a project to improve the activities being conducted (formative	*Questions*: Were the activities done well (were they of good quality)? If not, why not? Did the project provide the elements needed to achieve intermediate and long-term outcomes? (Did it affect the potential for change?) *Relationship to the framework*: Process and product

evaluation).	evaluations are intended to find ways to improve the functioning of a project or program at an early stage. Such evaluations can draw on the results of monitoring as well as on more qualitative assessments of activities and are located in the lower two rows of the framework. To evaluate a process, it is important to look not only at its direct outcomes but also at what happened along the way internally. Judging the quality of the process involves evaluating, for example, whether the trainers had the proper knowledge and skills, whether their language was appropriate, whether the materials were understandable, and whether the trainees felt motivated. In determining whether activities were carried out well, it may be necessary to look at the delivery of resources and at assumptions about the conditions under which the project is carried out as well as at the quality of the internal process associated with each activity.
4. Effectiveness evaluation — carried out after a project has been under way for some time but still directed mainly at improving the project's activities and design (formative evaluation).	*Questions*: Did the project result in organizational and behavioral changes? If not, why not? *Relationship to the framework*: This evaluation concentrates on determining whether the potential represented by achieving the outputs translates into the organizational and behavioral changes and personal changes proposed in the project purposes. It is therefore located in the second and third rows of the framework. To determine effectiveness requires looking at whether or not assumptions (external conditions) affected the use of outputs positively or negatively.
5. Impact (summative) evaluation — to determine whether the project has had the desired long-term social effect on participants. Such evaluations are often carried out to support decisions about continuing or expanding a particular project model.	*Questions*: Did the project have a lasting effect on participants and their surroundings? If not, why not? *Relationship to the framework*: This evaluation focuses on determining whether changes in organization and behavior affected the proposed beneficiaries of the project. It assesses whether the project goal was achieved and, if not, considers possible reasons why the goal was not achieved in relation to the conditions.

Monitoring and Evaluation Processes at the Country Level

The Paris Declaration on Aid Effectiveness (OECD, 2005) commits its signatories to strengthen ownership, alignment, harmonization, results, and mutual accountability. It includes a monitoring framework to assess progress toward fulfilling these commitments, based on 12 indicators. The World Bank's Comprehensive Development Framework (2005) governs national poverty reduction strategies through a coordinated countrywide effort that integrates four principles: a long-term holistic vision, national agenda based on citizen participation, multi-sector partnership, and measurable results.

Table 6.3. Comprehensive Development Framework (World Bank, 2005)

LONG-TERM HOLISTIC VISION	1. **Coherent long-term vision.** The country has a long-term vision with broad sustained support within government and from country stakeholders. 2. **Medium-term strategy derived from vision.** The country has a medium-term national development strategy linked to the vision, as well as sector strategies stemming from the strategy. Local development planning is influenced by the strategy. 3. **Country-specific development targets.** The vision and strategy identify long-term objectives linked to the MDGs but tailored to country circumstances. 4. **Holistic, balanced, and well sequenced strategy.** The strategy considers a broad and comprehensive approach to development, rather than considering development only in certain sectors, and addresses cross-cutting issues like gender and the environment. In the medium-term, it focuses on key areas instrumental to achieve the long-term vision. 5. **Capacity and resources for implementation.** A medium-term expenditure framework has helped increase spending, within a budget constraint, on priority areas with a results framework in place toward concrete outcomes identified in the strategy, helping focus limited capacity on national objectives.
COUNTRY OWNERSHIP	6. **Government initiative.** Country leaders have shaped the vision and strategy and there is a clear locus of initiative and a strong mechanism for inter-ministerial coordination at the policy level. 7. **Institutional mechanisms for stakeholder involvement.** The government is involving stakeholders in systematic dialogue on strategy formulation and implementation, through permanent institutions (e.g. local government structures, public-private councils). 8. **Civil society involvement.** One or more umbrella representative NGOs play a prominent role in dialogue with the government. Civil society organizations, such as NGOs, community-based organizations, think-tanks, trade unions, are involved systematically in providing feedback to the government on strategy formulation and implementation. 9. **Private sector involvement.** Representative private sector associations play an active and systematic role in providing feedback to the government on strategy formulation and during implementation. 10. **Parliamentary involvement.** The plenary examined and/or approved the national development strategy and the vision consistent with its constitutional or traditional mandate, where relevant. Parliament is routinely involved in PRS implementation through the budget discussion, with a parliamentary committee that takes the lead on monitoring the strategy. 11. **Capacity to formulate strategy, e.g. distribution of skills and resources.** The ministry in charge of strategy formulation or coordination of implementation has capacity for planning. Line ministries have capacity to prepare sector strategies. In decentralized countries, local government has capacity and resources for planning. Parliament has capacity and resources to have an impact on PRS policy content. Stakeholders within and outside government have capacity and resources to consult among each other and engage in a give-and-take debate on the policy content of the PRS.
COUNTRY-LED PARTNERSHIP	12. **Government leadership of coordination.** There is a clear structure for development assistance coordination with strong leadership and a structure for agreeing on new financing from development assistance agencies. Consultative group or Roundtable meetings take place in the country and are chaired by the government. The government leads informal working groups to discuss sectoral or thematic issues. 13. **Partners' assistance strategy alignment.** Country assistance strategies of the major partners are explicitly aligned with the national development strategy. There are some strong public/private partnerships supporting strategy implementation. 14. **Financial and analytical partnership.** External partners provide budget support around one common country owned policy framework linked to the national development strategy. There are a number of well-developed sector-wide approaches coordinated through government structures rather than isolated PIUs. There are some strong examples of joint analytical work. 15. **Coherent and coordinated capacity support.** A capacity building strategy is integrated into the overall national development strategy around which external partners are coalescing. 16. **Harmonization with country systems.** External partners rely on country systems such as national procurement and financial management when providing project and sector program assistance. A large percentage of funds is channeled through budget support, de facto relying on country systems. 17. **Partnership organization.** The major external partners have decentralized their decision-making processes, increased their presence in the country or region, or delegated cooperation in order to be able to participate actively in day-to-day development work.
RESULTS FOCUS	18. **Quality of development information.** There is a lead statistical institution, and coordinated and systematic data gathering exercises. There is an integrated financial management system that uses results information as well as financial information to inform resource allocation decisions. 19. **Stakeholder access to development information.** There is a communication strategy. Information on the strategy and progress in implementation, including public expenditure data, is largely available through websites, newsletters, and dissemination activities such as seminars, town-hall meetings, media campaigns etc. The strategy is translated into local languages and distributed by the government and/or NGOs. Media campaigns and other dissemination activities are conducted in local languages. 20. **Coordinated country-level monitoring and evaluation.** A country-level M&E system focused on inputs, outputs, and outcomes is functioning well, uses reliable, timely and relevant data, builds on existing M&E systems in line ministries and at the local level, and produces unified reports for external and domestic purposes, e.g. on progress toward the MDGs, PRS implementation, the use of HIPC resources, and reports for country stakeholders. External partners are supporting a common country M&E system rather than small, isolated systems. Intermediate indicators are manageable in number and monitorable.

Step 9 Propose Solutions, Describe Activities and Objectives

Fill in the appropriate sections in the concept proposal template:

- Describe proposed solutions for each problem

- Describe major activities to carry out solutions.

- Describe expected objectives of the project.

Step 10 Develop a Communication Strategy

Include a strategy for communicating both internally and externally on project activities, outcomes, and results.

Step 11 Define Risk Factors

Summarize any external or internal risks which may become factors in the success or failure of the project. Explain how the project may address or plan for these risk factors.

Step 12 Describe the Plan for Monitoring and Evaluation

Following the GSTA example, write a brief summary of how to carry out monitoring and evaluation. Include a list of indicators and a causal model.

Summary

- Writing effective activities and objectives is critical to a project concept document. Objectives describe a change in condition and should describe, what, how much, and when change will occur. An activity is an action to take and should include specifics.
- Write a summary of how the project will monitor and evaluate. This includes performance indicator.
- Use causal models to ensure project activities link to goals and objectives and select indicators.
- Use a results framework to demonstrate graphically how project goals link to objectives and results.
- Donors have varying requirements for monitoring and evaluating plans. Be sure to review these carefully. This unit includes examples from USAID, World Bank, and the IDB.

For More Information
United States Department of State, Standard Foreign Assistance Indicators
www.state.gov/f/indicators

Economic Growth Indicators and Definitions:
http://www.state.gov/documents/organization/101765.pdf

The University of Tennessee Chattanooga Developing Objectives and Activities
http://www.utc.edu/partnerships-sponsored-programs/pdfs/r-t-developingobjectives.pdf

USAID's "Developing Causal Model for Private Sector Development Programs: Impact Assessment." Primer Series Publication # 4, Private Sector Development Impact Assessment Initiative # 4,
http://microlinks.kdid.org/sites/microlinks/files/resource/files/Pub4_Developing_Causal_Models.pdf

USAID's 2010 "Performance Monitoring & Evaluation Tips Selecting Performance Indicators" http://transition.usaid.gov/policy/evalweb/documents/TIPS-SelectingPerformanceIndicators.pdf

Hawkins, D & K. Lamoureux "Performance Monitoring Programs and Performance Indicators for Sustainable Tourism" Unpublished Paper, Washington DC: George Washington University
www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Performance_Monitoring_Programs_Performance_Indicators_Sustainable_Tourism.doc

The Sustainable Measures website includes a useful set of information on: everything you always wanted to know about indicators including an indicators database.
www.sustainablemeasures.com/

The US based Sustainable Communities Network has developed a website designed to provide local groups with sustainability information from other local "grassroots" organizations.
www.sustainable.org/

The Conservation Measurements Partnership is a consortium of major conservation organizations that has developed an approach to designing and monitoring projects.
www.conservationmeasures.org

Unit 7 — Describing Project Management Structure and Estimating Project Costs

At the end of this unit participants will be able to:

- Determine the appropriate project management structure
- Estimate personnel, timelines, and budgetary requirements

Determining a Project Management Structure

Managing a successful project is both art and science. An assortment of challenges will always arise including some unforeseen; however, by clearly defining responsibilities and authority among team members and partners, a project can obtain its objectives despite bumps along the road.

The Executing Organization

In many large international projects, an executing organization has a contract or agreement with a donor to manage funding for a project. The executing organization typically has the financial, technical, and legal capacity to manage larger amounts of money. The executing organization then contracts or partners with other implementing organizations to carry out the work. In this case, the executing organization takes legal responsibility for managing finances and producing results, even though it may use many sub-contractors.

The executing organization is legally established entity in its own country and quite possibly in other countries as well.

The agreement between the executing organization and the donor is often a partnership rather than a contract to carry out services. Sometimes, the donor requires matching funds by the executing organization in order to carry out the project.

Depending on the donor's internal regulations, an executing organization may or may not contribute to implementation of project activities. In many cases, the executing organization may both coordinate other implementers as well as carry out certain activities within its own realm of expertise.

Executing organizations can usually charge a small percentage of the funding to cover general administration. They also charge overhead or indirect costs. In the case of many universities this can be about 50% or for most private non-profits a typical range of 25–40%). See "Best Practice for Indirect Costing" in For More Information below.

The Implementing Organization

Both executing organizations and donors can directly hire implementing organizations. Implementing organizations almost always need to be legally established in the country where they carry out project activities, especially if they establish a project office, purchase vehicles, and hire staff. The manner in which they register depends on local laws.

Implementing organizations may manage the entire project or just specific activities. They may establish project offices, provide vehicles and equipment, contract consultants, hired staff, or sub-contract other organizations to get the work done.

The implementing organization may or may not liaise directly with the donor organization. In many cases, if an implementing organization other than an executing organization takes responsibility for managing all project implementation, the implementing organization needs to have a direct relationship with the donor, especially in cases where a donor has country offices.

Implementing organizations often charge administrative fees for project implementation. In the case of USAID, an organization must have a pre-negotiated agreement; if not, they may request only overhead charges. See "Best Practice for Indirect Costing."

GSTA: An Example of a Partnership Arrangement

As more international development organizations seek to increase their work, a host of partnership arrangements are becoming more common. A group of organizations may band together to oversee and manage a project and jointly apply for funding. For example, USAID has sponsored a number of Leader with Associate Awards. Within these arrangements there is a primary executing organization, which takes responsibility for funding. See the example below of an organizational chart for the GSTA's Dominican Republic (DR) program that was an Associate Award under the GSTA Leader Award.

Grupo Asesor

SECTUR, SEMARENA, Sec. Of Culture, Clusters, GSTA, USAID/DR, NCC, Civil Society, Private Sector, Other Donors

GSTA Management Group
GSTA Coordinator
AED

USAID/DR RAO

USAID/DR CTO

Dominican Partners

- Tourism Clusters
- SMEs & CBOs
- UGAMs
- FIPA grantees
- Other GODR Institutions
- NGOs
- Private Sector
- Universities & Vocational Schools
- Civil Society

GSTA/DR AED
(Program Leader)

Management Partners
- The Nature Conservancy
- George Washington University
- Solimar International

Implementation Partners

- Conservation International
- Citizens Development Corps
- Counterpart International
- Epler-Wood International
- National Geographic Society
- Nathan Associates
- Rainforest Alliance
- RARE
- UNESCO World Heritage Centre
- Univ. of Hawaii
- USDA Forest Service- Heritage Design

Other Initiatives & Projects

- FIPA
- DCA
- REDP
- Other Donor Activities

Private Sector Partners

- Specialty Tour Operators
- Adventure Travel Trade Assoc.
- On-line Travel Agencies
- Travel Media
- Network of Philanthropic Investors
- World Heritage Alliance
- SAVE Travel Alliance

Figure 7.1. GSTA/DR Management Structure (GSTA, 2007)

GSTA management group is made of five organizations partnered to oversee implementation of this cooperative agreement. In this case, AED was the primary executing organization, as well as the lead implementing organization in the DR.

Grupo Asesor is a national-level committee established to advise project implementation.

USAID/DR's regional agreement officer liaised directly with AED on the contractual agreement.

USAID/DR's agreement officer technical representative is the cognizant technical officer with a direct relationship to AED's country program leader, the Grupo Asesor, and the AED project coordinator.

Management group partners played a key role in defining and taking responsibility for implementing project activities.

Dominican partners are implementing partners in the DR.

International implementing partners are members of the larger GSTA, with an implementing role in the DR.

Private sector partners contribute to achieving project objectives

Clear Roles and Responsibilities

Establishing efficient partnerships proves challenging. Most organizations prefer autonomy rather than interdependence. Partnerships rely heavily on good relationships and clearly defined management structures.

Project partners can create a simple matrix to define roles and responsibilities. See below an example matrix from the GSTA Ecuador Program. Perhaps more important, however, is the discussion that the matrix provokes, rather than the matrix itself. Ensuring that each partner shares an understanding of each other's roles will go a long way to avoid future misunderstandings. See "Challenges of Partnerships & Networks: The Real Guide" at www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Challenges_Partnerships_Networks.ppt.

Contractual Arrangements

The project also needs to consider legal mechanisms with which to engage partners. During project concept development, organizations use memoranda of understanding (MOUs) to forge mutual agreements to partner. The MOUs outline intended roles of each organization and contributions that each might make. MOUs are not binding so most organizations can enter more easily than into legal compacts. Typically, officers of the organizations or someone with decision-making authority sign the MOUs.

Developing a Timeline

Although it may be too early to construct an accurate implementation timeline, the team must put one together that shows major activities occur. Team members base time estimates using information gathered during assessment. Such estimates also include any additional time necessary to carry out more detailed planning as well as logistical time to set up offices and purchase vehicles and equipment. Below is an example timeline that details an initial design phase.

	ACTIVITIES	Responsible	Planning June WK 3	WK 4	MONTH 1 July WK 1	WK 2	WK 3	WK 4	MONTH 2 August WK 1	WK 2	WK 3	WK 4	MONTH 3 September WK 1	WK 2	WK 3	WK 4	MONTH 4 October WK 1	WK 2	WK 3	WK 4	MONTH 5 November WK 1	WK 2	WK 3	WK 4
	PROGRAM MOBALIZATION & MANAGEMENT																							
	GSTA Partners and Country Program Coordinator oriented on SCALE and GSTA Policies and Procedures (Phases I and II)	AED - Eileen/Karabi			X																			
	AED & USAID/Ethiopia formally sign Associate Award	AED	X	X																				
	GSTA Partners sumbit SOW's and budgets																							
	AED finalize subagreement and LOAs with GSTA Partners	AED			X	X																		
	Plan for dates and develop itinerary for project start-up in Ethiopia (McTaggard & Bossi)		X																					
	Draft field staff SOW, circulate to GSTA partners and locally																							
	Draft and translate ESTA one-page fact sheet			X																				
	Country Program Coordinator debriefing trip to Washington																							
	AED mobilizes Phase I Partners and Assessment Team - determine dates and notify USAID																							
	Country Program Coordinator in-country arrival and preliminary meetings prior to arrival of Assessment Team																							
	McTaggard and Bossi meet USAID - conduct orientation meeting																							
	GSTA and Mission create potential TAG participant list																							
	GSTA contacts and recruits representatives for TAG																							
	Plan for high profile donor event (dinner) with Embassy																							
	Assist in planning of the Competitiveness Council scheduled for July 16th																							
	Design and translate ESTA Brochure																							
	Set date and location of cross-regional WSR - book & negotiate room rates																							
	Set date and location of regional WSRs - book if needed																							
	Identify local organizations willing to support regional and cross regional WSRs																							
	Short list high profile speakers for the cross regional WSR																							
	Assist in project start-up (identify potential locations for office, posting of staff positions, open bank account, etc.)																							
	Plan itinerary(locations, meetings, etc.) and logistics for Assessment Trip																							
	MAPPING THE CONTEXT (RAPID ASSESMENT OF TOURISM SECTOR)		WK 3	WK 4	WK 1	WK 2	WK 3	WK 4	WK 1	WK 2	WK 3	WK 4	WK 1	WK 2	WK 3	WK 4	WK 1	WK 2	WK 3	WK 4	WK 1	WK 2	WK 3	WK 4
	Assemble 3-5 person assessment team and review of SCALE approach																							
	Determine individual Medex insurance coverage																							
	Assessment Team conducts background documentation, analysis, & data review (Desk consolidation of assessment reports compiled thus far through WB, CPI - Jim Philips, etc.)																							
	Draft matrix of existing projects, level of funding, focus, location, etc. through USAID, WB, DIFID, JICA, etc.)																							
	Identify high level donor organizations and potential contributions																							
	AED-led final organizational meeting prior to country trip																							
	Assessment Team travels to country - (list project sites)																							
	Assessment Team meets with USAID and government representatives	????																						
	Assessment Team convenes a Donor Roundtable	????																						
	Assessment Team meets with private sector representatives and NGOs working in the region																							
	Assessment Team maps the tourism context																							
	Assessment Team prepares list of key stakeholders																							
	Assessment Team interview local staff candidates for thematic leads (if applicable before departure)																							
	Assessment Team prepares summary 'mapping the context' report, reviews w/ TAG																							
	Assessment Team leader submits the final assessment report (short and long versions) to AED/CPI																							
	Assessment/Mapping the Context Report is distributed																							
	FORMATION OF TECHNICAL ADVISORY GROUP (TAG)		WK 3	WK 4	WK 1	WK 2	WK 3	WK 4	WK 1	WK 2	WK 3	WK 4	WK 1	WK 2	WK 3	WK 4	WK 1	WK 2	WK 3	WK 4	WK 1	WK 2	WK 3	WK 4

Figure 7.2. Timeline Example (GSTA, 2008)

Planning Resources and Funding Needs and Considerations

With the goals, objectives, major activities, and management structure defined, the project team now determines the estimated project budget and which partner carries out which activities. The process is by no means definitive and each organization will likely adjust figures

as necessary. Key factors that influence budgets include funding availability, changes in project scope, currency fluctuations, yearly inflation, and unexpected costs.

Most funding organizations use a budget summary with major cost categories (Figure 7.3).

1. Salaries and wages
2. Fringe benefits
3. Consultants
4. Travel and transportation
5. Other direct costs
Total Direct Costs
6. Indirect costs
7. Equipment
8. Subcontractors
9. G&A
10. Fee/Financing costs
TOTAL PROPOSED BUDGET

Figure 7.3. Major Cost Categories

Donors want to understand cost by year and by activity. The project team will need to work with a financial analyst to build a budget in a spreadsheet. Below is a summary budget template used for the GSTA/Ecuador project. This summary page integrates several budget sheets for each activity. These sheets link to the summary sheet. In addition, inflation and planned salary increases are detailed on a linked budget sheet. See a budget template (Microsoft *Excel)* at www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Sample_Budget_Template.xls.

As you look though the sample summary budget, note separate columns for funding from USAID and "match" which represents funding from other organizations to implement project activities. It is not uncommon for donors to require *matching funds* to support project implementation. In-kind services provided by volunteers, staff time paid by separate funds, and goods and services such as advertising and publicity could all qualify as matching funds. USAID calls these "cost share." Most donors require recipient organizations to locate matching funds.

Global Sustainable Tourism Alliance - Ecuador Associate Award, Partner/Subrecipient Budget
Client Contract/Agreement No.
Total Project Period of Performance: March 12, 2007 - September 30, 2009

SUMMARY BUDGET FOR ALL THEMATIC AREAS

Cost Category	Year 1 0 9.5 months	Year 2 0 12 months	Year 3 0 9 months	TOTAL 0 30.5 months	FUNDING USAID	MATCH
1. Salaries and Wages	-	-	-	$0	-	-
2. Fringe Benefits	-	-	-	-	-	-
3. Consultants	-	-	-	-	-	-
4. Travel and Transportation	-	-	-	-	-	-
5. Other Direct Costs	-	-	-	-	-	-
Total Direct Costs	-	-	-	-	-	-
6. Indirect Costs	-	-	-	-	-	-
7. Equipment	-	-	-	-	-	-
8. Subcontractors	-	-	-	-	-	-
9. G&A	-	-	-	-	-	-
10. Fee/Financing Costs	-	-	-	-	-	-
TOTAL PROPOSED BUDGET	$0	$0	$0	$0	$0	$0

SUMMARY BY THEMATIC AREA

Activity	Total Cost	% of total	FUNDING USAID	MATCH
Policy	-	#DIV/0!	-	-
Competitiveness	-	#DIV/0!	-	-
Tourism and Conservation	-	#DIV/0!	-	-
Market Access	-	#DIV/0!	-	-
Communication & Networking	-	#DIV/0!	-	-
Community Benefits from Tourism	-	#DIV/0!	-	-
Workforce Development	-	#DIV/0!	-	-
Monitoring & Evaluation	-	#DIV/0!	-	-
TOTAL	$0	#DIV/0!	$0	$0

Policy

Cost Category	Year 1 0 9.5 months	Year 2 0 12 months	Year 3 0 9 months	TOTAL 0 30.5 months	FUNDING USAID	MATCH
1. Salaries and Wages	$0	$0	$0	$0	-	-
2. Fringe Benefits	-	-	-	-	-	-
3. Consultants	-	-	-	-	-	-
4. Travel and Transportation	-	-	-	-	-	-
5. Other Direct Costs	-	-	-	-	-	-
Total Direct Costs	-	-	-	-	-	-
6. Indirect Costs	-	-	-	-	-	-
7. Equipment	-	-	-	-	-	-
8. Subcontractors	-	-	-	-	-	-
9. G&A	-	-	-	-	-	-
TOTAL PROPOSED ACTIVITY	$0	$0	$0	$0	$0	$0

Competitiveness

Cost Category	Year 1 0 9.5 months	Year 2 0 12 months	Year 3 0 9 months	TOTAL 0 30.5 months	FUNDING USAID	MATCH
1. Salaries and Wages	$0	$0	$0	$0	-	-
2. Fringe Benefits	-	-	-	-	-	-
3. Consultants	-	-	-	-	-	-
4. Travel and Transportation	-	-	-	-	-	-
5. Other Direct Costs	-	-	-	-	-	-
Total Direct Costs	-	-	-	-	-	-
6. Indirect Costs	-	-	-	-	-	-
7. Equipment	-	-	-	-	-	-
8. Subcontractors	-	-	-	-	-	-
9. G&A	-	-	-	-	-	-
TOTAL PROPOSED ACTIVITY	$0	$0	$0	$0	$0	$0

Figure 7.4. Sample Summary Budget (GSTA, 2009)

A brief explanation normally accompanies budget sheets. These notes take many forms depending on funding organization requirements. See a sample budget note completed for

USAID projects at
www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Sample_Budget_Notes_
and_Guidance.doc.

Step 13 Describe who will implementing the project

Describe the most important aspects of the executing organization and implementing
partners in the project concept note template. Include information regarding their
founding, years of operation, mission and vision, strengths and areas of operation,
financial situation, and briefly explain why they represent the best option to carry out the
project.

Step 14 Develop a project sustainability plan

Describe project aspects that will ensure its sustainability after funding has been
completed. For a summary of points to consider see
www.jisc.ac.uk/fundingopportunities/projectmanagement/planning/exit.aspx

Step 15 Define program management and organizational structure

Read the "Sample of an Organizational Structure & Program Management" at
www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Organizational_Stru
cture_Program_Management.doc. Write your own.

Step 16 Create the budget

Using the Budget Template at
www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Sample_Budget_Te
mplate.xls, develop an estimated project budget that details expenses by year, by major
cost category, and also activity.

Summary

- By clearly defining responsibilities and authority among team members and partners, a
  project team can obtain its objectives despite the prevalence of unforeseen
  challenges.
- Executing organizations often form legal agreements with donor organizations to
  administer project funds. Executing organizations may or may not participate in
  implementation.
- Implementing organizations carry our project activities. Typically they are contracted
  by the executing organization to carry our specific activities. They may or may not
  have a project management role.
- Partnership agreements between organizations to share project implementation or
  execution activities are increasingly common. Partnerships can include several partner
  organizations that share in overall project management, i.e., the GSTA.
- However partnerships are arranged, establishing clear roles and responsibilities is a
  key to success. These are initially laid out in a Memorandum of Understanding
  between organizations.

- Timelines in the form of Gantt Charts demonstrate how a partnership may work and how activities may be scheduled. Funders often require project timelines.
- Planning resources is usually an iterative process, especially when more than one organization or department is involved. Budget summaries typically include major cost categories such as salaries and wages, benefits, consultants, travel and transportation, other direct costs, indirect costs, equipment, and subcontractors.
- Overhead fees such as general and administration and financing costs need to be included. The project team needs to understand donor requirements.
- Funding and other organizations typically want to understand the cost of each activity.

For More Information

"Best Practice for Indirect Costing" (USAID)
www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Best_Practices_Guide_for_Indirect_Costing.pdf

Budget Template
www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Sample_Budget_Template.xls

Sample Budget Notes and Guidance
www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Sample_Budget_Notes_and_Guidance.doc

PowerPoint on Challenges of Partnerships & Networks: The Real Guide
www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Challenges_Partnerships_Networks.ppt

Organizational Structure and Program Management
www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Organizational_Structure_Program_Management.doc

Unit 8 — Project Concept Submissions

At the end of this unit participants will be able to:

- Review project concept note requirements
- Finalize a draft proposal for submission to an international donor

Review of Steps for Developing a Sustainable Tourism Project Concept

Step 1 — Identify the Project's Major Result

Identify potential major results for the sustainable tourism project and organizations that may have similar goals or objectives. Note that Unit 1 lists several links to donors to start. Also check with locally available projects, such as donor country offices, government programs, and foundations.

Step 2 — Identify Project Team Members

Consult potential team members about participating in the development of a sustainable tourism project concept. These individuals may be internal or external to your organization. Ask if they have time and interest to engage with developing the concept note.

Step 3 — Determine the Target Audience

The project team determines the target audience for the project concept note. Is it a government agency, a local community, a funding organization, or all? If it is a funding organization, review all donor requirements for submission, establish a timeline, and assign responsibilities for completing each section. See the Sample Project Profile Form provided at www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/IADB_Project_Profile_Form.doc.

Step 4 — Develop a Plan for a Participatory Process

Review the methodologies below for engaging stakeholders to determine project goals and objectives. Determine also the best strategy for the project area and a plan to carry it out. Remember to consider available funding and the logistics to organize each one.

Step 5 — Define Project Goals and Objectives together with Stakeholders

Use one or more meeting facilitation methodologies to develop overall goals and objectives for the project. Based on conversations with stakeholders, summarize the goals and objectives. List issues and challenges, as well as opportunities gleaned from stakeholder conversations.

Step 6 — Complete in-field Assessments

Draft a report using the GSTA Tourism Assessment Report template at www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Tourism_Assessment_Report_Template.doc. In the project concept document, write a summary that, "describes the project's beneficiaries or direct clients and its socio-economic and institutional context (specific sector, activities, number of beneficiaries, gender, geographic location, degree of organization and support received from other institutions, income level, poverty indicators, etc.) (IDB, 2011b, p. 1)."

Step 7 — Conduct a Value Chain Analysis

As part of in-field assessments use the VCA to determine important competitiveness issues to be addressed by the project.

Step 8 — Write a Summary of the Main Problems to be Addressed

Based on both the TAP assessment and VCA, in the project concept template, briefly describe main problems or deficiencies that the project plans to address in the sector and geographical area, and the impact that these problems are having. (The problem description must be directly related to the proposed solution). This is not a list of traditional problems but a demonstration that they really exist and the real impacts that they have had.

Step 9 — Propose Solutions, Describe Activities and Objectives

A) Describe the proposed solutions for each problem; b) describe the major activities to carry out solutions; and, c) describe the project's objectives.

Step 10 — Develop a Communication Strategy

Include a strategy for communicating both internally and externally, describing how project activities, outcomes, and results will be disseminated.

Step 11 — Define Risk Factors

Summarize any external or internal risks which may become success or failure factors during the project. Explain how the project may address or plan for these risk factors.

Step 12 — Describe the Plan for Monitoring and Evaluation

Following the GSTA example in Unit 6, write a brief summary of how the project will monitor and evaluate activities. List potential indicators and a sample causal model.

Step 13 — Describe Who will Implement the Project

Describe in the project concept note template the most important aspects of the executing organization and key implementing partners. Include information regarding their founding, years of operation, mission and vision, strengths, areas of operation, financial situation, and briefly explain why they are the best option to carry out the project.

Step 14 — Develop a Project Sustainability Plan

Describe project aspects that ensure its sustainability after funding has been completed. For a summary of points to consider see www.jisc.ac.uk/fundingopportunities/projectmanagement/planning/exit.aspx.

Step 15 — Program Management and Organizational Structure

Read the Sample of an Organizational Structure & Program Management at www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Organizational_Structure_Program_Management.doc. Write one for the project concept note.

Step 16 — Create the Budget

Using the Budget Template at www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Sample_Budget_Template.xls develop an estimated project budget that details expenses by year, by major cost category, and also activity.

Considerations for Finalizing Project Proposal Submission

Now that the team has put together a full draft of the project concept paper, it must ensure there are no gaps. The team can use the following checklist to review the draft concept note.

- **Background information** describes project beneficiaries, direct clients, and its socio-economic and institutional context (specific sector, activities, number of beneficiaries, gender, geographic location, degree of organization and support received from other institutions, income level, poverty indicators, etc.).

- **Problem definition** describes main problems or deficiencies that the project addresses in the sector and geographical area, and the impact that these problems are having. (The problem description relates directly to the proposed solution.)

- **Project management** describes the executing organization's experience in the sector and how it plans to carry out project.

- **Approach** describes the advantages of the model applied to solve the problems.

- **Proposed solution** describes proposed solutions for each problem.

- Describes the project's expected results.

- **Executing mechanism and institutional aspects** describes important aspects of the executing organization, including its founding, years of operation, mission and vision, strengths, areas of operation, financial situation, and briefly explains why it is the best candidate to carry out the project.

- **Programmatic sustainability** describes key project aspects that ensure its sustainability after funding has been completed.

- Describes issues that the project will analyze, for example, (a) size of project components; (b) demand for project products; (c) mechanisms to ensure that beneficiaries will actually benefit from the project; (d) feasibility and origin of matching funds.

- **Environmental and social impacts and proposed solutions** describe any environmental or social negative impacts and how to mitigate them. It also highlights any important aspects regarding gender, social inclusion, or indigenous groups.

- **Budget** estimates budgets by year, major cost category, and activity. It includes matching funds, if required.

- **Timeline or Gant Chart**.

- **Cover letter** can be sent as an email. The cover letter communicates submission of the concept note, any reference information, such as the

corresponding RFP or RFA, project concept title, and provides contact information.

- **Sustainability scorecard** reviews the project concept's social, economic, and environmental sustainability. It ensures that sustainability criteria are being met or are addressed in the concept document. See http://www.iadb.org/tourismscorecard/

Before submitting the project concept note, the team should send the draft for comment by stakeholders and partners. This will go a long way to ensure that partners feel included and also help identify any major gaps.

After Submission

Once the project concept note has been submitted, the team must wait for comments, questions, and suggestions for any necessary changes from the funding organization. The project team must respond promptly. See Unit 8 for More Information for a sample response.

The team may receive several communications with technical questions prior to a decision. Once the project concept note is accepted, the funding organization will likely request a full proposal. The project team will need to plan how it will develop the proposal, which may involve staff and consultants, office needs, finalizing partnerships with implementing partners, and conducting additional assessments to fine tune activities.

Summary

- Before finalizing the project concept draft, review a checklist of donor requirements to make sure each has been met.
- Be sure to include a cover letter.
- Review the project concept for sustainability; a tool such as the IDB's Sustainability Scorecard can be used for this.
- Plan to send the draft to stakeholders and partners before submitting the project concept.
- Respond promptly and concisely to all technical questions from the funding organization.
- If accepted, the project team must develop a full proposal. This may involve identifying management staff and consultants, conducting additional assessments to further detail activities, and solidifying partnership arrangements.
- Projects have four basic phases that, however, often do not develop in a linear fashion.

For More Information
Sample Response Letter
www.gwu.edu/~iits/Sustainable_Tourism_Online_Learning/Gutierrez/Sample_Response_Letter.doc

Glossary

Bi-lateral Aid: Official development finance or aid mobilized from one country to a recipient country.

Biodiversity: The diversity of living organisms in all of their forms and levels of organization including the diversity of genes, species, and ecosystems as well as the evolutionary and functional processes that link them. (*British Columbia Ministry of Sustainable Resource Management*)

Causal Model: A model in a table format that articulates the relationships between project or program activities to project or program impacts.

Climate Change: Term commonly used interchangeably with "global warming" and "the greenhouse effect," but more general. Climate change literally refers to any long-term change in the climate. Used commonly however to refer to the buildup of anthropogenic gases in the atmosphere that trap the sun's heat, causing changes in global mean temperatures and consequently weather patterns and other biophysical phenomena across the planet, such as changes in rainfall patterns, sea level rise, droughts, habitat loss, and polar ice cap melting. *(National Safety Council)*

Common Ground: Refers to finding common areas of interests or agreement on project activities, goals, and objectives among a diverse range of stakeholders.

Community Mapping: A participatory process for mapping tourism resources, activities, problems, and opportunities; giving dimension and scope to social, cultural, economic, and environmental issues.

Competitiveness Strategy: A competitiveness strategy provides a roadmap for moving an industry toward higher, sustained rates of growth — it is not just a plan for helping individual firms become more profitable. However, implementing a competitiveness strategy could require working first with a limited number of firms that are willing to invest in order to create a demonstration effect for other firms. (USAID microLINKS Wiki)

Cost Share: Matching funds from a separate organization or individual to help defray the cost of or enhance project activities and their sustainability; Donors such as USAID have specific definitions for what can be considered cost share and how to account for it.

Development Assistance: Also referred to as development cooperation and international aid, usually includes technical assistance and grant or loan funding and is given to support the economic, environmental, social and political development of countries.

Development Hypothesis: A proposed explanation or expectation of results, goals, or objectives of development activities which can be tested.

Direct Costs: Cost of activities directly related to project activities, i.e., travel, consultants, and staff salaries.

Ecotourism: Environmentally responsible travel and visitation to relatively undisturbed natural areas, in order to enjoy and appreciate nature (and any accompanying cultural features, both past and present) that promotes conservation, has low negative visitor impact, and provides for beneficially active socio-economic involvement of local populations. (*The World Conservation Union*)

Environmental Degradation: Deterioration of the environment through depletion of resources in a clean or natural state such as air, water and soil; the destruction of ecological systems and the extinction of wildlife.

Environmental Impacts: Any change to the environment, whether adverse or beneficial, wholly or partially resulting from an organization's activities, products, or services. (*Government of Canada*)

Executing Organization: Organization or agency which receives funds and manages implementation of a contract or agreement.

Firm-level Upgrading: Innovation to increase value added by individual businesses. Firm-level upgrading is a learning process through which those who run enterprises acquire new

knowledge — often through relationships with other firms in the value chain or with firms in

supporting markets. Firm owners then translate this knowledge into innovations that increase value. (*USAID microLINKS Wiki*)

Future Search: A meeting methodology used with large groups to develop a common vision for a project or program and develop actions for addressing issues.

Gantt Chart: A bar chart used to graphically demonstrate a project timeline.

Implementing Organization: Organization or agency which directly implements project activities.

Indirect Costs: Costs that benefit more than one project or programs, e.g., organization accounting and legal services, building maintenance and equipment. Also known as distributed costs, distributed across programs.

Infrastructure and Services: Includes airports, roads, railways, transportation, utilities, communications, waste management, health, and security among others.

Logical Framework Approach: A results-based tool for conceptualizing, designing, implementing, monitoring, and evaluating projects.

Map the Context: A process used with a group to determine the central goal of a project. The purpose is to develop an understanding of the social systems related to the issues or problems being addressed. It can take the place or complement a more traditional assessment.

Matching Funds: Complementary funds or contributions required by a donor in order to finance a project. Also known as counterpart funds, they can be in cash or often in-kind contributions. Donors usually establish a required percentage or proportion of their funding that must be matched by other sources.

Monitoring and Evaluation Plan: A plan that (a) identifies specific project goals and targets; (b) clearly articulates a development hypotheses (causal chains) and appropriate means to test them; c) develops indicators of change and targets; and, (d) describes how project staff will collect, analyze, and use information for project management and decision-making.

Multi-lateral Aid: Official development finance or aid mobilized from a representation of several governments to a recipient country.

Natural Resource Management: The management of natural resources such as land, water, soil, plants and animals; often includes national parks, forest reserves, marine areas, and other officially protected areas.

Performance Monitoring Plan: A plan for managing the collection of performance data of a given project; an essential part of an overall monitoring and evaluation plan.

Results Framework: A graphical representation of a development hypothesis and the cause and effect linkages between, activities, objectives, goals and results.

Social Impacts: Any change to the social and or cultural environment, whether adverse or beneficial, wholly or partially resulting from an organization's activities, products, or services.

Social Inclusion: Opposite of social exclusion which refers to processes by which entire communities of people are systematically blocked from rights, opportunities, and resources.

Socio-economic: An umbrella term used to describe both economic and social factors, recognizing that a relationship exists between social values and economics.

Stakeholders: Any individual or group of individuals that can affect or has an interest or stake in an activity, project, or program.

Tourism Strategic Planning: Planning that links the disparate planning and development activities related to tourism to an overall, broad strategic tourism plan to provide an integrated framework for directing tourism.

Sustainable Tourism: Sustainable tourism is a form of tourism characterized by a level of intensity and technology that generates sustainable net social, economic, and environmental benefits.

System-wide Communication: Combines behavior change communication tools with systems-based, participatory, and strategic planning tools

Tourism Assessment: An impact assessment undertaken by a destination or business to identify sustainability issues and impacts, prioritize them, and select projects, systems, and employees to measure and manage them.

Urbanization: Generally refers to the migration of people to city centers and the growth of those centers, mainly due to movement of people from rural areas.

Value Chain: A chain of activities of a business or industry that demonstrates the processes and linkages involved in producing a product or service and selling it to end-users or customers

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