



저작자표시-비영리-변경금지 2.0 대한민국

이용자는 아래의 조건을 따르는 경우에 한하여 자유롭게

- 이 저작물을 복제, 배포, 전송, 전시, 공연 및 방송할 수 있습니다.

다음과 같은 조건을 따라야 합니다:



저작자표시. 귀하는 원저작자를 표시하여야 합니다.



비영리. 귀하는 이 저작물을 영리 목적으로 이용할 수 없습니다.



변경금지. 귀하는 이 저작물을 개작, 변형 또는 가공할 수 없습니다.

- 귀하는, 이 저작물의 재이용이나 배포의 경우, 이 저작물에 적용된 이용허락조건을 명확하게 나타내어야 합니다.
- 저작권자로부터 별도의 허가를 받으면 이러한 조건들은 적용되지 않습니다.

저작권법에 따른 이용자의 권리는 위의 내용에 의하여 영향을 받지 않습니다.

이것은 [이용허락규약\(Legal Code\)](#)을 이해하기 쉽게 요약한 것입니다.

[Disclaimer](#)

Ph.D. Dissertation of Seweryn Zielinski

Factors that facilitate and inhibit
community-based tourism in
natural areas of developing
countries

개발도상국의 자연지역 커뮤니티 관광의
성공 및 장애 요인

August 2018

Graduate School, Seoul National University
Department of Forest Sciences
Forest Environmental Sciences Major

Seweryn Zielinski

Factors that facilitate and inhibit community-based tourism in natural areas of developing countries

Under the Supervision of Professor Kim Seong-il

Submitting a Ph.D. Dissertation of Forest
Environmental Sciences

August 2018

Graduate School, Seoul National University
Department of Forest Sciences
Forest Environmental Sciences Major

Seweryn Zielinski

Confirming the Ph.D. Dissertation written by

Seweryn Zielinski

July 2018

Chair	<u>Youn Yeo-Chang</u>	(Seal)
Vice Chair	<u>Kim Seong-il</u>	(Seal)
Examiner	<u>Park Mi Sun</u>	(Seal)
Examiner	<u>Hwang Yeong-Hyeon</u>	(Seal)
Examiner	<u>Camilo Botero</u>	(Seal)

Abstract

There is a spectrum of factors that facilitate and inhibit community-based tourism (CBT) initiatives. They apply internationally, but are different for developed and developing nations. This study determined through a content analysis of 68 case studies a detailed set of factors that facilitate and inhibit community based tourism in natural areas in a selection of developing countries. The results show that there are 25 external and 52 internal factors found in case studies that are potentially applicable to all developing countries encompassed by the research and generally correspond with lists/models/frameworks created by various authors and published in the literature. This research pointed out weaknesses of models/frameworks and proposed an addition of factors to create a more complete framework. Based on the results, a methodology to evaluate factors that facilitate and inhibit CBT initiatives in natural areas of developing countries was created that can serve as a framework for comparison of CBT initiatives as well as for statistical analysis of interactions among different factors.

Keyword: Barriers, facilitators, inhibitors, CBT, limits, success factors, community-based tourism, developing countries

Student Number: 2015-30768

Table of Contents

Abstract	i
List of tables	iv
List of figures	v
Chapter 1. Introduction	1
1.1. Study background.....	1
1.2. Problem statement.....	4
1.3. Purpose and scope of research	7
1.4. Objectives of the study	1 3
Chapter 2. Literature Review	1 5
2.1. Community.....	1 5
2.2. Community participation in tourism and empowerment.....	2 0
2.3. Sustainable Livelihoods and Asset-Based approach to Community Development	4 2
2.4. Community based natural resource management.....	4 9
2.5. Ecotourism and Community-based tourism.....	5 2
2.6. Studies of barriers and success factors in CBT.....	6 3
Chapter 3. Research Methodology	6 8
3.1. Definitions of concepts used in the research	6 8
3.2. Identification of factors in case studies.....	7 3
3.2.1. Design of the analytical framework	7 5
3.2.2. Data collection	7 9
3.2.3. Case studies	8 3
3.2.4. Content analysis	8 8
3.2.5. Validation and reliability	9 2
3.2.6. Data analysis	9 5
3.3. Identification of factors in lists / models / frameworks	9 7
3.4. Specific conditions for presence of factors	9 9
Chapter 4. Results	1 0 2
4.1. Facilitators and inhibitors in case studies	1 0 2

4.2. Conceptual model for facilitators and inhibitors.....	1 1 6
4.3. Facilitators and inhibitors in lists/models	1 2 6
4.4. Methodology for CBT evaluation.....	1 3 2
4.4.1. Introduction	1 3 2
4.4.2. Methodological steps	1 3 4
4.4.3. Questionnaire	1 4 0
4.5. Specific conditions for presence of factors	1 4 2
Chapter 5. Discussion and conclusions.....	1 4 5
5.1. Case studies.....	1 4 5
5.2. Factors that facilitate and inhibit CBT.....	1 4 7
5.3. Lists/models/frameworks of other authors	1 6 5
5.4. Research on success factors and barriers for CBT	1 7 1
5.5. Theoretical implications	1 7 3
5.6. Practical and policy implications.....	1 7 5
5.7. Directions of future studies.....	1 8 3
Bibliography	1 8 5
초 록.....	2 2 0
Appendices	2 2 1
Appendix 1. Definition of external and internal factors.....	2 2 1
Appendix 2. Studies of success factors and barriers.....	2 8 9
2.1. Success Factors of CBT	2 8 9
2.2. Barriers for community participation	2 9 8
Appendix 3. List of case studies used in the research	3 0 9
Appendix 4. Coding guidelines	3 1 6
Appendix 5: Coding scheme	3 1 9
Appendix 6. Capital assets framework for assessing community capacity for tourism	3 5 7

List of tables

Table 1. Scheyvens’ (1999) empowerment framework.....	3 3
Table 2. Normative typologies of community participation.....	4 1
Table 3 (A, B, C). Synthesis of studies of barriers and success factors ...	6 4
Table 4. An example of factors that facilitate and inhibit CBT	6 9
Table 5. Case studies analyzed in the research by year of publication (grouped).....	8 3
Table 6. Literature sources of case studies	8 5
Table 7. Case studies by regions	8 6
Table 8. Research methods employed in case studies	8 7
Table 9. Formation of organizations / cooperatives that give institutional power.....	8 7
Table 10. The way of CBT initiation.....	8 8
Table 11. CBT indicators according to livelihood approach capitals.....	9 4
Table 12. Example of coding used for lists/models/frameworks from the literature.....	9 9
Table 13. Internal and external factors found in each case study	1 0 4
Table 14. Factors that play role of outcomes in Sustainable Livelihoods Approach.....	1 0 9
Table 15. External facilitators and inhibitors of CBT arranged according to frequencies.....	1 1 0
Table 16. Internal facilitators and inhibitors of CBT arranged according to frequencies.....	1 1 1
Table 17. External factors removed from analysis	1 1 4
Table 18. Internal factors removed from analysis.....	1 1 5
Table 19. External factors in case studies and in lists / models by various scholars.....	1 2 6
Table 20. Internal factors present in case studies and in lists or models by various scholars.....	1 2 8
Table 21. External and internal factors that were not found in case studies or were excluded on purpose.....	1 3 2

Table 22. Region specific Factor X52 (Chi-Square and Frequencies) ...	1	4	3
Table 23. Factors that appeared only in one region by country	1	4	4

List of figures

Figure 1. Objectives of the study	1	4
Figure 2. Flow chart representing the methodological process employed in the research.....	7	4
Figure 3. Case studies by year of publication	8	3
Figure 4. Conceptual model for factors that facilitate and inhibit CBT initiatives in natural areas of developing countries	1	1 7
Figure 5. Example of data visualization when comparing initiatives ...	1	3 9
Figure 6. Example of questions used by ApaCBT questionnaire.....	1	4 1

Chapter 1. Introduction

1.1. Study background

Tourism in developing countries has been seen as an industry that can provide much-needed economic benefits to communities in rural and remote areas that offer ideal natural conditions for growing niche markets such as ecotourism and nature-based tourism. However, these areas are often inhabited by communities that lack knowledge and financial resources to take part in tourism development without external support. In consequence, they become subject to decisions by government that favor the conditions of the entire industry over the rights of small groups of people (Mitchell & Reid, 2001).

To deal with this issue, new paradigms created under the umbrella of sustainability have recently been appearing on developing countries' political agendas. When sustainable tourism was introduced as a new global standard to replace conventional tourism, many countries designed policies that reflected this shift. As a result, concepts such as community, participation, involvement, equity, and equality were integrated into national regulations and development strategies (UNWTO, 2005).

The principle of participation in the tourism context is probably most apparent in those branches of tourism that have sustainability

principles at their core. “It is believed that a participatory development approach would facilitate implementation of principles of sustainable tourism development by creating better opportunities for local people to gain larger and more balanced benefits from tourism development taking place in their localities” (Tosun, 2006: 493). The various definitions of sustainable tourism and its branches underline the principle of active participation by local communities in the benefits derived from the tourism activity (UNWTO, 2001).

There is a consensus about the importance of involving local communities in any development process, including tourism (West, 1991). Local participation is vital to the success of the tourism industry and communities’ inputs into the decision-making process of tourism development should be the focal point (Choi & Sirikaya, 2005; Cole, 2006) as people should have the right to be informed and consulted and convey their views on matters which affect them (Tosun, 2006). Participation is even more important in case of communities settled in protected and natural areas as they are the users of natural resources. It is suggested that successful protected area management will not be achieved without the cooperation and support from local communities that should be empowered and involved in making important conservation decisions (Lai & Nepal, 2006). This is rarely the case in developing countries (Ormsby & Mannie, 2006; Somarriba-Chang &

Gunnarsdotter, 2012; Stronza & Gordillo, 2008) as stated from an analysis of 251 case studies on ecotourism around the world by Kruger (2005). The author found that the lack of local community involvement as one of the three main reasons for tourism to be unsustainable. Although communities can receive benefits from tourism without having direct control or ownership (Li, 2006; Murphy, 2003; Simpson, 2008), these benefits are centered mostly on provision of low-level employment for local people. However, if a tourism process is initiated and led by the communities, it is more likely to maximize the desired social and economic outcomes (Cronin, 1990).

Nonetheless, it is important to note that local participation should not be seen as an objective in its own right, as shown by the analysis of many cases of community-led or co-managed initiatives in natural areas that failed because of barriers encountered during the process (Coria & Calfucura, 2012). Rather, there is a spectrum of operational, structural and cultural conditions that have to be met for a participatory initiative to succeed (Tosun, 2000, 2006). These conditions, or limitations, apply internationally, but their effect on operation of the participatory approach vary from developed nations to developing nations due to better economic, legislative and political structure in the former (Cole, 2006; Hampton, 2005; Timothy, 1999; Tosun, 2006).

1.2. Problem statement

Many community-based tourism initiatives fail because of unfavorable conditions related to participation that could have been detected and either avoided or dealt with during the pre-feasibility phase.

In those cases, tourism should not be proposed as not every place and location can be developed for this purposes (Spenceley & Seif, 2003). As noted by Collins and Snel (2008), each specific site requires evaluation of its socioeconomic context, and more importantly of the community' s capacities to run and operate a tourism enterprise. Often it is too late to correct or implement actions to improve the situation.

The literature that deals with the topic pays more attention to observed outcomes instead of the specific causes. In many cases, it is entirely unclear why an initiative failed or was successful (Agrawal & Redford, 2006). Published reports and journal papers pay attention to 'lessons learned' from community-based tourism (CBT) initiatives and short case studies published as the latter half of some textbooks, where each case is given little more than a few pages. That kind of case studies contribute only to a certain extend to understanding of the factors for success and failure of CBT. The case studies are usually focused on the operational aspects of implementation of CBT by third parties

(government, NGOs) or general aspects and not on internal reasons that influenced success or failure of the initiative (e.g. Ashley, Roe & Goodwin, 2001; Asker et al. 2010; Bello, Carr, & Lovelock, 2016; Garrod, 2003; UNWTO, 2012).

These factors, if present, are not analyzed with enough detail and their authors limit themselves to only to the most general ones such as politics, low investment levels, corruption, inherent contradictions in attempts to combine poverty alleviation and biodiversity conservation (Agrawal & Redford, 2006). However, as more detailed case studies show, there are more factors that strongly influence success and failure of CBTs. Therefore, evaluations of CBT studies should seek to identify the factors that may be inhibiting or encouraging empowerment processes for local people (Knight & Cottrell, 2016).

Up to date, there have been a handful of studies carried out on this specific topic or closely related topics (e.g. Armstrong, 2012; Blackman et al., 2004; Goodwin & Santilli, 2009; Moscardo, 2005, 2011; Saufi, O'Brien, & Wilkins, 2014; Wilson et al., 2001) and only two of them used wide range of case studies (n=100 and n=40) to define the factors for success and failure of tourism in peripheral areas (e.g. Moscardo, 2005, 2011). But even then, the range of factors was very limited (n=12) and the scope of the cases very global with the majority of European destinations and all types of community based tourism were included

such as cultural and farm tourism. Dodds, Ali, and Galaski (2016) call for further research into successful CBT case studies and lessons learned as well as primary research with industry that could enhance the current knowledge available and provide more guidance to donors, governments, and organizations serving developing communities such as NGOs and practitioners.

Confronted with lack of information on the topic, many experienced scholars make statements and draw lists of factors based on their personal experience of working in CBT projects and perceptions of other scholars expressed in the literature, sometimes empirically tested at a specific destination, but not based on systematic review of well documented studies. In consequence, they often re-cite few key general factors, failing to mention many more specific ones. The absence of many factors in case studies does not necessarily mean that they were not present, although it is a possibility. They could be easily overlooked by the authors of the case studies who either failed to recognize them or failed to recognize their importance and mention them in their case study.

Because each community presents its own unique circumstances, there is no a single set of suitable conditions that would apply to all potential tourist sites for a community-based tourism to flourish (Beeton, 2006; Faulkner & Tideswell, 1997; Nault & Stapleton, 2011; Okazaki,

2008; Reimer & Walter, 2013). However, there is increased agreement that there are number of critical conditions that define failure or success of an initiative (Armstrong, 2012; Nyaupane et al., 2006; Tosun, 2006), which opens a possibility to define those that are crucial in most cases or those that has to be taken into consideration and assessed for their presence or absence in order to estimate chances of success of an initiative.

1.3. Purpose and scope of research

The purpose of the research is to identify factors that facilitate and inhibit community-based tourism in natural areas in developing countries. The necessity for this type of research is based on the recognition of the weakness of the current body of research to provide insights into the mechanisms which facilitate and inhibit CBT and necessity of developing countries to increase the effectiveness of CBT as a tool for development. Developing countries in this research are defined as developing by United Nations based on Gross National Income (GNI) per-capita (UN, 2014). There is no official definition of developing countries and UN implies that the designations "developed" and "developing" are intended for statistical convenience and do not necessarily express a judgement about the stage reached by a particular

country or area in the development process. However, also other definitions by OECD or WTO categorize the very same countries encompassed by this research as developing based on economic criteria. On the other hand, the World Bank stopped using the terms “developing” and instead it is using “emerging economy” term to separate lower income countries from higher income countries.

The geographic and thematic focus on developing countries stems from the following reasons:

- Sustainable Tourism as a mechanism for development
- Areas of high biodiversity and interest for nature tourists are located in developing countries
- Potential presented by nature-based tourism for communities living in natural and often remote areas
- Recognition in the literature of the differences between the facilitators and inhibitors for CBT in developing and developed nations (Cole, 2006; Hampton, 2005; Timothy, 1999; Tosun, 2000, 2006)
- Strong relation between facilitators and inhibitors for CBT and Community-based Natural Resource Management (CBNRM) initiatives in developing countries

Sustainable Tourism has been widely considered a viable mechanism for economic development and environmental conservation. Tourism is singled out in three of the 17 Sustainable Development Goals, specifically tied to the goals on sustainable economic growth and decent employment, sustainable production and consumption, as well as the conservation and sustainable use of oceans. The branches of sustainable tourism related with natural resources such as ecotourism or responsible tourism are especially of value to rural and remote areas in developing countries that usually do not have a good access to any alternative source of income and social welfare such as many developed countries, but they have an important asset for foreign visitors – the abundance of nature (Moscardo, 2005). The communities living in natural areas often make use of natural resources and have restricted opportunities to improve their quality of living because of their limited financial and technical capabilities (Saufi et al., 2014). Therefore, CBT initiatives in developing countries often become community development projects (Stronza & Gordillo, 2008), aimed at poverty alleviation or nature conservation through creation of alternative sources of income for communities highly dependent on natural resources. CBT and tourism in general has been considered a great instrument for development cooperation and poverty reduction, especially in areas of high biological diversity, offering opportunities for conservation (WWF, 2001), as well as

rural economic development (Buckley, 2009; Hall, 2005).

CBT has been seen an alternative for rural and indigenous people in the developing countries right from the beginning in the 1980s (Weaver, 2010). The importance of CBT for developing countries lies in community ownership/management and community benefit that together can lead to empowerment (Goodwin & Santilli, 2009). CBT promises human welfare as well as social, economic and cultural benefits to the host communities in the long-run. Authors such as Eshun and Tonto (2014) state that CBT can help in the survival of culture in a way that the community learns about the attractiveness of their way of life to foreign people and willingness of the community to preserve it. This is a highly valued alternative to less sustainable types of tourism that have destructive effect on indigenous and traditional cultures of many developing nations.

Another reason for choosing the developing countries is the potential of CBT for community-based natural resource management (CBNRM) that is often seen as a solution to overuse of natural resources and degradation of key ecosystems that are usually located in tropical developing countries. CBNRM has expanded into conservation, improvement of livelihoods, sustainable use of natural resources, environmental education and finally tourism (Sebele, 2010). The reasoning behind the need for CBT in natural areas and CBNRM is that

governments cannot successfully and efficiently protect natural resources outside protected areas, but communities can achieve it given that they can receive benefits (Mbaiwa, 2007). The favorable attitudes as well as favorable social and cultural factors of communities that live within the borders are needed for a successful management (Mascia, 2003).

Recognizing the opportunities that tourism present for local people that often live in poverty, and opportunities that a well-organized and managed activity can present to conserve the nature, this research's objectives are focused on developing countries. More information about the potential of CBT for development can be found in Chapter 2.3 and 2.4. Because developed countries have better economic, legislative and political structure, the factors that facilitate and constrain CBT are believed to be different (Cole, 2006; Hampton, 2005; Timothy, 1999; Tosun, 2006). Although that hypothesis has not been confirmed empirically by any study known to the author, the magnitude of work needed for comparison of case studies from developing and developed countries was out of scope of this research.

Instead the scope is centered on developing countries and factors that facilitate and inhibit CBT that can be used as a tool that can assess key aspects of community participation in nature-based or ecotourism community-based initiatives and detects the factors that constrain participation limiting the chances for success of the initiative. This study

also makes an analysis based of frequencies of factors found in lists/models/frameworks for success of CBT or barriers for CBT provided by various authors. The aim of this exercise is to see if the factors included in those lists/models/frameworks are the most common factors that appear in case studies. The comparative studies among different models, however, is not the objective of this study and only a group comparison between factors found in all lists/models/framework and case studies was carried out to show that many models are incomplete and do not provide full picture.

The final product is a methodology for evaluation of CBT that can be useful in prefeasibility study or during the operation of an initiative to assess the level of participation and detect areas where it could be strengthen resulting in better management or more benefits for the local people. The evaluation methodology can:

- Identify strengths and weaknesses of a CBT initiative
- Identify thematic areas of high importance that should be tackled by CBT supporting organization (NGOs, government, private sector actors)
- Indicate the urgency and priority for specific CBT initiative if used on various cases
- Help to develop and prioritize appropriate local or national policy interventions and follow-up steps to improve CBT initiatives

1.4. Objectives of the study

The main objective of the study is to **identify factors that facilitate and inhibit community-based tourism that can be used to evaluate CBT initiatives in developing countries**

Secondary objectives are:

- 1) **Based on case studies to identify factors that facilitate and inhibit community-based tourism in natural areas of developing countries**

The goal of this stage was to identify all factors that facilitate and inhibit CBT in natural areas of developing countries;

- 2) **Based on available lists/models/frameworks identify the common factors that facilitate and inhibit community based tourism**

The goal of this stage was to first identify the factors proposed by various scholars in their research and then compare them with factors previously defined through case studies in order to create a complete list of factors derived from these two main sources of data on the topic that could be used to create a CBT evaluation methodology. An additional advantage of this exercise is identification of strengths and weaknesses of each model and a recommendation to extend them by adding missing factors that have been identified in content analysis of case studies;

3) Based of previously identified factors to design a methodology to assess and prioritize actions for CBT initiatives in developing countries The goal of this objective is to create and methodology capable of evaluating the main aspects of CBT in developing countries that accounts for specific conditions (e.g. level of development, remoteness, infrastructure, etc.). Not only the presence and absence of factors is accounted for, but also the importance of each factor to facilitate and inhibit a CBT initiative in developing countries.

Figure 1 show a flow chart for objectives of the study.

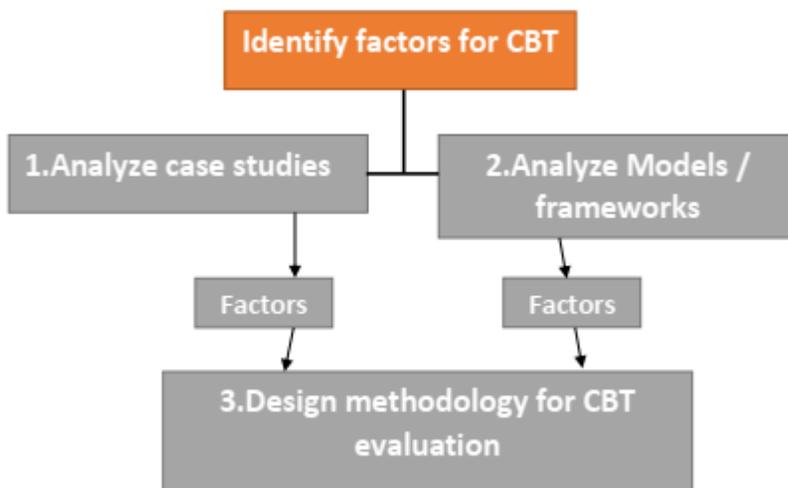


Figure 1. Objectives of the study

Chapter 2. Literature Review

2.1. Community

Community is a socio-anthropological concept that has been a subject of a debate due to its lack of precise definition (Barrow & Murphree, 2002). On a surface the definition of community provides a symbolic-identitarian framework that links its members around universes of meaning (Cohen, 1985). The basic meaning of community is “having something in common” and it is anchored in three key elements: place, interest and attachment (Ruiz Ballesteros, 2011). These commonalities define a specific way of inhabiting a common place that make up a socio-ecological system. In that system there are few components that characterize a community: web of social relations, sense of territory, and way of working collectively or its lack of.

For a community, the existence of a strong and definite sense of territory is primordial, but it does not have to be shaped exclusively by ancestral criteria. Aspects such as management, ownership and the maintenance of territory and resources build sense of territory. While literature often separates people and their surroundings into the categories nature, culture, environment, and society, the territory is an integral part of a community identity, having direct relation with culture (Wilshusen et al. 2002). This separation has had an immense impact,

resulting in either forceful exclusion of people from their land or holding them to discursive standards that are nearly impossible to live up to in practice (Igoe, 2005).

Another key aspect of any community is a web of relations and social practices is a space where kinship plays a leading role and face-to-face relations provide general guidelines, creating a dense social network (Ruiz Ballesteros, 2011). These relations such as relationships of trust, social norms, networks, and membership of groups are all social resources called social capital. This web of relations together with political regulation define how individuals and families interact with each other as well as ways of working and collaborating collectively (Matarrita-Cascante et al., 2010). The latter includes both acknowledged internal leaderships and assembly forums, along with diverse governing institutions that either hold legitimacy in the eyes of the majority or do not. Legitimate leaderships have power to build cohesive communities able to defend their rights and work collectively to achieve community's goals.

Social cohesion

There are two common misconceptions about communities omnipresent in the literature. The first one treats communities as a harmonious, homogenous entity (Agrawal, 1999; Farrelly, 2011; Liu et al.,

2012; Salazar, 2012), while the other one portrays communities as static ignoring changing membership and composition of rural locales due to forced relocation, migration, rural/urban labor and resource flows, and changing agricultural practice (Liu et al., 2012; Murphree, 2002). The former assumption that treats communities as one entity implies that there is a strong leadership structure that holds community together under a governance system. That also implies full participation of all community members in decision-making about everyday village issues (Muehlig-Hofmann, 2007).

In reality, the presence of internal conflict is renowned. Community is composed on group of individuals that often have different individual, family and collective interests, agendas and opinions on certain aspects (Belsky, 1999; Gascón, 2013). The differences come from cultural and social aspects such as inequalities in terms of gender, age and status. That lack of homogeneity might be either destructive, leading to internal conflicts for power and benefits, or constructive. According to Madrigal (1994), the diversity of views within a community represents an opportunity for cooperation if better communication can address the various needs and wants of the community. The extent of such optimism depends on whether a community regards itself as fundamentally cohesive, in other words as a community, or as an association characterized by individualism and competitiveness. But even

if a community shows signs and high cohesiveness, that creates a situation when majority adopts the preferences of others as their own, fueling the empowerment of few (Hall, 2013). Community homogeneity only masks these internal power struggles or conflicting values (Blackstock, 2005).

Not only communities are not homogenous, but also they are not static. Communities are dynamic in a sense that they are developed, created and re-created through social interaction (Bridger, Luloff, & Brennan, 2006; Matarrita-Cascante, Brennan, & Luloff, 2010).

Building social capital and agency

The community cohesion can be increased through building of agency. According to Matarrita-Cascante et al. (2010: 738) “community agency can be seen as a process of building relationships that increase the capacity of local people to unite, act and adapt to changing conditions”. Through agency the community negotiates, compromises and accepts ideas that might result from different individual and collective interests. In other words, it is a link that bounds people giving them opportunity to consider a wider range of community issues.

In communities characterized by high level of social capital established through time, people tend to have more confidence to invest in collective actions and collaboration, trusting that others will do

the same (Pretty, 2003). On the other hand, when a community is characterized by distrust or conflict, cooperative activities are unlikely to emerge. To increase trust reciprocity is needed, which refers to simultaneously exchanged goods and knowledge and in that way building agency. That reciprocity develops sustainable obligations between people, which leads to mutually agreed upon drivers of behavior, i.e. norms and rules of society. As can be seen, four interconnected features of social capital are listed as essential; relations of trust, reciprocity and exchanges, common rules and norms, and connectedness in networks and groups (Pretty, 2003).

Tourism can play a significant role in building social capital in a community. Communities have to become more defined to undertake collaborative action in tourism and play a new role as leaders or entrepreneurs, which builds their status and sense of belonging (Ashley, 2000). In addition, through the support of NGOs or governmental organization the organizational strength of a community increases, which also builds social capital (Vermaak, 2009). Finally, through increased recognition and links with external actors, the community gains capacity to make decisions and confidence to pro-actively engage with outsiders (Ashley, 2000).

2.2. Community participation in tourism and empowerment

What is participation?

Community participation refers to a form of voluntary action in which individuals confront opportunities and responsibilities of citizenship such as self-governance, response to external decision that impact one's life, and collaborative work on collective issues (Tosun, 2000). In a way it is an empowering process led by a collective need to solve problems of a community or improve their environmental or socio-economic situation by identifying problems and planning and managing solutions or seeking adequate support of external stakeholders able to assist. "In this sense community participation, as an ideal type, involves a shift of power, from those who have had major decision-making roles to those who traditionally have not had such a role" (Willis, 1995: 212). In that way, the balance of power is readjusted and community gains the possibility to influence decision that affect them.

Benefits of participation in tourism

People who are affected by positive and negative impacts of tourism are those who live in communities. Without being involved, there is a big chance that the decisions made by outsiders about the

future of the destination will not be beneficial for people inhabiting that destination and in result will generate resistance to tourism. Community participation has been widely seen as a potential to transform the attitudes of local people from passivity to responsibility (Dinham, 2005). Many scholars agree that the best result of participation is reached when a community is involved in destination development process from design to maintenance (Choi & Sirikaya, 2005; Cole, 2006; Tosun, 2006). The members of the host community should be involved in tourism planning because they: (a) have an historical understanding of the area and of the way it adapts to change; (b) will be the ones most closely affected by tourism; and (c) will be expected to become integral part of the tourism product (Scheyvens, 1999).

When communities are actively participating in development of tourism and decisions that affect them they are less likely to oppose to development and chose those options that are most acceptable for them, in this way avoiding unwanted negative impacts of tourism (Stone & Stone, 2011). Direct involvement in decision-making can also preserve and promote traditional lifestyles and values of the communities (Li, 2006), ensuring that the tourism experience delivered satisfies both visitors and residents (Simmons, 1994).

All these actions of participation are also leading to non-monetary benefits such as increased knowledge and capacities of host

communities educating locals about their rights, laws and political good sense in the service of their self-development (Okazaki, 2008; Tosun, 2000). Close involvement and decision-making process with other stakeholders including public institutions teaches them about tourism, politics and management and increases their confidence and control over their future (Bramwell & Sharman, 2000). Although these non-monetary benefits can be even more important than the monetary ones, without tangible financial benefits it is difficult to count on community support and direct involvement.

This has been found especially important in case of ecotourism or nature-based tourism in protected areas. Because of the involvement of different types of stakeholders, modern PAs must typically deal with multi-actor, multi-sector and multi-level challenges (Lemos & Agrawal, 2006). These groups of stakeholders interact with each other creating relationships and networks that involve power relations, negotiations and decisions (Andonova & Mitchell, 2010; Secco et al., 2014). Based on a literature review of cases in Ecuador, Mexico, Nepal and parts of Africa, Bruyere, Beh, and Lelengula (2009) concluded that in many regions of the world, local participation was seen as the key factor in helping protected area managers reach their goals. Lack of participation in decision-making and management of those areas often results in negative environmental and socioeconomic impacts on local

communities (Kruger, 2005). The long-term sustainability of nature-based tourism in and near protected areas is strongly dependent on its ability to improve the livelihood of local communities and to enhance local residents' attitudes and behaviors toward conservation (Bello, Carr & Lovelock, 2016; Spenceley & Goodwin, 2007).

Indeed, “without benefits in proportion to the effort involved, communities are unlikely to participate” (Murphree, 1999, p. 6), which is especially a problem in protected areas where tourism is used as an alternative to unsustainable use of natural resources. In that case a payment to local people may be necessary until the direct benefits of ecotourism become a reality (King & Stewart, 1996). Such payments might also become a continuous compensation as stewards of a national resource, distributed among members of the community by a local institution. This again might prove to be difficult and result in inequitable distribution of the resources if the organization is not truly representative of the community.

Indigenous communities are not different, affected by tourism they also became reactive to it seeking direct participation and benefits from it (Kiss, 1990; Long & Wall, 1995). There is not much difference between participation of indigenous and non-indigenous communities except the fact that the former are usually more prone to cultural impacts. Participation in decision making would allow higher control

over the number and type of visitors as well as specific locations and timing (King & Stewart, 1996). Even the commodification of some cultural events and places may be viewed as desirable by indigenous people given that they make that decision and not external actors.

Participation as key approach in new development

Alternative development or new development paradigm with sustainable development principles has been a driving force behind tourism and its alternative forms including CBT ever since it has been introduced to the wider public in 1992 (UNWTO, 2005). Alternative development has been concerned with introducing alternative practices and redefining the goals of development. Key elements such as community participation, bottom-up development, endogenous development, strong grassroots movements, local knowledge have been adopted (Bramwell & Sharman, 2000). Development is no longer simply viewed as GDP growth, and human development is seen as a more appropriate goal and measure of development, which can be seen through new frameworks to measure the development such as Human Development Index (UNDP, 2018).

It should be recognized that new development paradigms provide principles that support and encourage self-help, self-reliance

and empowerment of communities. There is a clear acceptance that development should be people-centered; democratically organized; responsive to the whole environment, not only the ecological and the economic, but also the political, social, and cultural; and balanced, for example, between center and periphery, between public and private, between the roles of men and women (SNDP, 2014). The strategic centerpiece of a new model and a new philosophy of development is participation.

The new model of development shifts the center of effort from a focus on control of resources to the participative dimension, the interaction among the key parts of the development system (SNDP, 2014). It is driven by the purpose of the stakeholders rather than by expert planning, which is clearly seen from high frequencies of factors related with community control, participation in planning and management, co-management, participative decision making and collaborative actions with other stakeholders. The results of this research confirm the importance of new or alternative development principles that underlie the key factors found in case studies. These principles, concepts and theories will be introduced more in detail in the text, together with factors that can be explained by them.

Power struggles

The interaction between different actors in tourism development is based on power struggle. It is a very complex process that according to scholars can be described and categorized through different 'levels of participation' (Abram & Waldren, 1998). Doorman (1995 cited in Abram & Waldren, 1998) identifies two schools of thought on participation: 'social planning', where participation is used to facilitate development efforts initiated by outside agencies, and 'social action', where participation is a moral obligation leading to empowerment of the participants.

The weakness of both lies in the fact that development is anchored in power struggles for scarce resources even among parties that belong to the same group called 'community'. Indeed, participation can improve planning, making it more equitable and legitimate, as long as those who participate are representative of the whole community and are able to look after their shared interests (Buanes et al, 2005). This, however, is not always the case. As previously mentioned community is a collective of individuals that often have different and contradicting agendas. Who within a community should participate has been a question that is rarely asked in the literature (Agrawal & Gibson, 1999).

Engagement in tourism can affect social networks and

community organization in a number of ways, positively and negatively (Ashley, 2000). The more different groups with varying opinion on tourism development, the more difficult will be achieving sustainable tourism that benefits everyone. In cases like that there will often be people who are negatively affected by something that benefits others. The more varied a community is, the more difficult this is (Agrawal & Gibson, 1999). It is why very cohesive communities have better conditions to succeed in development of tourism. Some of the strongest and most positive impacts have occurred where tourism is developed by communities that are already a part of a community-based initiative that is not generating any conflicts (for example community-based natural resource management) (Ashley, 2000).

Therefore, participation is not something that can be easily decided by local people and then executed. It can be successfully done only if the powerful, multi-dimensional, and in many instances, antiparticipatory forces that dominate lives or local people are recognized. The problem of power relations is central to the equitable and sustainable community-based tourism development (Blackstock, 2005; Butcher, 2007; Kiss, 2004; Mbaiwa, 2005; Salafsky et al., 2001; Salazar, 2012; Wearing et al., 2005).

The exact definition of power is not very precise, but the concept can be clarified by differentiating between those who exercise

power and those upon whom it is exercised (Han et al., 2014). The former group has the ability to influence the latter to achieve its goals through authority or force conferred and protected by the same community or the state apparatus. That balance might be between different groups that belong to the same community or between community and external stakeholders such as international organizations, government and private enterprises (Nunkoo & Ramkissoon, 2012; Timothy, 2007). The power can take different shapes from the legitimate right to exercise decisions, through ownership of land, access to information and resources, distribution of benefits, to capacities to manage tourism and implement development plans.

When defining the actual ability to influence decisions that are accepted by all stakeholders, the power alone is not enough. According to Mitchell, Agle, and Wood (1997) there are three attributes that define salience of stakeholders: (1) the stakeholder's power to influence the firm, (2) the legitimacy of the stakeholder's relationship to the firm and (3) the urgency of the stakeholder's claim on the firm. When power alone is not sufficient or when two groups of similar power levels compete for the authority to make decisions (for example within the community) the group that holds higher level of legitimacy with dominate. Urgency or its lack of is also important when a group or organization possess the power and legitimacy but chooses not to

exercise it. The relations among those three attributes define the power struggles within the community and between the community and external stakeholders. The most common arrangement is that the government is characterized by power and legitimacy but lack of urgency, while communities have high urgency, often some level of legitimacy, but are more likely to lack power. These imbalances related to stakeholders can inhibit both the initiation and the success of collaboration and decision making (Jamal and Getz, 1995).

Power struggles within community

In order to understand the power relations, it is important to understand first how social and economic aspects within a community affect community members' capacity to participate in CBT (Butler, 1980). Livelihood assets refer to the capital owned by a household and include financial, human, natural, physical, and social capital. "Financial capital refers to savings, credit and income; human capital refers to the education, skills, knowledge, and the ability household members to work; natural capital refers to natural resources owned by a household such as land, forests and fisheries; physical capital refers to a household's access to basic infrastructure, such as roads and schools, and tools and equipment; and social capital refers to the social resources of the household, such as membership in organizations and

‘connections’ to others in power” (Liu et al., 2012: 2). The differences between the capital of community members’ and the capital of external stakeholders define their relative power, in the same way the relative power within a community is defined by capital differences among community members.

In communities, local elites with powerful social connections consolidate power to disempower ordinary community residents or certain groups of citizens (Liu et al., 2012). Conflicts can arise between rich and poor, castes, or ethnic groups (West, Igoe, & Brockington, 2006). The power can be exercised by those who have one or a combination of legitimacy, economic resources, political power, knowledge or skills and access to information. Therefore, even if a community receives benefits, they are often enjoyed by a few local elites. In the absence of associational or community cohesion, interests of more powerful groups marginalizes less powerful parties (Spiteri & Nepal, 2006). These issues are at least partly due to oversimplified assumptions about local communities in the management approach.

Power struggles with external stakeholders

Similar to the internal power struggle, the external is created when outsider to the community stakeholders exercise their power (Reed, 1997). This is due to high vulnerability of the communities in terms

of knowledge, access to information, financial resources and basic needs that when not satisfied create inability in the community to control the situation and act accordingly. In natural areas of high biodiversity, it is common a situation in which natural resources that once provided income to local people now generate profits for outsiders and only negative impacts to local communities (Nepal, 1997).

The biggest critique of participatory approaches being the main choice of development institutions and academics is that it serves as a tool for socio-economic and political manipulation to the detriment of those for whom it was designed to empower in the first place (Taylor, 2001). Svoronou and Holden (2005) state that the major issue is that the communities often hold resentment towards “outsiders” such as NGOs for their approach.

Empowerment

According to Sofield (2003), empowerment is about a shift in balance between the powerful and the powerless, between the dominant and the dependent. In consequence of that shift, the individuals or groups can determine their own affairs (Cole, 2006), able to exert control over factors that affect their lives (Scheyvens, 1999). In the levels of participation described previously, empowerment is not only participation in decision-making but represents the last level where a

community becomes an active agents of change with the ability to find solutions to their problems, make decisions, implement actions and evaluate them. Participation is the first step, or a cause and an effect of empowerment (Perkins, Brown, & Taylor, 1996) that should be achieved gradually via all of the processes of achieving complete power, up to the top end of the ladder of participation. In terms of tourism, empowerment means that tourist destination communities, rather than governments or the business sector, hold the authority and resources to make decisions, take action and control tourism development (Timothy, 2007). In order to be able to exert that, however, power should be decentralized from the national level to the community level, possibly through involving grassroots organizations, local church groups, and indigenous institutions in decision-making processes and on representative bodies such as national parks boards or regional tourism associations (Scheyvens, 1999).

According to Friedmann's (1992) view of development, the empowerment has four dimensions: economic, psychological, social, and political (Ramos & Prideaux, 2014; Scheyvens, 1999, 2003, 2011). Scheyvens (1999) lists general characteristics and meaning of each of these dimensions (Table 1).

- 1) Economic empowerment, focus on access towards capital and resources.

- 2) Social empowerment, focus on control development towards any aspect of social life of the community.
- 3) Psychological empowerment comes from self-esteem and pride in cultural traditions (Cole, 2006).
- 4) Political empowerment, i.e. empowerment that is focus on main concern on local community rights and collective action.

Table 1. Scheyvens' (1999) empowerment

Type of empowerment	Signs of empowerment	Signs of disempowerment
Economic empowerment	Ecotourism brings lasting economic gains to a local community. Cash earned is shared between many households in the community. There are visible signs of improvements from the cash that is earned (e.g. improved water systems, houses made of more permanent materials).	Ecotourism merely results in small, spasmodic cash gains for a local community. Most profits go to local elites, outside operators, government agencies, etc. Only a few individuals or families gain direct financial benefits from ecotourism, while others cannot find a way to share in these economic benefits because they lack capital and/or appropriate skills.
Psychological empowerment	Self-esteem of many community members is enhanced because of outside recognition of the uniqueness and value of their culture, their natural resources and their traditional knowledge. Increasing confidence of community members leads them to seek out further education and training opportunities. Access to employment and cash leads to an increase in status for traditionally low-status sectors of society e.g. women, youths.	Many people have not shared in the benefits of ecotourism, yet they may face hardships because of reduced access to the resources of a protected area. They are thus confused, frustrated, disinterested or disillusioned with the initiative.
Social empowerment	Ecotourism maintains or enhances the local community's equilibrium. Community	Disharmony and social decay. Many in the community take on outside values and lose respect for traditional

	cohesion is improved as individuals and families work together to build a successful ecotourism venture. Some funds raised are used for community development purposes, e.g. to build schools or improve roads.	culture and for elders. Disadvantaged groups (e.g. women) bear the brunt of problems associated with the ecotourism initiative and fail to share equitably in its benefits. Rather than cooperating, individuals, families, ethnic or socio-economic groups compete with each other for the perceived benefits of ecotourism. Resentment and jealousy are commonplace.
Political empowerment	The community's political structure, which fairly represents the needs and interests of all community groups, provides a forum through which people can raise questions relating to the ecotourism venture and have their concerns dealt with. Agencies initiating or implementing the ecotourism venture seek out the opinions of community groups (including special interest groups of women, youths and other socially disadvantaged groups) and provide opportunities for them to be represented on decision-making bodies e.g. the Wildlife Park Board.	The community has an autocratic and/or self-interested leadership. Agencies initiating or implementing the ecotourism venture treat communities as passive beneficiaries, failing to involve them in decision-making. Thus the majority of community members feel they have little or no say over whether the ecotourism initiative operates or the way in which it operates.

According to World Bank (2002), empowerment has four main elements i.e.:

- 1) Access to information, because information is capital in dependence development. Community who has sufficient information will have better position in using the opportunity, easier to get service access, using their rights, also asking for responsibility of the stakeholders.

2) Inclusion/participation, chance to participate in tourism development, either in planning, implementation or result use are very important to local community. With those participation, all decisions can be based on local knowledge, local wisdom, as well as the priorities are match with local community aspirations, it will be ended to local community commitment in development process including tourism development.

3) Accountability. Accountability of all stakeholders are needed, including in developing the role, implementation, or any kind of resources usage including funds. Accountability must be done in order to get community trust, in the other side community are also educated to develop their accountability amongst them, with other parties vertically, horizontally and internal accountability (vertical, horizontal and internal accountability).

4) Local organizational capacity. Community empowerment process must be consisted of quality ability development, ability to work in a team, develop and strengthen local organization, as well as mobilization resources to anticipate any problems. Community will be able to speak out their need and aspiration in a group than individually.

Levels of participation

Much of the literature tends to advocate 'community participation' without good analysis of differing forms and levels of

participation (Agrawal & Gibson, 1999). Honey (1999) describes a typology of participation based of International Institute for Environment and Development. The scale of participation moves from “passive” to “self-mobilization/active” participation. The former means that local people are simply told what is going to happen or what has already happened, while the meaning of latter is to take initiatives independently of and sometimes in conflict with external institutions. Other models describing the levels of participation are based on the same two extremes and levels in between them.

Arnstein (1969) is probably one of the first scholars to define different levels of public participation. She noted that citizen participation has to be accompanied by power redistribution. In a strong sense, participation means intervention in the governing center of a collectivity (group, association, organization, local community or state) with the real possibility of finding a common ground of relative equality with other stakeholders to decide on the development objectives of the community. In the weak sense, participation is limited to taking part in planning and management activities but without any real possibility of influencing major decisions and outcomes.

The three levels of gradual evolution are called ‘non-participation’, ‘degrees of tokenism’ and ‘degrees of citizen power’. The ladder has a further eight rungs. The first rung is ‘manipulation’: power

holders utilize participation as a distorted means of public relations using community as a tool for their personal means. Second, 'therapy': local citizens' values and attitudes are adjusted to those of the larger society with power. Third, 'informing': the locals are informed of their rights, responsibilities and options (the first and most important step towards legitimate public involvement). Fourth, 'consultation': residents are encouraged to express their opinions (a legitimate step towards full participation). Fifth, 'placation': public influence gradually grows, but it is still largely tokenism. Sixth, 'partnership': negotiation is conducted between citizens and power holders, thereby redistributing, in practice, the power and responsibilities for planning and decision-making. Seventh, 'delegated power': the public achieves dominant power over the decision-making. Eighth, 'citizen control': citizens are awarded full control and power for policy and management. According to this conception, participation fluctuates between two extremes: people either possess the power to influence decisions or are just spectators of the process.

Bass et. al. (1995) based on work of Pretty (1995) also developed their own ladder of participation based on previous work of other authors:

1. Manipulative participation

Participation Local people have representation in official boards but do

not have power over decision-making processes.

2. Passive Participation

The information, may it be decisions or minutes of the meeting, is just relayed to the local people. Unilateral announcements are made, without consulting their opinion or responses while information is shared. The views and opinions of external professionals are more favored.

3. Participation by consultation

There is consultation among local people. External professionals such as NGOs, community organizers, LGUs, among others help define the problems and information gathering process. They act as consultants but have no share in making decisions.

4. Participation for material incentives

Local people actively participate by contributing resources (such as the food for work program, or work in return for other material incentives). However, they usually do not continue to work or prolong the use of such technologies when material incentives end.

5. Functional Participation

With the help of external professionals, local people form themselves into organized groups due to a common cause or as a means to achieve project goals. This is also done to reduce project costs and become involved in shared decision-making. At worst, local people may still only be co-opted to serve external goals.

6. Interactive Participation

The local people are involved in project analysis, development and formation of action plans, as well as organizational strengthening. Unlike functional participation, interactive participation encourages groups to make active decisions, control, and use over local resources and not just a means to achieve project goals. And as compared to participation for material incentives, the local people have a stake in maintaining structures and practices.

7. Self-mobilization

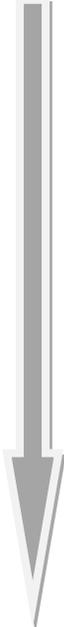
A type of participation that is encouraged in developing CBEE projects, self-mobilization allows local people to take initiative in developing contacts with external professionals/institutions for technical advices and resources needs. With the help of LGUs, CSOs, NGOs, and other likeminded individuals, self-mobilization can push through with enabling framework and support. In effect, it may or may not challenge existing distributions of wealth and power.

Since the original work of Arnstein (1969), various scholars have developed their own stages in the participation ladder, ranging from manipulation to full empowerment (e.g., Choguilla, 1996; Goetz and Gaventa, 2001; Lawrence, 2006; Pretty, 1995). It should be noted that the highest stage does not necessarily have to be reached to benefit the community, because governmental involvement can also lead to

meaningful partnerships that generate income and support for the community (Li, 2006; Murphy, 2003; Simpson, 2008).

Tosun (1999) also identified three types of community participation in tourism development. First, spontaneous participation is when host community voluntarily engages in tourism development based on their own ideas and motivations. Second, induced participation is where the community come up with the idea, often induced by local authorities, but the authorities are the ones to implement them. Finally, coercive participation refers to the situation where tourism is said to be developed to benefit residents, but in reality it is for the benefit of external stakeholders. The ideal type of host community participation in tourism is interactive and spontaneous participation. The former because local people are expected to be jointly involved in the analysis, plan formulation and strengthening of any local organizations, while the latter involves communities launching initiatives independently of other stakeholders (Pretty, 1995). “Whenever local communities independently start a tourism initiative, external institutions are only expected to provide resource and technical support while the local people retain control of the processes and how the resources are used” (Bello et al., 2016: 13). The different models and stages of participation are generally consistent among different authors, although each present different name for the same stages (Table 2).

Table 2. Normative typologies of community participation

Pretty's (1995) typology of community participation	Arnstein's (1971) typology of community participation	Tosun's (1999a) typology of community participation	Scheyven's (2002) empowerment framework
7. Self-mobilization	8. Citizen control	Degrees of Citizen Power	Economic, psychological, social and political empowerment  Disempowerment
6. Interactive participation	7. Delegated power		
5. Functional participation	6. Partnership	Degrees of	
4. Participation for material incentives	5. Placation	Citizen Tokenism	
3. Participation by consultation	4. Consultation		
2. Passive participation	3. Informing		
1. Manipulative participation	2. Therapy	Non-part.	
	1. Manipulation		

Adapted from Tosun (2006)

2.3. Sustainable Livelihoods and Asset-Based approach to Community Development

The SL approach (i.e., Carney, 1998; Ellis, 2000; Scoones, 1998), which emerged from early works of Sen (1984, 1985a) on capabilities as freedoms and early definitions of sustainable livelihoods by Chambers and Conway (1992), emphasizes the central place of a number of capitals or assets in local livelihood strategies (e.g., tourism) and related livelihood outcomes (i.e., income, well-being, environmental sustainability). The Asset-Based approach to Community Development (ABCD) emerged from community development work in the US as an alternative to the previous needs-based focus of community development practice. Both approaches, however, are based on the same seven assets: human, social, environmental, financial, physical, political, and cultural capitals (see Green & Haines, 2008).

The approaches point to the importance of a number of capital assets (i.e., human, social, natural, financial, physical, political, and cultural capital assets) that are central to supporting local development efforts. The accumulation and utilization of an indeterminate combination of the various capitals, provides communities with the capability, freedom, or capacity to develop (in this case tourism) successfully (i.e., Sen, 1984, 1985a). The capitals are interlinked, as

argued by Emery and Flora (2006), positive changes in one type of capital create positive changes in other types of capital (“spiraling up”) and alternatively, negative changes, or decrease/loss in one of the capitals can lead to negative changes in other capitals (“spiraling down”). In this vein, Stofferahn (2012) found in his study that a community’s substantial stock of cultural, social, and human capital mobilized political capital, that in turn mobilized the financial capital necessary for built and natural capitals. According to CCF theory, the factors that build or decrease different types of capitals will have an influence of factors that belong to other capital groups. Below there is a description of seven types of capitals that served as categories to nest the factors that facilitate and inhibit CBT in developing countries (Based on Bennett et al., 2012).

Human capital

In the framework, the components of human capital include the typical considerations of skills and education and knowledge and awareness but also stress the importance of ability and health and individual attributes. Skills and education includes indicators such as leadership capacity, administrative and financial skills, hospitality skills, and levels of basic education. Indicators that examine general levels of awareness of the tourism industry and knowledge of tourism

development are encompassed by the component knowledge and awareness. Indicators representing important individual attributes include various aspects of entrepreneurialism and presence of tourism role models.

Political and institutional capital

The presence of supportive policies and legislations, political leaders and organizations, governance processes, and formalized institutions are shown to be important components of the political and institutional capital that is required to develop tourism. Supportive policies and legislation include those that recognize ownership and/or access for tourism purposes, that support local economic development, that ensure tourism is managed in a sustainable manner, and that articulates culturally appropriate codes of conduct. The component political support recognizes that supportive leaders (both elected and traditional) and local and external governments are important for the success of tourism development. Across the study sites, participants stressed the importance of governance processes, such as political performance, accountability, inclusiveness and participation, control, equity, and communication and conflict resolution strategies. The presence and strength of formalized institutions, such as tourism planning organizations, structures for controlling financial resources, and

public sector bodies that support economic development, are also important components of political and institutional capital

Social capital

Social capital includes the components networks and partnerships, relationships of trust and reciprocity, and collective norms. Results stress the importance of networks and partnerships within communities and regions and development networks and between various communities and the private and public sectors. This requires coordination and active programs of outreach. However, it is noteworthy that active engagement of individuals from ENGOs and conservation agencies was not included as this was often shown to interfere with local development efforts, perhaps because of lack of experience with tourism or community development processes. This component may be the most tangible aspect of social capital. The level of support for tourism and a willingness to engage in the market economy as well as the presence of articulated visions and goals are indicators of collective norms. Both of the previous aspects of social capital are thought to rely on relationships of trust and reciprocity within communities and between communities and outside individuals and organizations

Physical and built capital

Capacity for engaging in tourism development also requires

physical and built capital, which refers to physical buildings and other community infrastructure. Physical infrastructure, such as roads, buildings, airports, docks, waste disposal and water treatment facilities, and trails and campsites, as well as businesses are required to supply goods, services, and experiences for tourism development.

Financial capital

The framework also teases out the various sources of financial capital (personal, community, and external) that are available for supporting tourism development and the various tourism-related projects that these can be used to support. For example, financial capital is required to support training and education, community economic development bodies and processes, infrastructure development, marketing and networking, and documentation and storage of cultural resources.

Natural capital

The final two capital assets, natural and cultural capital, form the basis of tourism products and experiences. Natural capital consists, in our analysis, of the natural resource stock and to the level of protection and preservation provided through locally (e.g., community-based protected areas, tribal parks) and/or externally driven (e.g., provincial parks, national parks) and recognized means. The component natural

resource stock is indicated by the attractiveness, uniqueness, and draw provided by the natural values in a protected area. The level of draw is also determined by the ‘brand’ recognition of the protected area or natural features (e.g., Mount Robson, Banff National Park, Nahanni National Park).

Cultural capital

Cultural capital includes the active use and presence of practices, traditions, and resources, including stories, languages, traditional activities, cultural artifacts, and sites as well as the level of access provided to artifacts and sites. Additionally, the strength of cultural capital requires ongoing learning and maintenance through cultural and language education and inter-generational sharing programs and active programs of research, documentation, and storage of cultural resources.

The most widely used framework build on the capital and asset approach to development is the Sustainable Livelihood Approach (SLA) that integrates five instead of seven capitals. The SLA approach does not include “political and institutional capital”, but instead it defines “Policies, Institutions and Processes (PIP)” as a separated from capitals aspect of their model. PIPs form the social and institutional context within which individuals and households construct and adapt their livelihoods and, as a result, can have a positive or negative impact on people. PIPs include

policies, laws, and institutions. In reality, however, it plays a very similar role to “political and institutional capital”.

The SLA framework itself has many useful applications. According to Farrington (2001), the SLA offers three principle dimensions: A) It is a set of principles guiding development interventions (whether community led or otherwise). The fundamental assumption here is that an intervention has to be evidence-based rather than instigated in top-down fashion without adequate knowledge of the community. SLA can thus be seen as a loose checklist of points that need to be considered before an intervention is planned; B) It can be used as a formal analytical framework to help understand what ‘is’ and what can be done. The framework helps aid an appreciation of the capitals which are available to households, their vulnerability and the involvement of institutions; and C) it can be used as an overall developmental objective. In this case development is seen as the improvement of livelihood sustainability, perhaps by making capital less vulnerable or by enhancing the contributions that some capitals can make or even by improving the institutional context.

2.4. Community based natural resource management

It is important to mention that community-based tourism initiatives and community-based natural resource management (CBNRM) initiatives share a great majority of aspects. A CBNRM project can be defined as a “project or activity where a community (one village or a group of villages) organize themselves in such a way that they derive benefits from the utilization of local natural resources and are actively involved in their use and conservation. Often (but not always), communities will receive exclusive rights and responsibilities from government” (Arntzen et al., 2003: 12). Many of the case studies of CBT are also CBNRM projects where tourism component is an alternative option for more sustainable use of natural resources. The resources themselves are key assets for success of nature-based tourism and ecotourism in areas of high biodiversity in and outside of protected areas (PA). Therefore, the studies of community participation in CBNRM are equally important for understanding of the topic of community participation.

Initially, CBNRM was focused mainly on wildlife and generation of economic benefits for local communities through employment (Swatuk, 2005). Nevertheless, later CBNRM expanded into other natural resources, conservation, improvement of livelihoods, sustainable use of

natural resources, environmental education and finally tourism (Sebele, 2010). The reasoning behind the need for CBNRM is that governments cannot successfully and efficiently protect natural resources outside protected areas. If communities are to receive economic benefits from conservation or sustainable use, they can develop a sense of ownership and are more inclined to participate and cooperate with other stakeholders in the area (Mbaiwa, 2007).

The research on CBNRM has led to conclusions about advantages of community-led management of local resources (Bernard, 1973; Matarrita-Cascante et al., 2010; Bridger et al., 2006). The authors argue that social community mechanism can facilitate adoption of collective values and attitudes and in result transform them into actions. Community-led designs, either policies or local actions, take into account characteristics and constraints of a particular location (Cole, 2006; Tosun & Timothy, 2003). There is also believe that local people have a good understanding of local resources and therefore they can manage them more sustainably (Nyaupane, Morais, & Dowler, 2006).

There are few key factors that make CBNRM successful and in result also nature-based tourism. Bridger et al. (2006) outlines these factors: economic diversity, self-reliance, reduction of the energy use, careful management and recycling of waste products, and protection and enhancement of biological diversity and careful management of

natural resources. Finally, sustainable communities should be committed to social justice providing resources needed for the community and their equal distribution.

The local economic diversity refers to the entrepreneurial efforts and small-business development and retention. Tourism can be a great addition to diversify local economy, usually based on small agriculture and animal farming. Self-reliance refers to development of local markets, production and the processing of goods (Matarrita-Cascante et al., 2010). While self-reliance related to agriculture and farming is straight forward and achievable with some external support, it is more difficult to achieve in tourism, requiring long-term capacity building. Along those lines, protection and enhancement of biological diversity is also a rather difficult objective to achieve without external support as communities use natural resources as their only means of subsistence.

Protected Areas

CBNRM has a special meaning in case of protected areas. It is believed that communities' acceptability of any project carried out in a PA has an important impact on a success of a PA (Jones et al., 2012). The favorable attitudes as well as favorable social and cultural factors of communities that live within the borders are needed for a successful management (Mascia, 2003). Nevertheless, conflicts between the local

community and biodiversity conservation in protected area management are common (Salafsky & Wollenberg 2000; 2006; Xu et al., 2009). West, Lgoe, and Brockington (2006) believe that it is because of top-down approaches by governments unable to work with local practices and interests. Protected Areas are still conceptualized as places that are not designed for human settlements (Shultis & Heffner, 2016). Conservation is a western concept that serves western management agendas that do not recognize Indigenous history, culture and agency as integral part of the landscape (Carter, 2010). Therefore, “in some conservation plans, strategies designed to protect biodiversity may conflict with the development aspirations of local communities” (Sakata & Prideaux, 2013: 880).

2.5. Ecotourism and Community-based tourism

Ecotourism

Many different definitions of ecotourism have been proposed during the last 20 years. In general terms, ecotourism is a form of nature-based tourism that contributes to both socioeconomic and environmental benefits. It has been developed under the umbrella of sustainable tourism and widely popularized after the famous Brundtland

Report was published in 1987 (WCED, 1987). Some scholars reject the name ecotourism and instead prefer to use nature-based tourism categorizing them into different variations according to their motivation (e.g. Arnegger, Woltering, & Hubert, 2010). However, the most common point of differentiation of ecotourism from others form of tourism such as nature, culture, farm, wildlife or adventure is the link with sustainable development principles (Björk, 2007; Honey, 2008).

As noted by Weaver (2005), very few places of high ecological importance and attraction to visitors are completely free from human influences. It seems logical to have socio-cultural component included in all definitions of nature-based or ecotourism. The definition of ecotourism proposed by The International Ecotourism Society (TIES) includes that component as one of the key characteristics of ecotourism. It is defined as "responsible travel to natural areas that conserves the environment, sustains the well-being of the local people, and involves interpretation and education" (TIES, 2015). Education is meant to be inclusive of both staff and guests. In similar fashion UNWTO's (2001) definition states that "ecotourism refers to forms of tourism which have the following characteristics:

- All nature-based forms of tourism in which the main motivation of the tourists is the observation and appreciation of nature as well as the traditional cultures prevailing in natural areas.

- It contains educational and interpretation features.
- It is generally, but not exclusively organised by specialised tour operators for small groups. Service provider partners at the destinations tend to be small, locally owned businesses.
- It minimizes negative impacts upon the natural and socio-cultural environment.
- It supports the maintenance of natural areas which are used as ecotourism attractions by:
 - a) Generating economic benefits for host communities, organisations and authorities managing natural areas with conservation purposes;
 - b) Providing alternative employment and income opportunities for local communities;
 - c) Increasing awareness towards the conservation of natural and cultural assets, both among locals and tourists.”

Honey (2008), UNWTO (2001) and new TIES (2015) definitions add to that another important component that is visitor learning about the nature and culture of the place through well-trained and highly skilled guides. However, in case of CBET (Butler & Menzies, 2007) propose that environmental awareness may be taught through what they call ecotourism ‘curriculum’ based on local knowledge and livelihood practices of local people. Finally, Fennell (2001) analyzed 85

definitions of ecotourism and found seven most frequently used elements including: nature based, conservation, reference to culture, benefits to locals, education, sustainability and impact.

Many scholars have recognized the potential of ecotourism and its benefits not only for the communities, but also for the environment. These benefits are often described as incentives for residents to protect the environment (Coria & Calfucura, 2012; Stronza & Gordillo, 2008) and they can provide much needed compensation to local communities who live in PAs and bear most of the costs as a result of resource use restrictions imposed (Bello et al., 2016).

The positive effect of ecotourism as a conservation tool show also very mixed results with many studies suggesting that these achievements may be limited (Butcher, 2007; Kontogeorgopoulos, 2005; Mbaiwa, 2005). The critics of ecotourism speak about ecotourism's failure to bring community-level benefits (Ashley & Roe, 1998; Kiss, 2004; Kruger 2005; Stone & Wall 2004; West, 2006) or about its negative social and environmental impacts (Nyaupane and Thapa, 2004). In other words, local people almost always pay the social and environmental costs by seldom receive equal benefits (West & Carrier, 2004).

The negative impacts of ecotourism reported by scholars vary. The most common ones are creation of class differences between people who have money because of tourism and those who do not (Nyaupane

& Thapa, 2004; Scheyvens, 1999), creation of a dependency on conservation for jobs and income (Rugendyke & Son, 2005), physical displacement of local communities (Salafsky, 2001; Weinberg, Bellows, & Ekster, 2002), dependency on tourism (Macleod, 2001), unequal benefit distribution (Bookbinder et al., 1998; Walpole, Goodwin, & Ward, 2001), employment for expatriates (Peters, 1998), commodification of local culture, crime, land use conflicts (Scheyvens, 1999; Weaver, 2001), unequal income (He et al., 2008), wildlife and ecosystem damage, increased garbage and sewage generation, pollution, soil erosion (Ballantyne & Pickering, 2012; Nyaupane & Thapa, 2004).

Based on the aforementioned definitions, ecotourism should include benefits for local communities but does not have to include the local people in management and ownership of the initiative. It has been previously said that communities still can benefit from tourism without controlling the activity. However, the link between economic benefits and conservation has been increasingly questioned (Kiss, 2004). There is growing recognition that the ability to reach conservation requires participation in ownership and management rather than economic incentives alone (Stronza & Gordillo, 2008). Kruger (2005) analyzed 251 ecotourism case studies and concluded that lack of community involvement was the second most common reason (27.9%) for 70 out of 251 initiatives to be unsustainable. Therefore, participation and

ownership seem to be crucial for those types of tourism that aim to conserve the environment, whether it is ecotourism or nature-based tourism.

Community-based (eco)tourism

A group of scholars prefer to make a step further into differentiation of an ecotourism that supports communities from ecotourism that is controlled and developed by communities (e.g. Honey, 2008; Reimer & Walter, 2013; Scheyvens, 1999). The latter is often called community-based ecotourism (CBET), but it relates directly to community-based tourism (CBT).

The beginnings of community-based tourism reach as far as 1980s when it was believed to be an alternative for rural people in the South (Weaver, 2010). Early definitions of CBT state that it is tourism where visitors interact with local landscape and people who live in a defined space for a tourism experience (Jamal & Getz, 1995), Later definitions put more emphasis on community engagement (Butler, Curran, & O’Gorman, 2013; Hall, 1996; Ellis & Sheridan, 2014), community management, ownership, and generation of direct financial benefits (Lucchetti & Font, 2013; Manyara, & Jones, 2007). Some definitions talk about conservation (Manyara, & Jones, 2007) and pro-poor strategies (SNV Asia Pro-Poor Sustainable Tourism Network, 2007).

In this vein, Goodwin and Santilli (2009) note that while the two most significant criteria used in the academic definitions are community ownership/management and community benefit, their own research based on responses of 116 experts concludes that the social capital and empowerment are the most frequently cited criteria (70%) followed by economic viability (40%).

CBET, just like ecotourism, promises human welfare as well as social, economic and cultural benefits to the host communities in the long-run. The positive results of participation in CBT are often cited in the literature. These include less logging and hunting, greater environmental awareness, and better focus on local culture were observed (Reimer & Walter, 2012; Salafsky et al., 2001; UNWTO, 2012; Walpole & Goodwin, 2001). Authors such as Eshun and Tonto (2014) state that CBT can help in the survival of culture in a way that the community learns about the attractiveness of their way of life to foreign people and willingness of the community to preserve it.

CBET initiatives in developing countries often become community development projects (Stronza & Gordillo, 2008), aimed at poverty alleviation or nature conservation through creation of alternative sources of income for communities highly dependent on natural resources. Walter (2011: 160) adds to that, defining four characteristics of CBET to include “(a) principles of local participation, control or

ownership of ecotourism initiatives; (b) a focus on environmental conservation and local livelihood benefits; (c) the promotion of customary and indigenous cultures; and to some extent, (d) the promotion of local and indigenous human rights and sovereignty over traditional territories and resources.” All CBT initiatives and definitions include benefits for the community, but not all mean full meaningful participation. In this respect, Mansuri and Rao (2004: 1-2) make an important distinction between ‘community-based and –driven’ initiatives: “Community-based development is an umbrella term for projects that actively include beneficiaries in their design and management, and community-driven development refers to community-based development projects in which communities have direct control over key project-decisions, including management of investment funds.

This definition of CBET is directly linked with empowerment or higher levels of “meaningful” participation previously discussed. In essence, the meaning of CBET is beyond simple capacity building for the community, moving towards the development of political knowledge, skills and activism (Reimer & Walter, 2013; Tosun, 2000). CBET can offer the chance to move toward greater political self-determination, but only if local control is maximized (Salazar, 2012). Indeed, local communities need empowerment to be able to decide about their priority projects, facilities to be build, activities to be offered and the way of benefit

sharing among participants (Stone & Stone, 2011). They should be able to design their development, mobilize the resources and act according to the needs of the community. However, the actual “empowerment of local people through CBT may depend on a number of conversion factors, including personal characteristics (e.g., personal histories, intellectual attributes) and socio-political and environmental features influencing individual or collective decisions to act” (Knight & Cottrell, 2016: 34).

CBT initiatives can take many different forms and shapes. As previously mentioned, depending on their level of participation they can range from community employment in outside owned businesses to full ownership/management of the tourism operation. The latter itself present many different scenarios (Choi & Sirakaya, 2006; Goodwin & Santilli, 2009; Manyara & Jones, 2007). In this respect, Dodds, Ali, & Galaski (2016: 3) defined three principle categories of CBT initiatives:

- (1) A project in which community members are employed using a rotation system and profits are allocated for community projects or dividends to residents.
- (2) A project that involves family or group initiatives within the communities, based on community assets.
- (3) A joint venture between a community or family and an outside business partner

Although some of the CBT initiatives have been generated without external support, the majority of CBT projects have been proposed and implemented with external technical and financial assistance (Gascón, 2013; Scheyvens, 2002; Wearing, McDonald, & Ponting, 2005). It is because tourism has been considered a great instrument for development cooperation and poverty reduction, especially in areas of high biological diversity, offering opportunities for conservation (WWF, 2001), as well as rural economic development (Buckley, 2009; Hall, 2005).

In reality many CBT projects failed, often due to the lack of financial viability. Goodwin (2006) carried out an assessment of CBT projects and concluded that only few of them generated enough benefits to conservation and local communities assisting in poverty reduction. Another reason for a failure of CBT initiatives supported by third parties is very poor business expertise in commercial tourism markets of the practitioners and their lack of connection with private sector to support the initiative (Ashley & Goodwin, 2007).

The successes reported in the literature are difficult to verify and whether they are really successes is questionable (Carter et al., 2015). Many of these initiatives have been financially and technically supported by NGOs and the communities have never managed to gain full control. For example, a case study in Thailand that managed to decrease hunting

and unsustainable use of natural resources did that through constant monitoring by an NGO and law enforcement agencies (Reimer & Walter, 2012; UNWTO, 2012). Many of these initiatives are not financially sustainable and require constant funds from supporting organizations. This has been confirmed by Goodwin and Santilli (2009) who evaluated 15 CBT initiatives and identified that nine were still dependent upon, or seeking, donor funding. In this respect, Sakata & Prideaux (2013: 883) carried out a literature review of characteristics of CBET initiatives that confirms many of the aforementioned issues:

“• Based on external proprietorship (Manyara & Jones, 2007; Mbaiwa, 2005; Stronza & Gordillo, 2008; Stronza & Pegas, 2008; Walpole & Goodwin, 2001; West, 2006).

- Insufficient training and educational opportunities for local communities (Mbaiwa, 2005; Salazar, 2012; West, 2006).
- Many CBET initiatives have been amenity-rich, requiring significant investment in infrastructure development which in many cases has led to high dependency (Epler Wood, 2008; Stronza & Gordillo, 2008).
- Successful projects occurred in areas where tourism had commenced prior to the establishment of projects (Kontogeorgopoulos, 2005; Matarrita-Castente et al., 2010; Mehta & Heinen, 2001; Stronza & Gordillo, 2008; Wearing et al., 2005). There has been limited success in creating new destinations.

- Where properties have been handed over by external agencies to local communities, many have failed due to the absence of adequate exit strategies (Manyara & Jones, 2007; Salazar, 2012).”

Additionally, the available literature lists some other factors that define failure or success of CBT initiatives such as marketing/market access (Denman, 2001; Forstner, 2004); lack of community access to financial resources (Calanog et al., 2012; Denman, 2001); low local capacity to manage and implement initiatives (Aref & Redzuan, 2009; Calanog et al., 2012; Manyara & Jones, 2007; Suansri, 2003); lack of or poor infrastructure (Nyaupane et al., 2006); low economic viability of the initiative (Goodwin & Santilli, 2009); increasing social inequality and social unrest; problems with local decision-making, lack of tourism business understanding and training (Gascón, 2013). Because these factors are the subject of this research, their characteristics are described more in detail in Appendix 1.

2.6. Studies of barriers and success factors in CBT

There are many studies on fundamental conditions that have to be met to ensure success of community based tourism in general and more specifically nature tourism. This section provides a general idea of the studies that identified constraints and/or success factors for

community based initiatives as well as some key conditions of CBT, CBET and ecotourism. The finding of those studies are discussed throughout the document in the literature review as well as the discussion chapter and definition of factors provided in Appendix 1. Table 3 (A, B, C) show general characteristics of previous researches on success factors and barriers for CBT as well as key finding of those studies. More details about these factors can be found in Appendix 2.

Table 3A. Synthesis of studies of barriers and success factors

Research aspect	Rozemeijer (2000)	Goodwin & Santilli (2009)	Dangi & Jamal (2016)
Type of publication	Report by an ODA agency (Dutch SNV)	Occasional research paper written for an ODA agency (German GTZ). Based on results of an academic research.	Original research article published in a peer reviewed journal
Focus subject	Community-based Tourism	Community-based Tourism	Community-based Tourism
Focus (global / regional / national / local)	Local – 3 particular case studies in Botswana	Global	Global
Objective of the study	Demonstrate experience of CBT project implementation by an ODA agency	Identify the success factors for CBT	Compare Sustainable Tourism with CBT
Research methodology	Unspecified – the author worked with CBT initiatives as an ODA consultant	Practitioners’ survey to identify CBT initiatives that they consider successful and factors for that success based on open questions (N-134). Then the same participants were asked to rate importance of factors (N-28). Factors were grouped in more general categories.	Secondary research. Review of all types of literature (including case studies). 178 journal articles and book chapters. Only most commonly-cited factors were stated
Types of factors identified	Preconditions for success	Success factors	Success factors
Key points made by the	Only factors provided based on authors’	Broad range of criteria identified. Only 34% of the	Issues of justice, equity and fairness in the

author	experiences. The factors were stated from a perspective of an CBT implementing external organization	manager respondents mentioned conservation or positive environmental impacts as a success factor. Donor dependency is common – 9 of the 15 CBT projects. CBT being different from a private sector initiative in the empowerment of the community. Very marked disparity between the views of the experts nominating successful CBT projects and those managing the projects.	distribution and use of tourism-related resources must be better addressed. The locals must participate in enabling good governance at the local level, facilitating environmental stewardship, social justice, well-being and sustainable livelihoods. Culturally-appropriate mechanisms for resident involvement in tourism development, planning and decision making are needed that enable local control and good governance.
---------------	--	---	---

Table 3B. Synthesis of studies of barriers and success factors

Research aspect	Asker et al. (2010)	Dodds, Ali, & Galaski (2016)	Murphy, Moscardo, & Blackman (2014)
Type of publication	Best practice manual for effective community-based tourism. Based on results of an academic research.	Original research article published in a peer reviewed journal	Original research article published as a conference paper
Focus subject	Community-based Tourism	Community-based Tourism	Community-based agri-tourism
Focus (global / regional / national / local)	Global	Global	Local - Can Tho region of the Mekong Delta
Objective of the study	Provide guidelines for CBT	(a) identify key elements necessary for CBT, (b) identify success criteria for the development of CBT, (c) outline key barriers that inhibit successful CBT	Review the barriers to sustainable tourism development faced by rural and developing regions

Research methodology	Unspecified	Academic and grey literature review	2 workshops, In-depth interviews with farmers and key community stakeholders, and site visits in the region to agritourism products at varying stages of development. A survey with a questionnaire carried out at the workshop.
Types of factors identified	Enabling conditions and barriers	Success factors and barriers	Success factors and barriers
Key points made by the author	There is no discussion. However, the guideline provides a number of “key messages” in forms of advices for successful CBT implementation	CBT is most prolific in developing economies such as Asia, Africa, and Latin America as it is a key tool in poverty alleviation. Financial viability is the overarching element that defines success. Communities must not be too dependent on external agencies. More emphasis must be placed on measurable benefits gained by community members from a triple bottom-line perspective. CBT initiatives must be developed according to the strengths of each community.	The main barriers to the sustainable development of agri-tourism were identified and were consistent with those identified in the literature but also included some specific to the local context.

Table 3C. Synthesis of studies of barriers and success factors

Research aspect	Tosun (2000)	Blackman et al. (2004)
Type of publication	Original research article published in a peer reviewed journal	Original research article published in a peer reviewed journal
Focus subject	Community Participation in Tourism	Peripheral tourism (includes ecotourism, community-based tourism, cultural/heritage tourism, farm tourism, national park tourism)
Focus (global / regional / national / local)	Global – only developing countries	Global

Objective of the study	Identify barriers for CBT	Analyze a sample of case studies seeking to identify factors related with success and failure of peripheral tourism
Research methodology	Literature review	Content analysis of a sample of 11 cases chosen by the authors as representing variety of conditions. Grounded theory approach used to find some connections among themes and to link them
Types of factors identified	Barriers	Success factors and barriers
Key points made by the author	<p>The limitations may be an extension of the prevailing social, political and economic structure in developing countries, which have prevented them from achieving a higher level of development. Eradication of barriers largely depends upon mitigating common problems of developing countries. There is no single blueprint and a set of fixed rules to operationalize participatory tourism development approach. Limitations for CBT depend on stage of development of the destination (Butler's TALC model), scale and type of visitors. Larger capital flows to local tourist destinations tend to threaten local control over local tourism development, rather than strengthening local people to participate. Moving towards a more participatory tourism development policy requires decentralization of public administration system including tourism planning. Community participation requires a change in attitudes and behavior of decision makers to deal with the excluded. Mobilization of local communities by external organizations is an essential condition when there is lack of confidence and fear in the community leaders and communities themselves. Participation is in part determined by cultural attributes of local communities</p>	<p>The most commonly mentioned theme was the identification and development of specialist attractions. Peripheral regions must attract new and different markets to those that already exist in the respective core destinations. Successful tourism development is associated with existence of good action plans. Of particular importance were the inclusion of transport infrastructure, a factor often linked to successful tourism development and consideration of the connections to existing travel distribution systems. Leadership emerged as a major theme in the majority of the cases.</p>

Chapter 3. Research Methodology

3.1. Definitions of concepts used in the research

There are many definitions of the concepts that are widely used in this document. The majority of the concepts were developed before the 1980s and went through many changes throughout the year. Even nowadays there is no agreement on the definition of ecotourism, community or CBT. Therefore, in order to keep coherence throughout the document, this work is based on definitions that are presented below.

Community

For the purposes of this study, community is understood as a framework for organization. A community is a delimited place where people live and meet their daily needs together trying to pursue their collective or individual agendas. To meet its needs, a community comprises a comprehensive network of associations and local organizations. Whether someone belongs to a community or not is usually defined based on location and in few cases based on culture and other usually internal criteria such as ethnicity or time of settlement within the physical borders of the community. This document is based on case studies from all over the world, this the definition must be general enough to include most of the cases.

Ecotourism

This document uses The International Ecotourism Society's (TIES) definition: "responsible travel to natural areas that conserves the environment, sustains the well-being of the local people, and involves interpretation and education" (TIES, 2015).

Factors (facilitators, barriers, inhibitors)

It refers to the positive factors that facilitate (facilitators) or negative factors that complicate or inhibit (barriers or inhibitors) community-based tourism initiatives. They are usually called just factors in the text, sometimes factors that facilitate CBT and barriers. An example of the factors is presented below (Table 4). The factors can take a shape of a cause of a problem, its effect (result), a condition. This variety is caused by the broad range of factors described in the literature that often describe phenomena at different levels (scales). While some factors can be considered somewhat general, others are very specific.

Table 4. An example of factors that facilitate and inhibit CBT

Inhibitors	Facilitators
V1.No or discontinued technical cooperation	V1.Technical cooperation
V2.Exclusion of basic training in tourism management or inappropriate capacity building	V2.Provision of capacity building
V3.No financial support	V3.Financial support
V4.No involvement of community stakeholders in the tourism planning stage	V4.Involvement of community stakeholders in the tourism planning stage

Community based tourism initiative

CBT initiative is a project or program, or a collective action of a group of people that belong to a community that decided to participate in, or develop together a small to medium scale local tourism industry. Tourism initiative can be initiated by the community or by a supporting organization such as government or an NGO. The main characteristics of a CBT initiative is that the initiative is managed by the community or community member/s alone or with support of other organizations and the community is the main beneficiary. In short, a CBT initiative is a collective action that advances the needs and concerns of local communities.

Community based tourism initiatives used as case studies in this document have the following major criteria that were defined based on work of Spenceley (2008: 288):

1. Located within a community (e.g. on communal land, or within community area of influence such as physical borders, land used by community for subsistence and economic activities)
2. Owned, managed or co-managed by one or more community members (i.e. for the benefit of one or more community members)
3. Be one initiative with central leadership structure (managing organization) that may include more sub-initiatives

This definition is very general and can include many different

arrangements, projects and initiatives, most of which are described below (based on Goodwin, 2009):

- Benefits going to individuals or households in the community
- Collective benefits - creation of assets which are used by the community as a whole, roads, schools, clinics, other infrastructure and facilities
- Community benefits where there is a distribution of benefit to all households in the community
- Conservation initiatives with community and collective benefits
- Joint ventures with community and/or collective benefits, including an anticipated transfer of management
- Community owned and managed enterprises
- Community enterprise within a broader co-operative
- Private sector development within a community owned reserve with community sub-projects / initiatives

The communities that developed tourism in a spontaneous way using private capital for particular gains are excluded, unless it is a process that originated from a collective initiative, but turned into private driven industry. The objective of the selection criteria was to include many different CBT arrangements to be able to analyze broad range of CBT case studies, but avoiding those that are not managed by a community and those that do not benefit the community directly.

Community based tourism in natural areas or community-based nature tourism

Although many of the authors of the cases analyzed in this documents call the objects of their study community based ecotourism initiatives and their characteristics are indeed corresponding with CBET principles, other authors prefer to call their cases nature-based tourism, responsible tourism, nature tourism or just ecotourism. Due to the fact that many case studies do not describe environmental benefits or the educational aspect of the visitor experience, it is impossible to classify them as ecotourism according to the TIES's (2015) definition. Because different authors use different definitions, for the purpose of this research all initiatives that are based in the natural setting (within a protected area or outside) and are developed with a strong community based initiative component (described above) are called community-based tourism (CBT) in natural areas or community based nature tourism initiatives.

Nature-based tourism

Nature-based tourism is a type of tourism that features 'nature' and 'natural areas' as its main setting. It is a broad term that includes a range of tourism experiences including adventure tourism, ecotourism, and aspects of cultural and rural tourism such as farm stay.

3.2. Identification of factors in case studies

This study uses a mix of qualitative and quantitative approaches using qualitative case study directed content analysis and quantitative methods in terms of descriptive statistics. The research is exploratory in nature responding to answer ‘what-type’ of questions. The main focus of the study is on theoretical aspects of community-based tourism in natural areas and practical factors that influence success or failure of a CBT initiative. To give a better picture, Figure 2 shows the methodological process employed in the research.

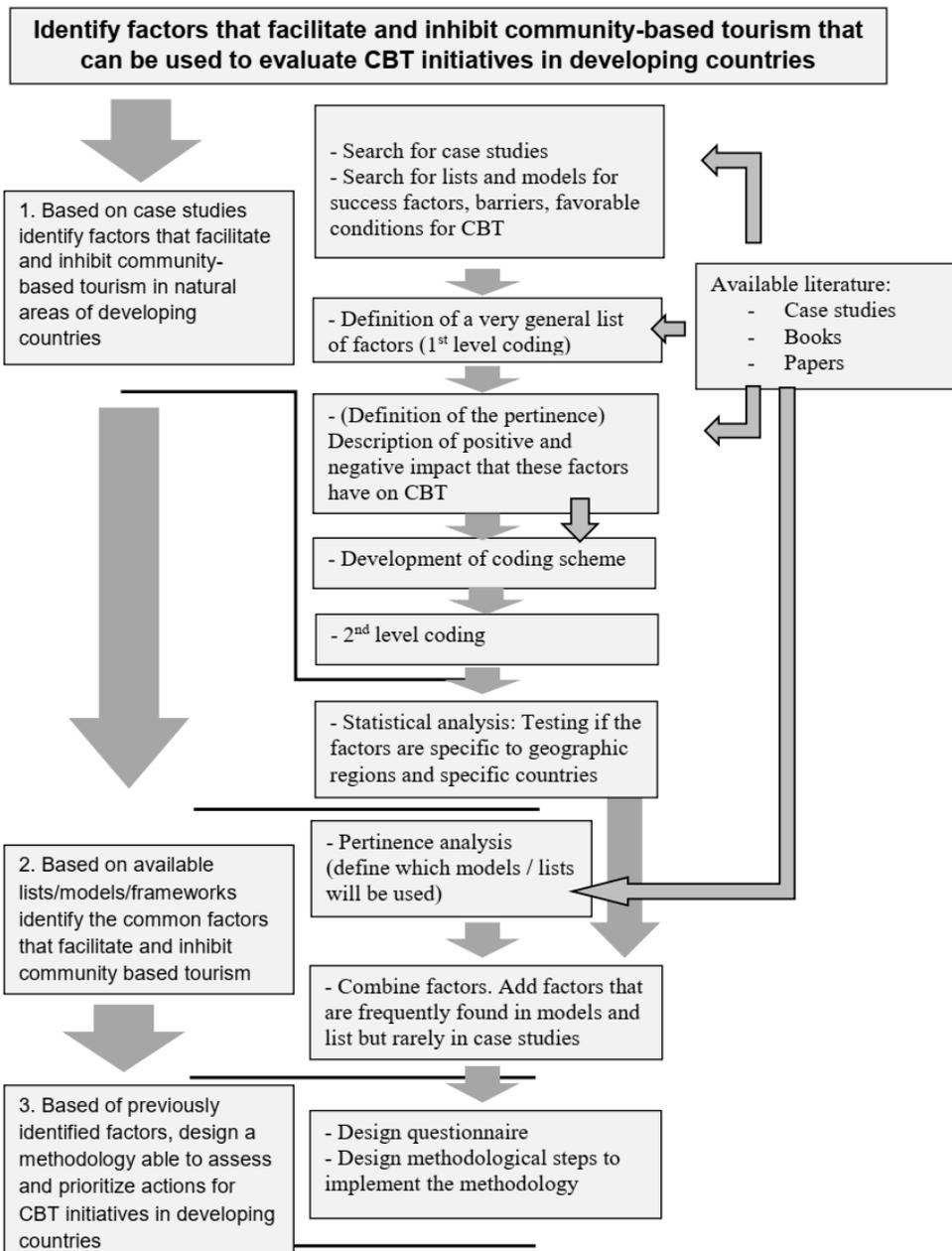


Figure 2. Flow chart representing the methodological process employed in the research

3.2.1. Design of the analytical framework

In order to determine the factors that facilitate and inhibit community-based tourism in natural areas of developing countries, a directed content analysis of case studies was carried out. Case study research consists of a detailed investigation, often with data collected over a period of time, of phenomena, within their context. The cases are written to provide an analysis of the context and processes which illuminate the theoretical issues being studied. Case study research is often described as a versatile form of qualitative research most suitable for a comprehensive, holistic, and in-depth investigation of a complex issue that contains many variables (Creswell, 2013). Primarily explanatory, case study is used to gain an understanding of the issue in real life settings and recommended to answer how and why or less frequently what research questions (Simons, 2009). However, it is also important to remember that case study can employ different methods of data collection both qualitative and quantitative (Patton & Appelbaum, 2003). These characteristics make case studies a good source of information about barriers and success factors of CBT initiatives.

The authors of the case studies are scholars and usually experts in the field with an extensive experience. Therefore, their judgment based on the results of their studies is considered to be an objective source of information. It has to be noted that the objective of this

research is to define factors based on specific case studies and not based on scholars' and professionals' perception of the subject in general. For this reason, the literature that describe the factors but do not deal with specific case studies were excluded from the research and only original researches were included.

For this research the cases studies were chosen using specific selection criteria:

- Be considered community-based initiative according to the definition provided in Chapter 3.1.
- Written as a case study that reports original observational or other data rather than reanalysis of already published data (no re-cited quotes, purely theoretical studies or opinion of the author even if based on personal knowledge and experience in the topic). The objective of this condition was to find the most reliable source of information based on primary data collection methods gathered by the author at a specific location. It was also to avoid partial or anagogical information about factors.
- Case published in recognized scientific literature such as peer reviewed journals, books published by well-known publishers, reports by international organizations, ODA agencies and NGOs, and Ph.D. theses. The review excludes bachelor and master's theses, and papers published in non-peer review journals. The objective was to gather data that is

reliable and that was collected according to certain standards required by peer reviewed journals or leading international organizations. Arguably, this provided assurance in terms of the quality of the analyses presented in the cases, but it did raise the issue of pre-existing academic biases towards certain positions about tourism development.

- Spatial context centered in nature-based tourism in developing countries. The reasons for choosing developing countries has been explained in Chapter 1.3.

- Ability to provide at least 5 factors. The threshold was established arbitrarily, but it was considered necessary to ensure a higher level of detail provided by the author and a higher level of unification with other case studies. The cases that provide very small amount of details were excluded. Although this solution might decrease the total number of cases in the study, the sample of 68 case studies that provide more detail was deemed sufficient to carry out a reliable analysis.

These kind of case studies that provide very little detail are usually present in technical manuals and reports by international organizations such as UN or NGOs and development agencies in a form of 'case study boxes' or 'lessons learnt' (e.g. Ashley, Roe & Goodwin, 2001; Bello, Carr, & Lovelock, 2016; Garrod, 2003; UNWTO, 2012). Another limitation of these sorts of case studies is missing methodology of data collection, and very general description of a factor that is more

difficult to code compared with detailed case studies.

There are limitations to this methodology. As noted by Gascón (2013), the assessment of each case is never neutral because it is influenced by the perceptions and ideological approaches of the researcher. This is not so important in case of success factors and benefits identified by the authors because it is not an objective of this study to quantify successful initiatives or to judge which initiative is successful and which is a failure. Whether an initiative is truly successful or it is just a snapshot of the peaking phase in a tourist destination's lifecycle has been questioned by Wheeler (2006). This study deals with both the positive and negative aspects of CBT therefore the positive or negative view of the author towards CBT does not influence the result of the study.

However, the area where the weakness of the approach becomes evident is the definition of the community and the level of benefits it receives. Since the majority of the cases are descriptive, the presence or absence of success or failure factor is entirely judged by the author of the case study and the result of his/her research. Therefore, for one author availability of jobs in tourism and community infrastructure is a great benefit to the community, while for other author it is not enough to be considered a full benefit. Due to the variety of methods and criteria used in different studies, the results are subjective to a certain

extend.

3.2.2. Data collection

The search for the cases was carried out using three methods. The first was the use of the academic electronic databases, including peer reviewed journals and books available online through Seoul National University search engine that integrates 406 databases such as Taylor & Francis Journals, Springer Link, Scopus, Science Direct, CABI, SAGE Journals, ProQuest, Oxford Journals, JSTOR, Wiley, Web of Science, and many more. The search was carried out using keywords and combination of keywords in “Article Title, Abstract, Keywords”. Printed versions of books and edited books, when not found online, were reviewed in the library. The following combination of key words were used:

Main keywords combinations:

- Tourism + community
- Ecotourism + community

Then keywords were added (one at the time) to each of the two combinations to narrow down the results and see if other results appear:

- Rural
- Remote
- Peripheral

Finally, specific keywords were added to further narrow the search and to see if different results appear.

- Participation
- Barriers
- Limits
- Conditions
- Factors

The choice for keywords was dedicated by the relationship of nature tourism or tourism in natural areas with rural tourism and ecotourism. In many cases the original authors made the decision to define their topic of research as ecotourism or nature-based tourism – both were classified as tourism in natural areas as stated in the definition chapter 3.1. As noted above the specific keywords included “remote tourism” and “peripheral tourism”. It was dedicated by the fact that these two keywords were often used to describe CBT in natural locations in many developing countries as well as by studies that analyzed success factors and barriers in developing and developed countries focusing only on remote or peripheral locations (e.g. Blackman et al., 2004; Moscardo, 2005; Murphy et al., 2014). Peripheral and remote tourism became alternative names for ecotourism and nature-based tourism but with a focus on geographic alienation from urban centers that creates additional challenges in management.

Finally, online searches of the World Wide Web were conducted using the search engine Google with the same keywords as in the previous stage. In both methods, the snowball technique was used to identify additional references for case studies. The references of each article and case study were screened, providing new material for analysis to a point that no new references were identified in all collected articles and books. In order to avoid double cases, location of each case together with other information was recorded in an Excel file and each time a new potential case study was found it was crossed checked first by the name of the author and also by the country of the case study. In other words, the researcher checked if the same location is already present in the Excel sheet. For all three case study selection methods a time limit was imposed of publications dated 1990 or later. This criterion was chosen arbitrary and used solely to limit the search to a manageable size.

These techniques generated more than 300 potential cases for analysis. Sixty-eight cases were selected that meet the selection criteria described previously. The excluded cases were usually either focused on CBT in developed countries or on private initiatives (usually accommodation providers and tour operators) that benefit the community but are not managed by any community stakeholder. In other words, they did not meet previously explained specific criteria set

for the study.

Cases included in the analysis include the following (Complete references of the cases can be found in Appendix 2):

1. Amati (2013); 2. Anand et al. (2012); 3. Avila Foucat (2002); 4. Belsky (1999); 5. Borges Lima & d'Hautesserre (2011); 6. Bruyere et al. (2009); 7. Charnley (2005); 8. Chili & Ngxongo (2017); 9. Clements et al. (2008); 10. Cobbinah et al. (2015); 11. Cole (2006); 12. Colvin (1994); 13. Gascón (2013); 14. Giampiccoli et al. (2014); 15. Grieves et al. (2014); 16. He et al. (2008); 17. Hernandez Cruz et al. (2005); 18. Hitchner et al. (2009); 19. Jamal & Stronza (2009); 20. Jitpakdee & Thapa, (2012); 21. Jones (2005); 22. Knight & Cottrell (2016); 23. Kontogeorgopoulos et al. (2014); 24. Lapeyre (2010); 25. Lenao (2015); 26. Lepp (2007); 27. Matarrita-Cascante et al. (2010); 28. Ramos & Prideaux (2014); 29,30. Mitchell & Eagles (2001); 31. Moswete et al. (2012); 32. Moswete et al. (2009); 33, 34, 35. Nelson (2004); 36. Nguangchaiyapoom et al. (2012); 37, 38. Nyaupane et al. (2006); 39. Ogutu (2002); 40. Okazaki (2008); 41. Paimin et al. (2014); 42. Pawson et al. (2017); 43. Prachvuthy (2006); 44. Reimer & Walter (2013); 45, 46, 47. Rozemeijer (2000); 48. Saufi et al. (2014); 49. Sebele (2010), and Stone & Stone, (2011); 50, 51. Somarriba-Chang & Gunnarsdotter (2012); 52. Ellis, (2011); 53. Southgate (2006); 54. Stronza (2010); 55. Sundjaya (2005); 56. Jamieson & Sunalai (2005); 57. Timothy & White (1999); 58. Wang et al. (2016); 59, 60, 61, 62. Wunder (1999); 63. Yeboah (2013); 64. Zanotti & Chernela (2008); 65, 66. Collins & Snel (2008); 67. Kim et al. (2014); 68. Isaac & Wuleka, (2012).

3.2.3. Case studies

In terms of the year of publication, the most recent case studies from the last seven years make up almost half of the cases (44.1%). Older cases from the 1990s make up only 10.3% of all cases indicating that the database is composed of relatively recent case studies (Table 5, Figure 3).

Table 5. Case studies analyzed in the research by year of publication (grouped)

Year of publication	Frequency	Percent
1990-1999	7	10.3
2000-2009	31	45.6
2010-2018	30	44.1
Total	68	100.0

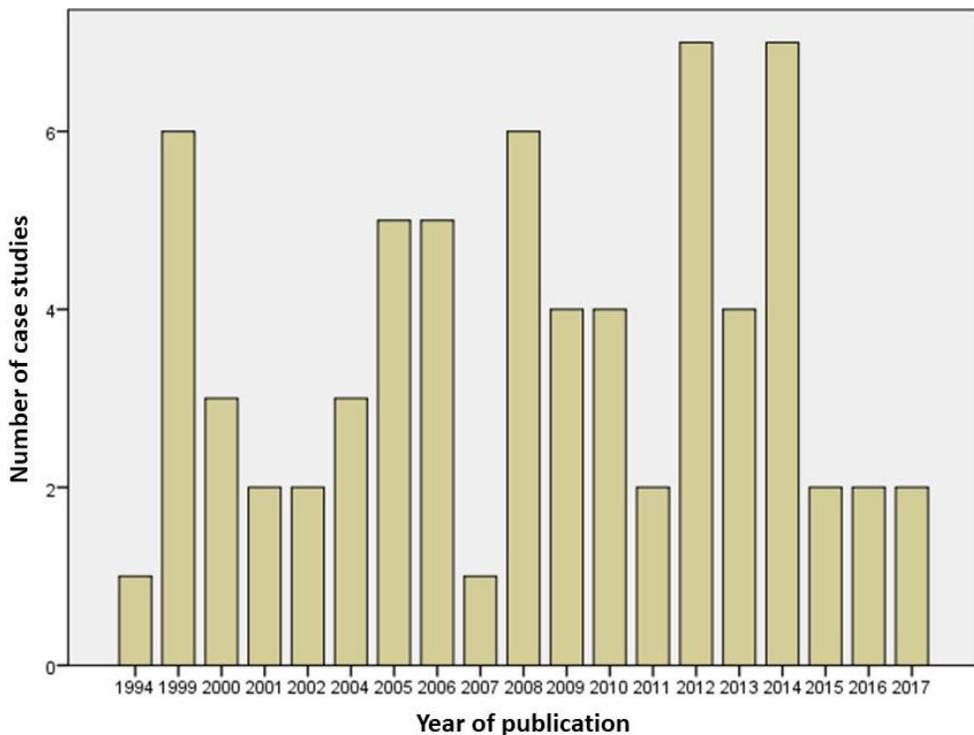


Figure 3. Case studies by year of publication

Over half of the case studies were found in high impact journals (SSCI by Reuters) of which Journal of Sustainable Tourism turned out to be the leading source of case studies (Table 6). Other respected SSCI journals on the lists are Tourism Management, Annals of Tourism Research, Environmental Management and Current Issues in Tourism. The diversity of journals in terms of focus topic shows high level of representability of case studies and wide range of disciplinary approaches.

In terms of the regions, all three were well represented and similar number of case studies were found (Table 7). It has to be noted that this was a coincidence, rather than a design of the author. In terms of countries represented in the case studies, twenty-seven different countries were identified. In terms of the frequencies, countries such as Botswana (n=7), Cambodia (n=5), Ecuador (n=5), Peru (n=5), Kenya (n=4), Mexico (n=4), South Africa (n=4), Tanzania (n=4) and Thailand (n=4) were the most represented.

Table 6. Literature sources of case studies

Type of publication: Journal	Number of publications
Journal of Sustainable Tourism	15
Tourism Management	5
Annals of Tourism Research	3
Journal of Ecotourism	3
Environmental Management	2
International Journal of Humanities and Social Sciences	2
Current Issues in Tourism	2
Web of Conferences	2
Tourism Geographies	2
Journal of Eastern African Studies	1
Mountain Research and Development	1
Ocean & Coastal Management	1
Rural Sociology	1
Anatolia – Int. Journal of Tourism Research	1
Human Organization	1
African Journal of Hospitality, Tourism and Leisure	1
Mediterranean Journal of Social Sciences	1
Social Thought and Research	1
Asia Pacific Journal of Tourism Research	1
Tourism Planning & Development	1
Development Southern Africa	1
International Journal of Sustainable Development & World Ecology	1
Land Degradation & Development	1
Journal of Greater Mekong Subregion Development Studies	1
International Journal of the Commons	1
Journal of Ecology and Natural Environment	1
Type of publication: Book	
Sustainable tourism in Southern Africa: Local communities and natural resources in transition (Channelview)	1
Innovative communities: people-centred approaches to environmental management in the Asia-Pacific region (United Nations University Press).	2

Responsible tourism: critical issues for conservation and development (Earthscan).	2
Type of publication: Report (by NGO or Int. Organization)	
Center for International Forestry Research	4
USAID & Wildlife Conservation Society, TRANSLINKS program	1
International Institute for Environment and Development	3
SNV/IUCN CBNRM Support Programme	3
Type of publication: PhD Thesis	
	1

Table 7. Case studies by regions

Region	Frequency	Percent
Latin America	22	32.4
Africa	25	36.8
Asia	21	30.9
Total	68	100.0

The methods employed in the case studies vary, although the qualitative research was the most common with 70.6% using interviews to gather information and focus groups (16.2%). The former is the most common method used in case study research all over the world. Nonetheless, an important proportion of case studies employed quantitative research methods through a survey either as a primary method or to supplement the interviews (Table 8). It is important to note that a significant number of studies (n=14) did not specify the methods used in the study. These were case studies found in books, manuals and reports from development organizations or NGOs that usually do not specify scientific methods they employed to gather information, which

does not mean they did not use any.

Table 8. Research methods employed in case studies

Frequency / %	Research method							
	Interview		Survey		Focus group		Observation	
	Fr.	%	Fr.	%	Fr.	%	Fr.	%
Absent	6	8.8	32	47.1	43	63.2	46	67.6
Present	48	70.6	22	32.4	11	16.2	9	13.2
Not specified	14	20.6	14	20.6	14	20.6	13	19.1

Fr. - Frequency

The majority of the authors (54.4%) of 68 case studies analyzed stated that the CBT initiatives were managed or organized by community-based organizations that were either already operating in the communities or were specifically created for CBT initiative (Table 9).

Table 9. Formation of organizations / cooperatives that give institutional power

Organization or cooperative	Frequency	Percent
Unspecified	31	45.6
Present	37	54.4
Total	68	100.0

In terms of the initiation of CBT in the communities the majority were initiated externally (48.5%) by or with direct coordination by either governmental or non-governmental organizations. Out of that 48.5% (n=33) of externally initiated initiatives, the authors of six case studies (18.2% out of 48.5%) specified that the external support was requested

by the community to initiate CBT. The CBT initiatives that were initiated by the community made up 13.2% (n=9) (Table 10). Without counting the “unknown” channels of initiation, the 78.6% of all project with identified channel of initiation were initiated with heavy external assistance, while 21.4% were initiated by communities. This is not surprising and it has been confirmed by many scholars (Gascón, 2013; Scheyvens, 2002; Wearing, McDonald, & Ponting, 2005).

Table 10. The way of CBT initiation

Way of initiation	Frequency	Percent
Unknown	26	38.2
Initiated externally	27	39.7
Initiated by community	9	13.2
External support requested	6	8.8
Total	68	100.0

3.2.4. Content analysis

Content analysis comprises techniques for (1) reducing the symbol-laden artifacts, in this case the texts, to a unit-by-variable matrix and (2) analyzing that matrix quantitatively in order to test hypotheses. Once a sample of texts is established in the form of case studies, the next step is to identify the basic, non-overlapping (mutually exclusive) units of analysis (called factors in this research). At this first level of coding, distinct concepts and categories in the data form the basic units

for the analysis. In other words, the data is broken down into first level concepts (factors) and assigned to defined categories. The objective is to compare across texts to see whether or not certain themes occur.

The content analysis method has been previously used in tourism studies to analyze interviews' results (e.g. Lepp, 2007; Matarrita-Cascante et al., 2010) as well as to analyze multiple case studies. The latter usage of directed content analysis in tourism was used by Whitford and Ruhanen (2016), who analyzed the content of 403 published articles looking to identify indigenous tourism as a research focus. A similar study was carried out by Lane and Kastenholz (2015), but their focus was on rural tourism.

Finally, few scholars carried out similar to this researches using content analysis of tourism case studies. Blackman et al. (2004) used content analysis of 11 case studies to define success factors and challenges for tourism development in peripheral regions. Dangi and Jamal (2016) used content analysis of 22 reference text (case studies and scholar's opinions) and identified success factors and barriers of community-based tourism in developing and developed countries. Moscardo (2011) and Moscardo (2005) conducted a review of 100 and 40 case studies respectively of tourism development in rural and peripheral regions to identify barriers to effective tourism development. Finally, Dodds et al. (2016) analyzed grey literature and case studies to

define 6 success factors of CBT (see more detailed description of these studies in chapter 2.5.2.).

This research uses directed content analysis approach, which is much easier and more reliable to carry out objectively because it is guided by a more structured process than in a conventional approach (Hickey & Kipping, 1996). The main strength of a directed approach to content analysis is that existing theory can be supported and extended (Hsieh & Shannon, 2005). Using existing theory or prior research, researchers begin by identifying key concepts or variables as initial coding categories (Potter & Levine-Donnerstein, 1999). These variables were identified through literature review from Chapter 2.5. The research was carried according to the 10-steps methodology by Mayring (2014), with two additional steps (7 and 8) added recently by Assarroudi et al. (2018) (Appendix 4).

In order to facilitate coding the factors were divided into two groups: external factors and internal factors. The former group is made up of factors that cannot be controlled directly by the community, referring to aspects dependent on external stakeholders such as the government, NGOs, educational institutions and the private sector. The latter group is made up of internal factors that can be controlled by the community or depend directly on community's conditions. More information of these two groups can be found in Chapter 4 and

Appendix 1. It has to be underlined that this research did not take into consideration factors that cannot be directly controlled by the community or external factors such as the availability of markets, remoteness of the tourism destination, available infrastructure or natural attractiveness of the area. These factors are considered pre-conditions necessary for success of any tourism endeavor and should be checked and analyzed during pre-feasibility phase required to make a decision about tourism development. This study considers factors necessary for success of a CBT initiative when those aforementioned minimal conditions have already been met.

The factors found in the literature take a shape of a cause of a problem, its effect (result), or a condition. This variety is caused by the broad range of factors described in the literature that often define phenomena at different levels (scales). Similar to a problem tree analysis, a core problem can have one or more underlining problems that cause it (immediate causes and secondary causes) (AusAID, 2003). Because the interaction between the lower levels of causes is complex and not easy to establish for general factors that apply to all case studies, all levels of problems / causes had to be included in the analysis. While some factors can be considered somewhat general, others are very specific, but often those specific factors cannot be just generalized. Too much of a generalization of the factors would blur many of them together and

produce undesirable results.

For each case study a database sheet was created with details about the case, methods used by the author, geographic region of the case and other related information (see an example below). The factors were extracted and organized according to the frequencies of their appearance in the analyzed case studies.

3.2.5. Validation and reliability

To validate the factor selected for the assessment tool correspond with the reality, a construct validity was tested using multiple sources of information from available literature. In this way a coding scheme (Appendix 5) was developed that is considered systematic and scientific and can objectively guide multiple coders (Folger, Hewes, & Poole, 1984). Its objective is narrow the degree of interpretation down. As stated by Potter and Levine-Donnerstein (1999: 266), “if the scheme is faithful to the theory in its orienting coders to the focal concepts, it is regarded as a valid coding scheme” and it achieves construct validity. The names of the factors and categories were extracted from the existing literature that describe the factors and in some cases explains how they facilitate and inhibit CBT. It was considered that further validation of factors and categories by external experts was not required.

The 2nd level categories chosen to nest the factors identified previously were directly based on work of Bennett et al. (2012) who identified 155 indicators for CBT based on in-depth studies of five CBT initiatives. Their proposed framework builds upon the seven capital assets (natural, physical and built, financial, political and institutional, social, cultural, and human) found in the Sustainable Livelihoods literature (Carney, 1998; Ellis, 2000; Scoones, 1998) and the Assets-Based Community Development (Green & Haines, 2008; Kretzmann & McKnight, 1993) literature. More information on the concepts and frameworks in Sustainable Livelihoods, Assets-Based Community Development and tourism indicators developed by the authors can be found in Chapter 2.3. The categories were integrated into the research as second level categories to nest the factors that facilitate or inhibit CBT. The relationship between sustainable livelihoods capitals and empowerment are direct and factors that facilitate and inhibit CBT can be presented as factors that build or inhibit building different types of capitals.

The limitations of the open coding method have been recognized. Although the textual citations are usually very easy to extract and code into the right categories, there is a factor of subjectivity present in this method in a form of a coder's interpretation of the meaning of the content. To increase the level of reliability of open

coding, data sheets were created to allow other researchers to go through the same process of analysis using the same data to reproduce the same results. Additionally, the usage of existing categories and indicators, developed by Bennett et al. (2012) and field-tested by a group of researchers, that almost perfectly align with factors identified in this research increases the level of validity of the study. An example can be found in Table 11, while the full list can be found in Appendix 6.

Table 11. CBT indicators according to livelihood approach capitals

Capital asset components	Indicators (or aspects requiring initial development and ongoing maintenance)
HUMAN CAPITAL: The skills and education, knowledge and awareness, physical ability and health, and individual attributes that support the development of tourism.	
Skills and education	<ul style="list-style-type: none"> -Community political leadership capacity -Economic development leadership capacity -Entrepreneurship capacity -Management skills and capacity -Guiding “hard” and “soft” skills -Service and hospitality skills -Coordination capacity (for tourism activities, events, and bookings) -Administrative and financial skills -“On the land” and traditional knowledge and skills -Cultural and natural interpretation skills -Levels of basic education (numeracy and literacy) -Conflict resolution skills -Critical mass of skilled and trained people to develop tourism industry -Level of youth involvement in training and capacity building for tourism
Knowledge and awareness	<ul style="list-style-type: none"> -Knowledge and awareness of tourism industry (i.e., potential, impacts, tourist expectations, products, needs, assets, strengths, challenges, opportunities, job requirements, and market research) -Knowledge of processes involved in tourism development and implementation -Access to post-secondary and tourism industry training -Levels of knowledge and awareness of local culture and history -Levels of recognition of value of local culture for tourism -Recognition of value of tourism business to community

Adapted from Bennet et al. (2012)

3.2.6. Data analysis

As a result of the previous step, a set of factors that facilitate and inhibit CBT in natural areas has been developed. The results will be coded in SPSS to allow for basic statistical analysis. In order to give more detailed information about the case studies, the general frequencies were calculated and visualized using SPSS software for statistics. The general information considered: year of publication, country and region of the case study, methodology employed, presence or absence of a community organization in charge of an initiative and information whether an initiative was initiated externally or internally by the community.

In the same way, the factors appearance in case studies was presented through frequencies. In total 151 factors were found in 68 case studies. In order to decrease the number of factors to a more manageable number a threshold was set to the frequency of three. The reason for the threshold of at least three factors was the result of a comparison analysis between the frequencies of factors found in case studies and frequency of factors found in lists/models/frameworks in the literature. The results showed that if threshold for low-frequency factors was set to three, only one factor from models/lists/frameworks was missing. However, if that threshold was increased to four, then four factors would have to be removed from the final list. This was

considered unacceptable. Therefore, the threshold frequency of over was chosen as most appropriate. In that way, factors that appeared in less than three different case studies (n=39) were removed leaving 112 factors that facilitate and inhibit CBT.

Due to the amount of factors identified, it is difficult to establish the relative importance of each of them. This study assumes that the factors with higher frequency will be the more important factors that appear in case studies and are underline by the authors of the studies. According to Moscardo (2005), who used similar methodology to define factors for success and failure of tourism initiatives in peripheral regions, the relative frequency of occurrence of the themes does provide some information on the potential importance of the themes. First of all, because they were present and their importance was noticed by the authors of the case studies. Secondly, because they were present in many cases, which indicates their commonality. However, this line of thought has a very important limitation. The absence of many factors in case studies does not necessarily mean that they were not present. They could be easily overlooked by the authors of the case studies who either failed to recognize them or failed to recognize their importance and mention them in their case study.

The facilitating factors and inhibitors that directly respond to those facilitating factors were treated as equal for the analysis. Whether

an author of a case stated that “a lack of land ownership” had a negative effect on a CBT initiative or “high level of land ownership” had a positive effect on CBT these both were treated as equal, indicating that land ownership has an effect on a success of CBT. A sentence indicating lack of something also points that the satisfaction of this condition of “lack” will bring positive effect and it is desired. This approach has been applied in a manual on CBT that also included a list of enabling factors and barriers by Asker et al. (2010).

3.3. Identification of factors in lists / models / frameworks

The main objective of this stage was to first identify the factors proposed by various scholars in their research and then compare them with factors previously defined through case studies in order to create a complete list of factors derived from these two main sources of data on the topic. An additional advantage of this exercise is identification of strengths and weaknesses of each model and a recommendation to improve them by adding missing factors that have been identified in content analysis of case studies.

In order to identify the factors, eight lists/models/frameworks

were analyzed using the same directed content analysis methodology and coding schemes as in the previous stage of the study. The lists/models/frameworks used in this stage are the same models presented in chapter 2.5. Due to the low quantity of models found in the literature (n=8), all eight were used.

In order to visualize the similarities and differences of two sample groups the relative importance of factors was defined through frequencies and presented in a table. Using the frequencies of factors found in case studies a list of factors was built where factors with highest frequencies were assigned higher position in the list. The same was done with frequencies of factors present in the lists/models/frameworks by various scholars. The references of the lists made by researchers used in this comparison are the following: Asker et al., 2010; Blackman et al., 2004; Dangi & Jamal, 2016; Dodds, Ali, & Galaski, 2016; Goodwin & Santilli, 2009; Murphy, Moscardo, & Blackman, 2014; Rozemeijer, 2000; Tosun, 2000. Table 12 shows an example of the coding methodology.

Table 12. Example of coding used for lists/models/frameworks from the literature

Factors present in case studies		Factors present in various models	
Inhibitors	Facilitators	Inhibitors	Facilitators
No cooperation with private tourism enterprises in the area and other related stakeholders	Cooperation with private tourism enterprises in the area and other related stakeholders	Strategic and well-designed partnerships with the private sector, while slowly transferring responsibilities to community members to operate tourism	Good working relationship and co-ordination with private and public sectors; partnerships with regional tourism organizations and local businesses.
	Effective individual leadership		Leadership – the presence of “champions”, who motivated and influenced direction
No noticeable improvement of quality of life in the community (health, education, economy)	Noticeable improvement of quality of life in the community (health, education, economy)	Substantial benefits have to be generated (for all residents) to keep the spirit of volunteerism high.	
		Rozemeijer (2000)	Blackman et al. (2004)

3.4. Specific conditions for presence of factors

A CBT evaluation methodology is a tool capable of evaluating the main aspects of CBT in developing countries that accounts for specific conditions (e.g. stage of development, remoteness, available infrastructure, etc.). These conditions are the main pre-conditions for any tourism initiative to operate profitably. In order to identify these conditions, statistical analysis of relationships among hypothetical variables identified in the literature affecting CBT development and

success were tested.

Location (region / country)

In order to find out if any factor is specific for one of the three regions (Asia, Africa, Latin America), a chi-square test was run for goodness of fit of all factors within the three regional groups. The null hypothesis set was that there is no significant difference in the distribution of the variables among three regions and the cases are equally distributed.

The factors that were distributed significantly different were taken and a simple frequencies of factors in relation with the region of the case study were analyzed. This is important in order to design and customize the assessment tool that is applicable in different geographic regions. The factors that turn out to be region specific were not included in the final set of criteria. Those factors that showed statistical distribution significantly different were identified to appear only in one specific region (either Latin America, Africa, or Asia) were considered region specific.

Conditions for region specific factors:

- The statistical distribution is significantly different from equal distribution (Chi-Square)
- The factor does not appear in more than one specific region

The weakness of this approach is that there is a possibility that the factors are not specific to regions, but they are specific to countries. In order to find out, the factors that appeared only in one region were investigated for evidence of their appearance in only one specific country in that region. If none of the factors appeared in just one country, they were considered non-specific, but only for the countries encompassed by the research (n=27). It should be noted that in the research the minimum frequency of factors identified through case study analysis is three, thus there is no possibility that a factor was considered country specific because its frequency was one or two.

Once again, there is a weakness of this approach in terms of the number of countries represented in the research. Therefore, it should be acknowledged that there is a probability that there are factors that are specific to countries that were not part of this research and thus they are absent in this study.

Chapter 4. Results

4.1. Facilitators and inhibitors in case studies

Based on the content analysis of 68 case studies a list of factors that facilitate and inhibit CBT was created. A total of 151 factors were found (Table 17). In order to decrease the number of factors and present only those that are the most pertinent (found in at least few case studies), a condition had to be set. Therefore, factors that appeared in less than three different case studies (n=39) were removed and shown according to their frequencies of appearance (Tables 18 and 19) leaving 112 factors.

All factors in the Table 17 have been nested in Sustainable Livelihood approach that recognize seven capitals (natural, physical and built, financial, political and institutional, social, cultural, and human) that are central to supporting local development efforts. The accumulation and utilization of an indeterminate combination of the various capitals, provides communities with the capability, freedom, or capacity to develop (in this case tourism) successfully (i.e., Sen, 1984, 1985a). Short definitions of each capital are the following (Based on Bennett et al., 2012):

- Social capital The formal and informal social resources, including

networks, partnerships, and memberships, relationships of trust and reciprocity, and collective norms, that support the development of tourism.

- Human capital The skills and education, knowledge and awareness, physical ability and health, and individual attributes that support the development of tourism.
- Physical and built capital The physical buildings and infrastructure that enables communities to engage in tourism development.
- Financial capital The financial resources that are available to individuals and communities and that provide them with the opportunity to develop tourism.
- Cultural capital The practices, traditions, and resources that are central to a people's identity and the means and processes to maintain these.
- Political capital The policies and legislations, political supports, governance processes, and formalized institutions that facilitate the transformation of the other capital assets into tourism developments.

Complete definitions of each capital can be found in Chapter 2.3.

Table 13. Internal and external factors found in each case study

HUMAN CAPITAL		
Skills and education	Internal (community)	
	Lack of skills and expertise in areas required for operation of tourism (2, 5, 7, 8, 9, 10, 11, 13, 14, 15, 16, 25, 28, 34, 35, 36, 38, 39, 40, 41, 42, 43, 45, 46, 47, 48, 49, 52, 55, 56, 58, 63, 65, 67) - Difficulties in decision-making (9, 13, 65) - No management skills (13, 19, 42, 46, 49, 55) - Limited capacity for financial management (34) - Poor negotiation skills (39) - Poor marketing skills (13, 49, 55)	Skills and expertise in areas required for tourism (9, 18, 19, 54, 62, 66) - Management skills (66) - Technical capacity to execute tourism development and management plans (33) - Capacity to resolve conflicts (47)
Knowledge and awareness	No clarity about tourism, its costs and benefits and ways in which communities could participate (1, 8, 16, 28, , 32, 35, 40, 49, 58)	Clarity about tourism and its costs and benefits (2)
		Awareness of the importance of current tourism resources (3, 9, 15, 20, 21, 23, 28, 31, 47, 55) Experience in dealing with foreign visitors (19)
POLITICAL AND INSTITUTIONAL CAPITAL		
Policies and legislation	External (Government, ODA, NGO, etc.)	
	Poor or inadequate government policies (33, 34, 39, 48) - Overlapping legal land use rights (33, 34) Illegality of settlement inside a protected area (60) Excessive formality and bureaucracy in the processes of community involvement (7, 8, 11) Conflict between traditional resource use practices with conservation objectives of a protected area (5, 6, 7, 9, 16, 31, 39, 43, 44, 49, 51, 65)	Adequate government policies (32) Legal exclusivity given by the government to carry out certain tourism activities (29, 61) Legal sustainable use of natural resources provided by the area (2, 5, 32, 65)
Political support	External (Government, ODA, NGO, etc.)	
	No political commitment to support community-based tourism (4, 7, 28, 57, 66) No recognition of the importance of community participation (GOV - 10, 30, 48, 57); (PRIV - 35, 48) Unwillingness to work with the community due to their low education and limited capacity to work in tourism (8, 11)	Political commitment to support community employment in tourism (47) Recognition of the importance of community participation (29, 31, 47, 56, 65)

	Primacy of private interests over local interests (4, 7, 8, 16, 53)	
	No recognition of benefits of tourism / negative attitude towards tourism (28, 30)	
	No government interest in remote regions (11, 51, 57)	
	Primacy of external interests over local interests (33, 34, 38, 48)	
	Internal (community)	
	No tourism leadership from within the community (8, 24, 34, 58)	Effective individual leadership (19, 23, 29, 30, 55, 56, 62, 66)
Governance processes	External (Government, ODA, NGO, etc.)	
	No involvement of community stakeholders in the tourism planning stage (1, 7, 8, 14, 16, 38, 50, 67)	Involvement of community stakeholders in the tourism planning stage (9, 25, 32, 40, 63, 64, 68)
	- No involvement of traditional, local and national authorities in the planning process (46)	- Involvement of traditional, local and national authorities in the planning process (2)
	Unhealthy and/or vertical relationship with assistance providing institutions (10, 11, 38, 46, 58, 63, 67)	Healthy and on an equal footing relationship and coordination with assistance providing institutions (2, 43, 47, 65)
	Exclusion of the community from management (6, 7, 8, 10, 16, 31, 38, 50, 67)	Co-management (9, 19, 65, 66)
	No clear objectives for tourism development / contradictory objectives are provided (GOV – 65); (NGO/ODA - 58)	
	Lack of regulation enforcement (4, 20, 48, 59, 60, 61, 62, 63)	
	Conflict between tourism and other external economic activities in the area (18, 33)	
	Internal (community)	
	Decisions are dependent upon the proposals of external agents (5, 7, 8, 11, 13, 22, 24, 38, 46, 50)	Independence in the decision making process (2, 3, 9, 12, 15, 17, 21, 23, 26, 28, 29, 32, 37, 42, 47, 51, 54, 64, 65, 66)
	Decisions are made by community elites (1, 4, 13, 20, 21, 22, 28, 30, 32, 39, 40, 41, 42, 49, 53, 58)	Participative decision making (5, 12, 15, 26, 27, 29, 45, 47, 54, 63, 66, 68)
	- Community governance structure disadvantages one or more groups (4, 13, 21, 22, 28, 30, 32, 39, 40, 42, 49, 53, 58)	
	No or poor community control over land and resources (7, 20, 31, 34, 48, 49)	Community control over land and resources (2, 3, 5, 9, 19, 26, 27, 28, 29, 33, 35, 37, 40, 45, 47, 53, 54, 57, 64, 65, 66)
	- 21.4.1.Selling land to outsiders (20, 35, 48, 53)	
	No or poor control over tourism activities in the area (7, 8, 13, 20, 22, 28, 30, 31, 35, 38, 48, 49, 50, 52, 59)	High level of control over tourism activities in the area (2, 5, 18, 19, 27, 29, 37, 54, 62 – lack of control but it's locals' preference, 64)
	No mechanism for distribution of profit (4, 13, 17, 18, 49, 55, 58)	Mechanism for distribution of profit (3, 5, 9, 12, 19, 23, 24, 29, 32, 36, 38, 44, 47, 54, 56, 57, 62, 66)

	Conflict between tourism and other internal economic activities in the area (9, 59)	Tourism is not the only economic activity in the community, it complements other activities and it is not in conflict with them (2, 3, 4, 17, 27, 33, 34, 43, 44, 47, 50, 51, 55, 57, 60, 61)
	Conflict within the community over land and/or resources (1, 40, 53, 58)	
Formal Institutions	External (Government, ODA, NGO, etc.)	
	Exclusion of basic training in tourism management or inappropriate capacity building (GOV - 7, 11, 14, 16, 20, 35, 48, 65); (NGO - 35, 42, 50)	Provision of capacity building (GOV - 5, 10, 18, 20, 23, 28, 36, 39, 56, 57, 68); (NGO - 2, 4, 5, 9, 12, 13, 18, 19, 20, 24, 33, 34, 39, 40, 43, 44, 45, 46, 51, 52, 54, 55, 56, 57, 58, 61, 65, 66, 68); (PRIV - 66)
	No or poor support for promotion (GOV - 10, 31, 51, 57); (NGO - 24)	Support for promotion (GOV - 5, 23, 52, 68); (NGO/ODA, tourism expert - 24, 55)
	No or discontinued technical cooperation (GOV - 31, 40); (NGO/ODA, tourism expert - 13, 28)	Technical cooperation (GOV - 3, 7, 15, 18, 19, 21, 23, 25, 27, 33, 34, 36, 43, 45, 47, 52, 53, 54, 56, 58, 65, 68); (NGO/ODA, university) - 1, 2, 3, 4, 5, 7, 9, 10, 11, 12, 13, 15, 17, 18, 19, 20, 21, 22, 23, 24, 25, 32, 33, 34, 36, 37, 39, 40, 42, 43, 44, 45, 46, 47, 49, 50, 51, 52, 53, 54, 55, 56, 57, 58, 61, 63, 64, 65, 66, 68)
	No personnel specifically trained to work with the community (6, 14, 25, 28)	
	Low level of expertise among the personnel (GOV - 28, 48, 66); (NGO/ODA, expert - 14, 46, 58)	
	Overlapping jurisdiction of different agencies (10, 33, 34)	
	No dedicated authority to coordinate and manage tourism (28)	
	Internal (community)	
	Absence of a management structure (46)	Presence of management structure (3, 9, 17, 24, 36, 42, 43, 44, 45, 55, 56, 65)
	No or limited marketing efforts (10, 19, 24, 45, 46, 52, 56, 65)	Marketing efforts (43, 44, 57)
	Inconsistent (fragmented) community organization or lack of organization (4, 24, 52, 58)	Clear definition of the community (15, 45, 46, 54)
SOCIAL CAPITAL		
Networks and partnerships	External (Government, ODA, NGO, etc.)	
	The roles and responsibilities of the community and partners are not clearly defined (8)	The roles and responsibilities of the community and partners are clearly defined (19, 54) - Shared responsibility for the implementation of the initiative was assumed by the community and non-community partners (19, 54)
	No regular or formalized efforts to communicate with the community (6, 8, 11, 25, 48)	Creation of a forum/network to facilitate mutual understanding and cooperation among stakeholders (GOV - 18); (NGO/ODA, university - 2, 55, 66) Fostering relationships between local and

		national/international experiences (GOV - 3, 18, 24, 39) (NGO - 44)
	Internal (community)	
	No cooperation with private tourism enterprises in the area and other related stakeholders (15, 28, 40, 48, 52)	Cooperation with private tourism enterprises in the area and other related stakeholders (3, 9, 19, 32, 36, 47, 54, 62)
	No access to the national and international networks through tour operators and marketing channels (15, 24, 28, 30)	Access to the national and international networks through tour operators and marketing channels (5, 7, 9, 19, 33, 43, 45, 46, 55, 62)
	No alliances and cooperation with other communities to support each other and share experiences (35)	Alliances and cooperation with other communities to support each other and share experiences (2, 3, 12, 15, 17, 49, 57)
Relationships of trust and reciprocity	External (Government, ODA, NGO, etc.)	
	Presence of external actors with interests that might not align with the interests of the community (25, 30, 34, 35, 38, 40, 55, 58, 59, 60, 61, 62)	Absence of external actors with interests that might not align with the interests of the community (2, 19, 29, 64)
	No or poor dissemination of information about planned tourism development and related opportunities (8, 15, 16, 31, 41, 48, 63)	
	Unequal partnership between NGO and community leading to tension (19)	
	Insufficient community consultation (NGO - 32, 58)	
	Corruption of government officials (4, 16, 53)	
	Internal (community)	
	Poor or no internal communication between community representatives and the members (1, 8, 40, 49, 58)	Good internal communication between community representatives and the members (27, 56)
	No trust in the leadership (1, 14, 21, 53, 58, 63)	Trust in the leadership (3, 42)
	Alcohol abuse causing issues in the community (24, 45, 46)	
	Mismanagement of funds / corruption (1, 13, 53)	
	Community members who obtained professional training leave for better paid opportunities (11, 25)	
Collective norms	No unity of the community and/or understanding of the importance of collective actions over individual (4, 13, 14, 22, 28, 29, 30, 39, 52, 53, 57, 58)	Unity of the community and/or understanding of the importance of collective actions over individual (3, 5, 11, 12, 15, 17, 19, 21, 27, 29, 42, 54, 56)
	No communal sense of ownership of the initiative (appropriation and wide participation) (4, 9, 40, 49)	Communal sense of ownership of the initiative (5, 10, 19, 54, 56)
	Low level of participation in community organizations (4, 14, 20, 25, 30)	High level of participation in community organizations (29)
	Doubts in its own ability to participate and manage tourism (10, 11, 38, 42, 52, 67)	Self-confidence in its own ability to participate and manage tourism (22, 47)

		Strict community norms and rules that are enforced (2, 15, 21, 29, 54, 55)
	High cultural/ethnic division within the community (45, 46, 47, 52, 53)	
	Cultural and/or religious beliefs (46, 63)	
	Reliance on the external actors to start and lead the initiative (48, 52, 67)	
	Apathy and lack of interest (10, 48, 58)	

NATURAL CAPITAL

Protection and preservation	No awareness of the importance of nature conservation in the area (4, 34)	Awareness of the importance of nature conservation in the area (1, 2, 3, 9, 10, 12, 15, 20, 21, 23, 26, 27, 28, 33, 40, 44, 45, 49, 50, 51, 54, 55, 56, 57, 64, 65)
-----------------------------	---	---

CULTURAL CAPITAL

Practices, traditions, and resources		Supply of activities based on traditions and local customs that attract tourists and strengthen the role of the community (2, 7, 9, 12, 19, 20, 21, 22, 23, 26, 29, 32, 36, 44, 45, 46, 47, 55, 57, 62, 64, 68)
--------------------------------------	--	---

FINANCIAL CAPITAL

External financial resources	No financial support (10, 17, 41, 48, 67)	Financial support (GOV - 2, 5, 12, 15, 17, 18, 21, 23, 36, 47, 52, 53, 55, 58); (NGO/ODA - 2, 15, 17, 18, 19, 24, 36, 42, 43, 44, 46, 49, 51, 53, 54, 55, 65, 66)
	High dependency on external funding (25, 42, 44, 46, 49, 52)	Low dependency of external funding
Community financial resources	Lack of financial resources (8, 9, 10, 15, 16, 19, 38, 41, 51, 63, 65, 67)	Availability of financial resources (56)
	Poor management of funds (4, 24, 34)	Good management of funds (23, 33) <ul style="list-style-type: none"> - Provision of micro credits (43) - Part of the income is designated for training (57)
		Lease of communal lands / contractual partnership with tour operators (14, 33, 34, 39, 45, 47, 54, 59, 65, 66)
Personal financial resources	Relatively high cost of participation in terms of time and effort (4, 7, 30, 67)	Relatively low cost of participation in terms of time and effort (37, 38)
	Unequal economic resources among households to invest in tourism (4, 13, 17, 22, 37, 39, 41)	

The numbers in the brackets correspond with the following case studies (complete references of case studies can be found in Appendix 3): 1. Amati (2013); 2. Anand et al. (2012); 3. Avila Foucat (2002); 4. Belsky (1999); 5. Borges Lima & d'Hauteserre (2011); 6. Bruyere et al. (2009); 7. Charnley (2005); 8. Chili & Ngxongo (2017); 9. Clements et al. (2008); 10. Cobbinah et al. (2015); 11. Cole (2006); 12. Colvin (1994); 13. Gascón (2013); 14. Giampiccoli et al. (2014); 15. Grieves et al. (2014); 16. He et al. (2008); 17. Hernandez Cruz et al. (2005); 18. Hitchner et al. (2009); 19. Jamal & Stronza (2009); 20. Jitpakdee & Thapa, (2012); 21. Jones (2005); 22. Knight & Cottrell (2016); 23. Kontogeorgopoulos et al. (2014); 24. Lapeyre (2010); 25. Lenao (2015); 26. Lepp (2007); 27. Matarrita-Cascante et al. (2010); 28. Ramos & Prideaux (2014); 29,30. Mitchell & Eagles (2001); 31. Moswete et al. (2012); 32. Moswete et al. (2009); 33, 34, 35. Nelson (2004); 36. Nguangchaiyapoom et al. (2012); 37, 38. Nyaupane et al. (2006); 39. Ogutu (2002); 40. Okazaki (2008); 41.

Paimin et al. (2014); 42. Pawson et al. (2017); 43. Prachvuthy (2006); 44. Reimer & Walter (2013); 45, 46, 47. Rozemeijer (2000); 48. Saufi et al. (2014); 49. Sebele (2010), and Stone & Stone, (2011); 50, 51. Somarriba-Chang & Gunnarsdotter (2012); 52. Ellis, (2011); 53. Southgate (2006); 54. Stronza (2010); 55. Sundjaya (2005); 56. Jamieson & Sunalai (2005); 57. Timothy & White (1999); 58. Wang et al. (2016); 59, 60, 61, 62. Wunder (1999); 63. Yeboah (2013); 64. Zanotti & Chernela (2008); 65, 66. Collins & Snel (2008); 67. Kim et al. (2014); 68. Isaac & Wuleka, (2012).

In addition to the factors that have been assigned to categories based on livelihood capital, the factors that play role of facilitators and inhibitors and at the same time are considered outcomes in the sustainable livelihood approach are presented in the table 14.

Table 14. Factors that play role of outcomes in Sustainable Livelihoods Approach

LIVELIHOOD OUTCOMES (IMPACTS OF TOURISM)	
Negative	Positive
-No noticeable improvement of quality of life in the community (health, education, economy) (4, 19, 24, 25, 31, 32, 35, 40, 42, 49, 67)	-Noticeable improvement of quality of life in the community (health, education, economy) (2, 5, 6, 9, 22, 23, 24, 26, 27, 33, 34, 36, 37, 38, 46, 47, 52, 54, 57, 58, 66, 68)
-Limited employment in tourism (25, 30, 31, 41, 49, 65)	-Significant employment in tourism (3, 9, 20, 27, 28, 29, 32, 45)
-Low employment in tourism leading to unsustainable use of natural resources (9, 39)	-Lower pressure on natural resources due to employment in tourism (4, 44, 54)
-Inequality in benefit distribution (1, 4, 13, 30, 31, 32, 43, 54, 55, 58, 61)	-Equality in benefit distribution (27, 29, 62)
	-Increase of the community pride caused by foreign visits (5, 9, 10, 11, 37, 38, 42, 45, 47, 52, 55, 62)

Tables 15 and 16 show external (V) and internal (X) factors already ordered according to their frequency of appearance, the ratio of their appearance in the case studies shown in percentage. The facilitating factors and barriers that directly respond to inhibitors are treated as equal for the analysis. The reasons for that were explained in the research methods section.

Table 15. External facilitators and inhibitors of CBT arranged according to frequencies

Inhibitors (barriers)	Facilitators	Fr.	%
V1.No or discontinued technical cooperation	V1.Technical cooperation	53	78
V2.Exclusion of basic training in tourism management or inappropriate capacity building	V2.Provision of capacity building	41	60
V3.No financial support	V3.Financial support	31	46
V4.No involvement of community stakeholders in the tourism planning stage	V4.Involvement of community stakeholders in the tourism planning stage	15	22
V5.Exclusion of the community from management	V5.Co-management	13	19
V6.Unhealthy and/or vertical relationship with assistance providing institutions	V6. Healthy and on an equal footing relationship and coordination with assistance providing institutions	11	16
V7.No or poor support for promotion	V7.Support for promotion	10	15
V8.No recognition of the importance of community participation	V8.Recognition of the importance of community participation	10	15
V9.No regular or formalized efforts to communicate with the community	V9.Creation of a forum/network to facilitate mutual understanding and communication among stakeholders	9	13
V10.No or poor regulation enforcement	V10. Regulation enforcement	8	12
V11.No or poor dissemination of information about planned tourism development and related opportunities	V11. Dissemination of information about planned tourism development and related opportunities	7	10
V12.No political commitment to support community-based tourism	V12.Political commitment to support community-based tourism	6	8.8
V13.Low level of expertise among the personnel	V13. Expertise among the personnel	6	8.8
V15.Poor or inadequate government policies	V14.Fostering relationships between local and national/international experiences	5	7.4
V16.Primacy of private interests over local interests	V15.Adequate government policies	5	7.4
V17. No personnel specifically trained to work with the community	V16.Primacy of local interests over private interests	5	7.4
V18.Primacy of external interests over local interests	V17. Personnel specifically trained to work with the community	4	5.9
V19. Use of natural resources provided by the area is forbidden	V18.Primacy local interests over external interests	4	5.9
	V19.Legal sustainable use of natural resources provided by the	4	5.9

	area		
V20.The roles and responsibilities of the community and partners are not clearly defined	V20.The roles and responsibilities of the community and partners are clearly defined	3	4.4
V21.Overlapping jurisdiction of different agencies	V21.Non-Overlapping jurisdiction of different agencies	3	4.4
V22.Excessive formality and bureaucracy in the processes of community involvement	V22.No excessive formality and bureaucracy in the processes of community involvement	3	4.4
V23.No local representation in the management of protected area	V23. Local representation in the management of protected area	3	4.4
V24.Corruption of government officials		3	4.4
V25.No government interest in remote regions	V25.Government interest in remote regions	3	4.4

Fr. - Frequency

Table 16. Internal facilitators and inhibitors of CBT arranged according to frequencies

Inhibitors (Barriers)	Facilitators	Fr.	%
X1.No skills and expertise in areas required for operation of tourism	X1.Skills and expertise in areas required for tourism	39	57
X2.No noticeable improvement of quality of life in the community (health, education, economy)	X2.Noticeable improvement of quality of life in the community (health, education, economy)	32	47
X3.Decisions are dependent upon the proposals of external agents	X3.Independence in the decision making process	30	44
X4.No awareness of the importance of nature conservation in the area	X4.Awareness of the importance of nature conservation in the area	28	41
X5.Decisions are made by community elites	X5.Participative decision making	28	41
X6.No or poor community control over land and resources	X6.Community control over land and resources	27	40
X7.No or poor control over tourism activities in the area	X7.High level of control over tourism activities in the area	25	37
X8.No unity of the community and/or understanding of the importance of collective actions over individual	X8.Unity of the community and/or understanding of the importance of collective actions over individual	24	35
X9.No mechanism for distribution of profit	X9.Mechanism for distribution of profit	25	37
	X10.Supply of activities based on traditions and local customs that	22	32

	attract tourists and strengthen the role of the community		
X11.Conflict between tourism and other economic activities in the area	X11.Tourism is not the only economic activity, it complements other activities and it is not in conflict with them	19	28
X12.High dependence on resource consumptive activities	X12.Low dependence on resource consumptive activities	18	26
X13.Presence of external actors with interests that might not align with the interests of the community	X13.Absence of external actors with interests that might not align with the interests of the community	16	24
X14.Limited employment in tourism	X14.Significant employment in tourism	14	21
X15.Inequity in benefit distribution	X15.Equity in benefit distribution	14	21
X16.No access to the national and international networks through tour operators and marketing channels	X16.Access to the national and international networks through tour operators and marketing channels	14	21
X17.No cooperation with private tourism enterprises in the area and other related stakeholders	X17.Cooperation with private tourism enterprises in the area and other related stakeholders	13	19
X18.Absence of a management structure	X18.Presence of management structure	13	19
X19.Community governance structure disadvantages one or more groups		13	19
X20.Lack of financial resources	X20.Availability of financial resources	13	19
	X21.Increase of the community pride caused by foreign visits	12	18
X22.Conflict between traditional resource use practices with conservation objectives of the protected area		12	18
X23.No or limited marketing efforts	X23.Marketing efforts	11	16
X24.No clarity about tourism, its costs and benefits and ways in which communities could participate	X24.Clarity about tourism and its costs and benefits	10	15
X25.Lease of communal lands / contractual partnership with tour		10	15

operators			
	X26.Awareness of the importance of current tourism resources	10	15
X27.No communal sense of ownership of the initiative (appropriation and wide participation)	X27.Communal sense of ownership of the initiative	9	13
X28.No alliances and cooperation with other communities to support each other and share experiences	X28.Alliances and cooperation with other communities to support each other and share experiences	8	12
	X29.Effective individual leadership	8	12
X30.No trust in the leadership	X30.Trust in the leadership	8	12
X31.Doubts in its own ability to participate and manage tourism	X31.Self-confidence in its own ability to participate and manage tourism	8	12
X32.Poor or no internal communication between community representatives and the members	X32.Good internal communication between community representatives and the members	7	10
X33.Unequal economic resources among households to invest in tourism		7	10
X34.Lack of management skills		7	10
X35.High dependency on external funding		6	8.8
X36.Relatively high cost of participation in terms of time and effort	X36.Relatively low cost of participation in terms of time and effort	6	8.8
X37.Low level of participation in community organizations	X37.High level of participation in community organizations	6	8.8
	X38.Strict community norms and rules that are enforced	6	8.8
X39.Mismanagement of funds	X39.Good management of funds	5	7.4
X40.Low employment in tourism leading to unsustainable use of natural resources	X40.Lower pressure on natural resources due to employment in tourism	5	7.4
X41.Selling land to outsiders	X41. Resistance to selling land to outsiders	5	7.4
X42.High cultural/ethnic division within		5	7.4

the community		
X43.No tourism leadership from within the community	4	5.9
X44.Inconsistent (fragmented) community organization or lack of organization	4	5.9
X45.Clear definition of the community	4	5.9
X46.Conflict within the community over land and/or resources	4	5.9
X47.Mismanagement of funds / corruption	3	4.4
X48.Difficulties in decision-making	3	4.4
X49.Poor marketing skills	3	4.4
X50.Alcohol abuse causing issues in the community	3	4.4
X51.Apathy and lack of interest	3	4.4
X52.Reliance on the external actors to start and lead the initiative	3	4.4

Fr. - Frequency

Table 17 and 18 present the factors that have been excluded due to their low frequencies below three.

Table 17. External factors removed from analysis

Inhibitors	Facilitators	F.
No involvement of traditional, local and national authorities in the planning process	Involvement of traditional, local and national authorities in the planning process	2
	Shared responsibility for the implementation of the initiative was assumed by the community and non-community partners	2
Insufficient community consultation		2
Unequal partnership between NGO and community leading to tension		1
	Long-term presence of a local NGO / supporting organizations	2
Overlapping legal land use rights		2
No dedicated authority to coordinate and		1

manage tourism		
Illegality of settlement inside the park		1
	Legal exclusivity given by the government to carry out certain tourism activities	2
No clear objectives for tourism development / contradictory objectives are provided		2
No involvement of higher-educated community members in the project's management from the beginning		1
5.3.VCorruption of tour operators in the distribution of benefits		1
6.3.Inequities and injustices related to the distribution of government resources to tourism		1
9.2.Unwillingness to work with the community due to their low education and limited capacity to work in tourism		2
9.3.No recognition of benefits of tourism / negative attitude towards tourism		2
	16.2.Respect for local traditions, community leadership and traditional authorities	1

Fr. - Frequency

Table 18. Internal factors removed from analysis

Inhibitors	Facilitators	Fr.
Poor communication among stakeholders due to distance and lack of communication infrastructure		1
	Provision of micro credits	1
	Part of the income is designated for training	1
	Outsourcing of management to skilled individuals with a contract specified mandate	1
	Resistance of the community to external pressures	1
Limited capacity for financial management		1
Poor negotiation skills		1
	Management skills	1
	Technical capacity to execute tourism development and management plans	1
	Experience in dealing with foreign visitors	1
	Capacity to resolve conflicts	1
Community members who obtained professional training leave for better paid opportunities		2

Conflict between traditional and new democratic leadership structures	1
Cultural and/or religious beliefs	2

Fr. - Frequency

4.2. Conceptual model for facilitators and inhibitors

Using the factors identified in the research a conceptual model has been designed to explain and visually demonstrate the theoretical and conceptual interactions among different aspects of CBT (Figure 4). The conceptual model is based upon the Sustainable Livelihoods Framework in a way that it uses six capitals (human, political and institutional, natural, cultural, financial, social) to frame the factors that facilitate and inhibit CBT initiatives in natural areas of developing countries. The factors that facilitate and inhibit CBT have been presented in terms of categories of factors due to the amount of factors in order to avoid clattering of the model. The factors have a direct or indirect influence on the capitals, which can be either external or internal. As previously explained throughout the document, the external factors are those related with government, NGOs, ODA agencies and private companies that can influence the success or failure of a CBT initiative, while internal ones are usually those that directly concern the communities and are initiated by the community from within.

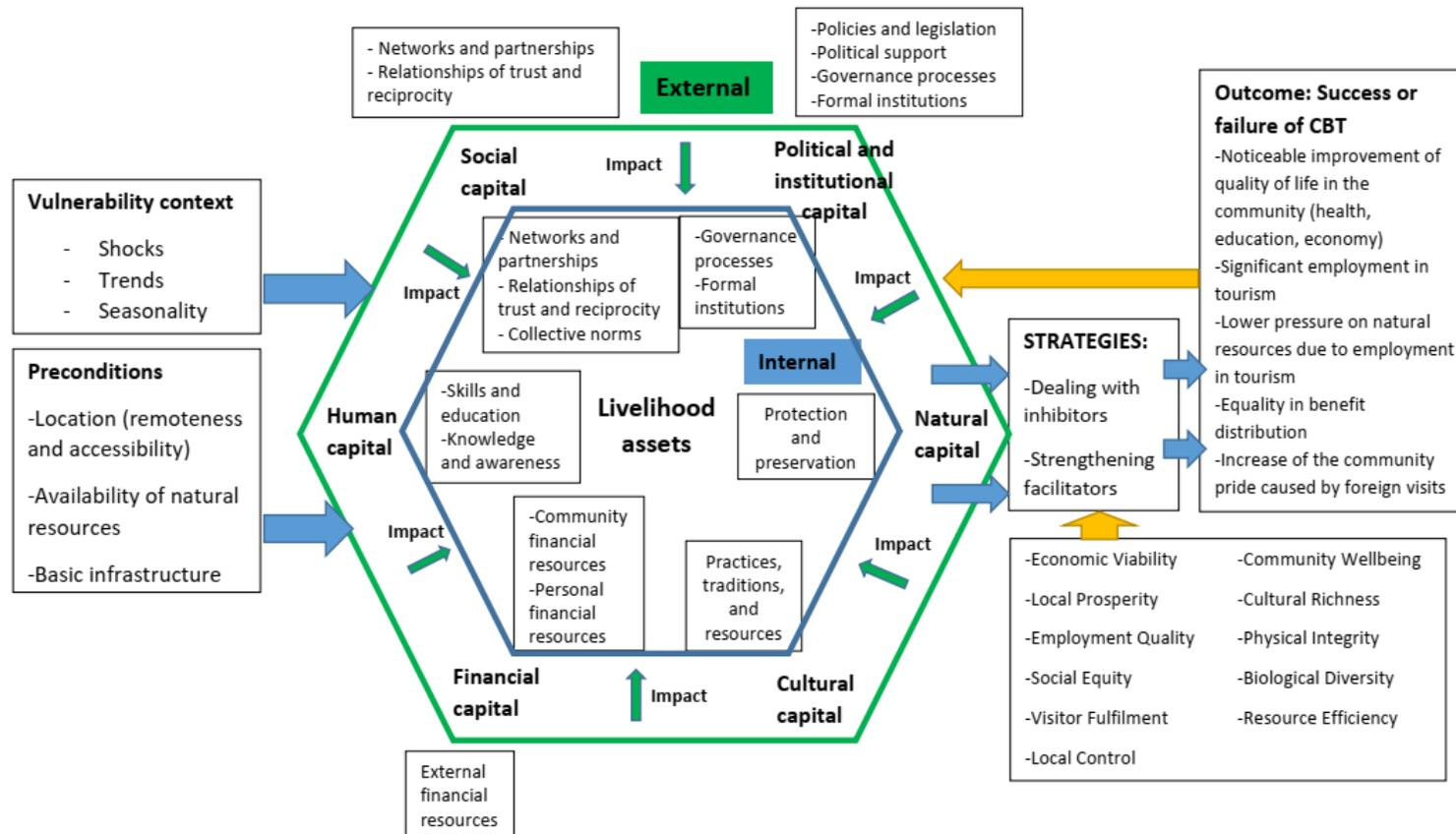


Figure 4. Conceptual model for factors that facilitate and inhibit CBT initiatives in natural areas of developing countries

The factors influence different type of capitals in a way that an increase in one type of capital can lead to increase in other types of capitals. The exact relationships have not been well-studied and require further work. More information about capitals can be found in Chapter 2.3. The capitals can be influenced externally by vulnerability context, which is composed of shocks, trends and seasonality.

The vulnerability context refers to the external environment in which people live. This includes trends (such as national or international economic trends, changes in available technology, political systems), shocks (such as illness or death, armed conflict, weather, natural disasters, the breakdown of law and order, and market and economic collapse), and seasonality (of prices, production cycles and so on). Trends play an important role in tourism as they define demand for certain destinations, activities, types of tourism and characteristics of the tourists themselves. Trends are also related to long term market conditions. For example, the economic crisis in 2001 had an impact of most countries in the world in terms of decreased tourist arrivals. Shocks, such as those associated with the triple-f crisis, can wipe out assets very suddenly if they are not protected and adverse trends can result in them being gradually eroded if livelihoods are unable to adapt to change. Vulnerability to shocks can vary. A flood for example will impact upon natural capital and in turn

reduce accessibility to the destination and attractions, but may have little if any effect on other capitals in short term, but it might have severe long term effects on a wide range of capitals, including social and human as people emigrate. Climate change as a longer-term trend is increasingly being seen as an important factor that can effect such vulnerability for some populations.

It is worth bearing in mind, however, that some of the trends do offer opportunities as well as acting as a potential threat (e.g. technological change, national and world economic trends). Exposure to change can have a direct influence on livelihoods by weakening them, strengthening them, or forcing a new direction. They can also influence livelihood strategies in a slightly less direct way, when people, anticipating the potential impact of trends and shocks, design their livelihood strategies in a way that helps them manage their exposure to sudden or gradual change and cope better with the potentially harmful effects of such change.

The vulnerability context is important because the three aspects have a direct impact on the possibilities of people to earn a living. Seasonality is one of key reasons for seasonal shifts in prices, production and employment opportunities are one of the most enduring sources of hardship for poor people all over the world. According to Butler (2001),

seasonality in tourism can be defined as “a temporal imbalance in the phenomenon of tourism, which may be expressed in terms of the number of visitors, traffic on the highways, employment and admission to attractions” (Butler, 2001: 5–21). The seasonality, especially in tourism but also in agriculture, result in seasonal fluctuations in income for the communities. These fluctuations are often dramatic and can profoundly affect livelihood security (Devereux et al., 2011). Other effects of seasonality are on the environment resulting in damage to vegetation and disturbance to fauna due to tourism pressure in the peak season, water supply and waste management (). Finally, the socio-cultural effects of seasonality affect the community which is being visited by tourists when substantial numbers make use of a destination's resources and cause overcrowding, thereby having a negative impact on residents (Deery, Jago, & Fredline, 2012). In the consequence of aforementioned examples, a marked seasonality may affect negatively different capitals, thus people's livelihood strategies should be designed, where possible, to reduce seasonal income fluctuations and the associated vulnerability.

The factors that influence capitals, thus capitals themselves, can also be affected by preconditions. Preconditions directly or indirectly define the presence or absence of some of the factors and they cannot be controlled before the development of tourism, except the basic

infrastructure. The importance of location and remoteness as well as availability of natural resources have been considered key elements for feasibility of any nature based tourism initiative (Prideaux, 2002). Natural resources are the main tourism product and the main attracting factors for nature tourism. Without attraction there is no tourism (Gunn, 1988). It includes landscape features, presence of forest, water bodies, exotic flora and fauna and other resources that are considered attractive to visitors. This factor cannot be easily controlled and it largely depend on natural conditions of the tourist destination. Similar, the remoteness of location cannot be controlled or decided by the community, but it is an important aspect for tourism development (Goodwin, 2006) and it appears as a major factor in majority of modes for tourism destination competitiveness (e.g. Crouch & Ritchie, 1994, 1999). The choice and quality of mode largely affects the furthest distance which tourists are prepared to go to reach a destination. The visitors are willing to travel considerable amount only when the attractiveness of the destination is high (Prideaux, 2002). In other words, a destination should have unique features to attract visitors. If there is a destination that offers similar characteristics, but it is located closer to urban centers and requires less time and money to be accessed, visitors optimize their choice by choosing the closest (most optimal) location.

The third precondition is related with the basic infrastructure that a community must provide in order to ensure a positive tourism experience (Goodwin & Santilli, 2009; Moscardo, 2005). Although in terms of infrastructure the requirements are really basic and are centered in accessible road or path (possibly by water) and space for overnight stay (minimum a camp ground) and provision of food to visitors, the better the infrastructure in terms of accessibility (by car / boat), accommodation (home stay / lodge) the higher the chance of attracting visitors to the location, receiving a stable flow of visits and making contractual deals with external tour operators. In terms of accessibility, a visitor attraction located a considerable distance from the center of tourism activity (a major destination or a tourism hub) but offering easy access may be described as a near periphery according to access criteria, whereas a site located near a major center but that is difficult to access may also be termed a medium periphery based on access but not distance (Prideaux, 2002).

Based on the factors that increase or decrease capitals present at a community, diverse strategies can be designed to deal with the factors that decrease capitals and to strengthen factors that increase social capital. Finally, the strategies produce outcomes to lead to success or failure of a CBT initiative. The outcomes are centered in financial, non-

financial benefits in terms of quality of life, positive or negative social impacts, equitable benefit distribution, and conservation of natural resources. The outcomes can also act as factors that increase and decrease capitals, which has been proved to be the case as results of case study analysis showed.

The strategies are too many and too diverse, thus describing them all is out of the scope of this document. However, the strategies should deal with categories provided in the model and more specific categories provided below (based on Asker et al., 2010 and UNWTO, 2005):

Economic Viability

- Understanding the market
- Tailoring Marketing Strategies
- Maintaining good trading conditions
- Maintaining and projecting an attractive destination
- Delivering business support
- Adding value to other tourist activities

Local Prosperity

- Reducing leakages
- Strengthening links between businesses
- Influencing levels of visitor spending
- Connecting with regional Community Tourism Hubs

Employment Quality

- Increasing employment opportunities and the proportion of year round, full-time jobs
- Ensuring and enforcing labor regulations
- Providing skills and training programs
- Identifying appropriate organizational and management Structures

Social Equity

- Utilizing income from tourism to support social programmes
- Developing mechanisms for equitably sharing the benefits

Visitor Fulfilment

- Monitoring and addressing visitor satisfaction and the quality of experience

Local Control

- Ensuring appropriate engagement and empowerment of local communities
- Improving the conditions for effective local decision making
- Addressing the specific position of indigenous and traditional communities with respect to local control

Community Wellbeing

- Getting the balance right in the volume, timing and location of visits
- Careful planning and management of tourism enterprises and infrastructure
- Influencing the behavior of tourists towards local communities

Cultural Richness

- Ensuring effective management and conservation of cultural and historic heritage sites
- Working with communities on the sensitive presentation and promotion of culture and traditions

Physical Integrity

- Ensuring that new tourism development is appropriate to local environmental conditions
- Minimizing the physical impact of tourist activity
- Maintaining high quality of landscapes as a tourism resource

Biological Diversity

- Working with national parks and other protected areas Promoting development and management of ecotourism
- Using tourism to encourage landholders to practice sustainable land management
- Working with private parks and reserves
- Minimizing damage to natural heritage from tourism
- Raising support for conservation from visitors and enterprises

Resource Efficiency

- Taking account of resource supply
- Promoting a reduce, reuse, recycle mentality

4.3. Facilitators and inhibitors in lists/models

In terms of external factors, those that were most frequently found in case studies roughly match those that were most commonly found in lists and models in the literature (Table 19). In the list of ten factors found most frequently in case studies, all factors provided by the literature (lists, models and frameworks) have been found in case studies, showing high level of similarity of both lists. The lists and models, however, turned out to present high degree of variety in terms of inclusion of external factors (between 0 and 11 out of 25) as well as choice of factors with the most common factor present only in five out of eight studies and many factors present in just one or two studies.

Table 19. External factors in case studies and in lists / models by various scholars

Factor	SUCCESS		S & B		BARRIERS				
	Frequency (case studies)	Rozemeijer (2000)	Goodwin & Santilli (2009)	Dangi & Jamal (2016)	Blackman et al. (2004)	Asker et al. (2010)	Dodds, Ali, & Galaski (2016)	Tosun (2000)	Murphy, Moscardo, & Blackman (2014)
Involvement of community stakeholders in the tourism planning stage	15	X	X	X	X	X	X	X	5
Technical cooperation	53	X	X	X	X	X	X	X	4
Provision of capacity building	41	X	X	X	X	X	X	X	3

Respect for local traditions, community leadership and traditional authorities	1	X	X		X	3
Financial support	31		X	X		2
Adequate government policies	5		X		X	2
Legal sustainable use of natural resources provided by the area	4	X	X			2
No primacy of external interests over local interests	4			X	X	2
Co-management	13	X				1
Healthy and on an equal footing relationship and coordination with assistance providing institutions	11			X		1
Recognition of the importance of community participation	10				X	1
Creation of a forum/network to facilitate mutual understanding and cooperation among stakeholders	9				X	1
Regulation enforcement	8				X	1
Political commitment to support community employment in tourism	6				X	1
Expertise among the personnel working with community	6				X	1
No primacy of private interests over local interests	5				X	1
Non-overlapping jurisdiction of different agencies	3				X	1
No excessive formality and bureaucracy in the processes of community involvement	3				X	1
Long-term presence of a local NGO / supporting organizations	2		X			1
Support for promotion	10					0
Dissemination of information about planned tourism development and related opportunities	7					0
Personnel specifically trained to work with the community	4					0
Local representation in the management of protected area	3					0
No corruption of government officials	3					0
Government interest in remote regions	3					0

S & B – success factors and barriers

In terms of internal factors, those that were most frequently found in case studies roughly match those that were most commonly found in lists and models in the literature (Table 20). In the list of ten factors found most frequently in case studies, two factor provided by the literature (lists and models) did not appear completely. The lists and models turned out to present high degree of variety in terms of inclusion of external factors (between 2 and 13 out of 52) as well as choice of factors with the most common factor present in seven out of eight studies and many factors present in just one or two studies.

Table 20. Internal factors present in case studies and in lists or models by various scholars

Factor	Frequency (case studies)	SUCCESS S & B BARRIER								
		Rozemeijer (2000)	Goodwin & Santilli (2009)	Dangi & Jamal (2016)	Blackman et al. (2004)	Asker et al. (2010)	Dodds, Ali, & Galaski (2016)	Tosun (2000)	Murphy, Moscardo, & Blackman (2014)	Frequency (models)
Skills and expertise in areas required for tourism	39	X	X	X	X		X	X	X	7
Cooperation with private tourism enterprises in the area and other related stakeholders	13	X	X	X	X		X			6
Independence in the decision making process	30	X	X			X	X		X	5
Marketing efforts	11			X	X	X	X		X	5

Supply of activities based on traditions and local customs that attract tourists and strengthen the role of the community	22	X	X	X					4
Availability of financial resources	13			X	X	X	X		4
Clarity about tourism and its costs and benefits	10			X	X	X	X		4
Noticeable improvement of quality of life in the community (health, education, economy)	32	X	X	X					3
Participative decision making	28	X	X		X				3
Community control over land and resources	27		X	X		X			3
Unity of the community and/or understanding of the importance of collective actions over individual	24		X	X			X		3
Tourism is not the only economic activity, it complements other activities and it is not in conflict with them	19		X		X	X			3
Access to the national and international networks through tour operators and marketing channels	14			X		X	X		3
Awareness of the importance of nature conservation in the area	28	X	X						2
Significant employment in tourism	14	X	X						2
Effective individual leadership	8			X	X				2
Low dependency of external funding	6		X			X			2
Tourism leadership from within the community	4	X					X		2
Consistent (non-fragmented) community organization	4	X			X				2
Capacity for financial management	1			X		X			2
Equity in benefit distribution	14				X				1
Presence of management structure	13			X					1
Increase of the community pride caused by foreign visits	12	X							1
Awareness of the importance of current tourism resources	10			X					1
Self-confidence in its own ability to participate and manage tourism	8	X							1
Good internal communication between community representatives and the members	7						X		1
Equal economic resources among households to invest in tourism	7		X						1
Relatively low cost of participation in terms of time and effort	6					X			1

High level of participation in community organizations	6	X		1
No conflict within the community over land and/or resources	4	X		1
Marketing skills	3	X		1
No apathy / interest in CBT	3		X	1
Mechanism for distribution of profit	25			0
High level of control over tourism activities in the area	25			0
Low dependence on resource consumptive activities	18			0
Absence of external actors with interests that might not align with the interests of the community	16			0
Community governance structure does not disadvantages any group	13			0
No conflict between traditional resource use practices with conservation objectives of the protected area	12			0
Lease of communal lands / contractual partnership with tour operators	10			0
Communal sense of ownership of the initiative	9			0
Trust in the leadership	8			0
Alliances and cooperation with other communities to support each other and share experiences	8			0
Management skills	7			0
Strict community norms and rules that are enforced	6			0
Good management of funds	5			0
Lower pressure on natural resources due to employment in tourism	5			0
Resistance to selling land to outsiders	5			0
No cultural/ethnic division within the community	5			0
Clear definition of the community	4			0
No mismanagement of funds / no corruption	3			0
No difficulties in decision-making	3			0
No alcohol abuse causing issues in the community	3			0
No reliance on the external actors to start and lead the initiative	3			0

The visual inspection of the data shows a lot of similarities except some factors that occupy much higher or lower positions when compared both groups (case studies and lists / models from the literature). It is important to note that three (n=3) external and six (n=6) internal factors (from the top 20 in each category) were absent in all eight lists / models analyzed.

In terms of the factors that were identified in lists/models/framework but were not identified in case studies, only three had frequencies of two or higher (Table 21). However, they were not added to the list of factors due to reasons described in the table. Factors that appeared in only one list/model/framework out of 8 were considered too specific to add them to the general lists of factors from case studies. All factors that had frequency of three or higher were already found in case studies, thus no new factors were considered necessary to be added to the final list of factors. This also confirmed the completeness of the lists of factors identified in case studies and added validity to that specific result of the research.

Table 21. External and internal factors that were not found in case studies or were excluded on purpose

Inhibitors or facilitators	Author	F.	Comment
-Development of transport infrastructure; Limited infrastructure, especially accommodation	Blackman et al. (2004)	3	Aspects such as infrastructure, accessibility and natural attractiveness of the place were excluded from the research as they are considered to be minimum pre-conditions for tourism development
-Poor infrastructure development	Murphy, Moscardo, & Blackman (2014)		
-There is good existing infrastructure to access the product; Infrastructure is inadequate and there is no potential for investment	Asker et al. (2010)		
-Visitor expectations and satisfaction levels met, visitor suggestions noted and used	Blackman et al. (2004)	3	Satisfaction of visitors was usually a result of other actions / strategies that were considered as factors in the analysis
-Tourist experience improved	Goodwin & Santilli (2009)		
-Tourist/resident satisfaction	Dangi & Jamal (2016)		

Only factors with minimum frequency of appearance (F=2) are presented

4.4. Methodology for CBT evaluation

4.4.1. Introduction

Many developing countries as well as ODA agencies and NGOs have used CBT as a mechanism for social and economic development of rural, remote and areas of high biodiversity that generally comply with one of both of these conditions. This trend has been described previously in this document. In response to the problem statement of this research that many community-based tourism initiatives fail because

of unfavorable conditions related to participation that could have been detected and either avoided or dealt with during the pre-feasibility phase, this chapters presents a methodology for evaluation of CBT initiatives in natural areas using the factors identified previously as items.

Assessment and prioritization of actions for CBT (ApaCBT) is a methodology that offers policy makers and development organizations a tool for a rapid assessment of key factors that facilitate and inhibit CBT and based on the results design of appropriate action and strategies to tackle weak points of CBT initiatives in developing countries, assess the feasibility of a CBT project or program, compare different initiatives in terms of state and progress in time.

The ApaCBT methodology is based on the idea and methodology used by RAPPAM - Rapid Assessment and Prioritization of Protected Area Management (Ervin, 2003), developed by WWF and based on work of World Commission on Protected Areas (WCPA), that integrates close to 120 items into a methodology that is carried out through a participative workshop or series of workshops in which Protected Area managers, policy makers, and other stakeholders participate fully in evaluating the initiative scoring different items on a one to four level scale.

ApaCBT is a methodology that can:

- Identify strengths and weaknesses of a CBT initiative (state or progress)

- Assess the feasibility of a CBT project or program
- Identify thematic areas of high importance that should be tackled by CBT supporting organization (NGOs, government, private sector actors)
- Indicate the urgency and priority for specific CBT initiatives if used on various cases
- Help to develop and prioritize appropriate local or national policy interventions and follow-up steps to improve CBT initiatives
- Allow statistical analyses of relationships among different aspects based on many evaluations

ApaCBT methodology is designed for either broad-level comparisons among many CBT initiatives or for evaluation of just one CBT initiative to detect problems and design solutions. However, it is recommended to implement evaluations on an organization wide scale to evaluate many CBT projects supported by a specific ODA agency, an NGO or government. The advantage of that is more consistent moderation of participatory evaluation by a team of experts.

4.4.2. Methodological steps

The **ApaCBT** Methodology includes five steps:

- STEP 1. Determining the scope of the assessment
- STEP 2. Assessing existing information for each CBT initiative
- STEP 3. Administering the assessment questionnaire

- STEP 4. Analyzing the findings
- STEP 5. Identifying next steps and recommendations

STEP 1. Determining the scope of the assessment

The scope of the assessment should be clear prior to implementing the methodology. The scope usually guides the implementing organization about the size of their assessments in terms of number and locations. Depending on objective set for the assessment, the choice for initiatives to be evaluated might be different. In countries with very low numbers of CBT initiatives in natural areas all initiatives can easily be included. In countries with very high numbers CBT initiatives, assessment of all would not be feasible. Strategies to adopt to narrow down the list include limiting the assessment to a:

- Particular country, region, such as a province, district, state
- Other criteria based on location (e.g. remoteness), stage of development, type of government or other criteria identified to have an influence on presence/absence of different factors
- Specific management objective of an initiative

STEP 2. Assessing existing information for each CBT initiative

Many organizations that support particular CBT initiative have already conducted preliminary studies and in many cases base analysis

of certain conditions before proposing a project/program. A preliminary assessment of the quantity and quality of data available for each initiative can help in selecting those to be included in the assessment. Existing data can either be directly incorporated into the questionnaire by the assessment team or workshop participants or used to validate the findings of the assessment. For example, a community survey could help answer some questions regarding the characteristics of the community and tourism activities.

Data used to confirm the assessment findings can strengthen the results if there is a high correspondence, or identify areas for further investigation if there is a low correspondence. Whether existing data are used directly or indirectly, some issues to consider include the credibility of the source of the information, its timeliness and accuracy, and whether or not CBT initiative managers, administrators, and stakeholder groups agree with the data.

STEP 3. Administering the assessment questionnaire

The most thorough and effective approach to implementing this methodology is to hold an interactive workshop or series of workshops in which CBT initiative managers, policy makers, and other stakeholders participate fully in evaluating the initiative, analyzing the results, and identifying subsequent next steps and priorities.

The use of a participatory workshop for data collection is highlighted because such an approach is likely to generate more accurate and thorough data, allow greater stakeholder participation, and be more widely accepted by CBT initiative managers (Ervin, 2003). Participatory workshops allow workshop participants to negotiate a common interpretation of each question, providing a more consistent and standardized approach to the ApaCBT.

Triangulation of data should be accounted for whenever possible. The more that data can be independently confirmed, the more reliable it is likely to be. Data can be triangulated by:

- Ensuring the participation of independent non-governmental organizations (NGOs) and other stakeholders
- Administering the methodology in a workshop setting so CBT initiative managers are accountable to one another. In some cases, for cultural reasons, this method might not be desirable.
- Peer reviewing the results of the assessment.

STEP 4. Analyzing the findings

The findings from the various parts of the questionnaire can be analyzed and compared in a number of ways to inform subsequent recommendations. From the managerial point of view, the relationships between different factors is of highest importance because it would

indicate that dealing with one underlining conditions (factor) will have an impact or one or more associated conditions. In other words, solving an issue that connect many other issues could potentially solve many of them. The descriptive statistics and comparison of mean scores between variables will give a good indication to an organization that supports implementation of CBT about the weaknesses of their projects allowing for design of actions and strategies to mitigate them. A hypothetical example of this is shown in Figure 5.

From a perspective of scientific research, the survey analysis gives a good insight into relationships among different variables and it can be used for testing variety of hypotheses and relations, not only among factors, but also between factors and background conditions (context) such as level of development, size of the initiative and remoteness.

STEP 5. Identifying next steps and recommendations

Ideally, policy makers and CBT administrators would be involved in this step. There is no standard method for identifying next steps and recommendations, as each assessment will vary. In general, however, this process involves analyzing the assessment findings to identify recommendations, and creating a concrete plan of action.

Recommendations should focus on the key changes necessary to

strategically improve the chances of CBT to succeed based on objectives of each CBT initiative or objectives set by an organization that supports implementation of CBT. These changes may involve global organization policies on implementing and supporting CBT, influencing local or regional/national policies, management practices, and/or funding allocation. Strategic recommendations are those changes or actions that will have the highest and most efficient impact on improving CBT such as those factors that are related with other factors or those that are closely related with reaching the objectives of the initiative.

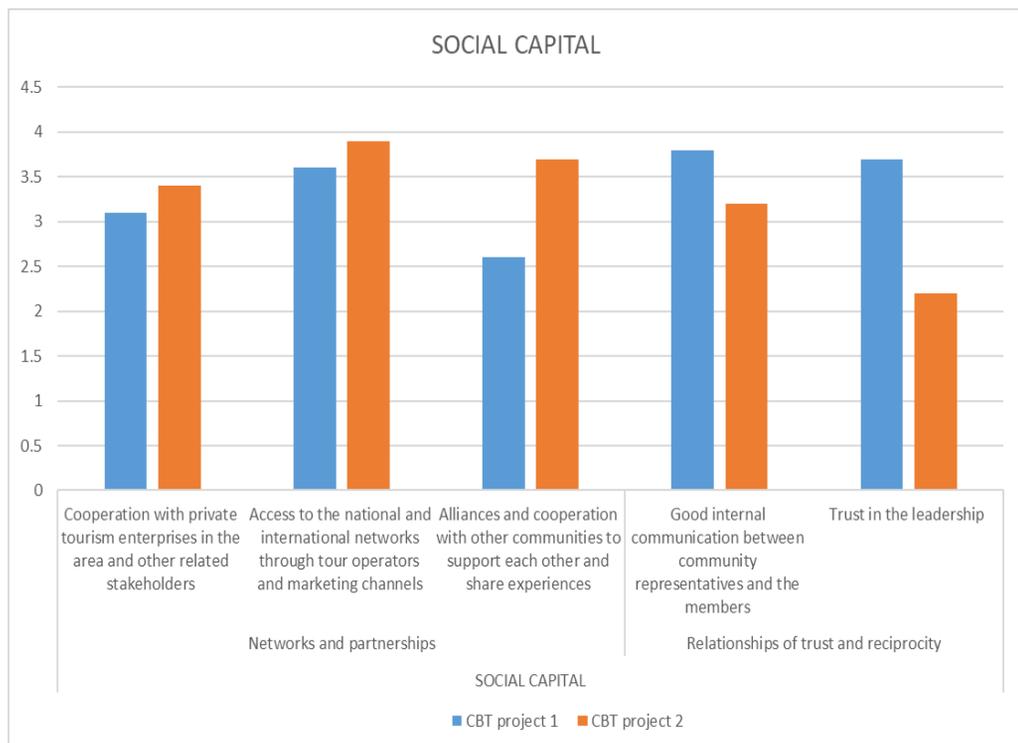


Figure 5. Example of data visualization when comparing initiatives

4.4.3. Questionnaire

The questionnaire items were directly applied from the results of the previous two step identifying factors that facilitate and constrain CBT in natural areas of developing countries. For future analysis some general items were added to complete the questionnaire and to add an additional level for the analysis and interpretation of the results.

General information items:

- a) Name of CBT initiative
- b) Location
 - b2) Location within a protected area/adjacent to a PA?
- c) Size of the inhabited area (ha); size of the controlled/owned area; number of community members
- d) Date of the start of the initiative
- e) Stage of tourism development according to the TALC model by (Butler, 1980)
- f) Scale of the initiative: number of people/community members participating, number of families
- g) Specific management objectives
- h) Tourism products offered
- i) Number of visitors per year
- j) Seasonality (number of visitors/trend)
- k) Distance to the closest small (urban center of 50.000-100.000 inhabitants) / medium (100.000-250.000) / large city (250.000-500.000)

Inhibitor	Inhibitor Present / Absent?	Facilitator	Facilitator Present / Absent?	Importance as a facilitator or inhibitor				
				N/A	1	2	3	4
No or discontinued technical cooperation		Technical cooperation						
Exclusion of basic training in tourism management or inappropriate capacity building		Provision of capacity building						
No financial support		Financial support						
No involvement of community stakeholders in the tourism planning stage		Involvement of community stakeholders in the tourism planning stage						
Exclusion of the community from management		Inclusion of the community from management / Co-management						
No skills and expertise in areas required for operation of tourism		Skills and expertise in areas required for tourism						
No noticeable improvement of quality of life in the community (health, education, economy)		Noticeable improvement of quality of life in the community (health, education, economy)						
Decisions are dependent upon the proposals of external agents		Independence in the decision making process						

Figure 6. Example of questions used by ApaCBT questionnaire

The items used in the main part of the evaluation of CBT are based on factors identified previously. The respondents are asked to identify whether a factor in question is applicable to the current condition of the CBT initiative and if answered “yes”, the importance of that factor as a facilitator or inhibitor for the particular CBT initiative is assessed by respondents on a four-option Likert scale where 1: not important; 2: relatively unimportant; 3: relatively important; 4: very important. The respondents may choose whether the factor plays a role of a facilitator (F) or Inhibitor (I). The example of the scale is shown in Figure 3. It is important to note that only the current situation is analyzed, not the past experience.

4.5. Specific conditions for presence of factors

Region specific

In order to find out if any factor is specific for one of the three regions (Asia, Africa, Latin America), a chi-square test was run for goodness of fit of all factors within the three regional groups. The null hypothesis set was that there is no significant difference in the distribution of the variables among three regions and the cases are equally distributed.

specific. Tables 22 shows that only one factor can be considered region specific based on the requirements set by this study. In terms of ratio of region specific factors to the overall number of factors it is 1.3% (1 out of 77).

Table 22. Region specific Factor X52 (Chi-Square and Frequencies)

	Value	df	Asymptotic Significance (2- sided)
Pearson Chi-Square	7.024 ^a	2	.030
Likelihood Ratio	7.366	2	.025
Linear-by-Linear Association	5.037	1	.025
N of Valid Cases	68		

		Factor X52		
		Absent	Present	Total
Region	Latin America	22	0	22
	Africa	25	0	25
	Asia	18	3	21
Total		65	3	68

Country specific

In order to find out, the factors that appeared only in one region were investigated if they appear only in one specific country in that region. If none of the factors appeared in one country, they were considered non-specific, but only for the countries encompassed by the research (n=27). Table 23 shows that none of the factors was found in just one specific country. Out of four factors found is specific regions, all were found either in one or two countries. Those found in two different

countries, however, were identified by the same author in different case studies but published in the same publication. That result does not mean that there are no factors specific for a country, it is only an indication that none of the factors from analyzed case studies was specific to analyzed countries. Therefore, it is possible that there are factors that are specific to certain countries but they were not present in this research.

Table 23. Factors that appeared only in one region by country

Factor	Region	Countries	Fr.
No local representation in the management of protected area	Africa	Tanzania	1
		Ghana	1
		Kenya	1
Overlapping jurisdiction of different agencies	Africa	Tanzania	2*
		Ghana	1
Reliance on the external actors to start and lead the initiative	Asia	Indonesia	1
		Cambodia	1
		Lao PDR	1
Alcohol abuse causing issues in the community	Africa	Namibia	1
		Botswana	2*

*- Different case studies of the same author

Chapter 5. Discussion and conclusions

5.1. Case studies

In agreement with many scholars who state that there is no a single set of suitable conditions that would apply to all potential tourist sites for a community-based tourism to flourish (Beeton, 2006; Faulkner & Tideswell, 1997; Nault & Stapleton, 2011; Okazaki, 2008; Reimer & Walter, 2013), this study provide that there is a set that would apply not to all, but many destinations. While they cannot be generalizable to all destinations, they are also not exactly destination specific. These supposedly context specific factors are in fact not as context specific as previously thought, as shown by this study there are more factors that are common at different destinations in developing countries around the globe. Of course, this statement is based on conditions provided by this study and given different conditions for evaluation, a different conclusion could be reached. This argument is especially valid because the aforementioned authors did not specify what they meant by a “set of suitable conditions that would apply to all potential tourist sites”, neither did they specify the meaning of “case specific” factors.

Different case studies analyzed in this research provided different number of factors ranging from eight to 37 (average 20) out of 77 factors (excluding those with frequencies below three). This shows that

that different cases presented more or less details, which can be explained by the focus of the study that usually was not placed directly on the factors, but more likely on the description of the operation of a CBT initiative. It was especially evident in case of external factors that were less likely to be described in a case study than internal factors directly linked with the CBT initiative. Therefore, the low average number of 20 factors out of 77 per case study is not surprising and it says more about case studies than the universality of the factors.

Almost half of the studies (44%) found for this particular research were published after 2009. A similar number was found in publications between 2000 and 2009 (46%). This shows a steady popularity of case studies on CBT in developing countries for the last 18 years accumulating and opening possibilities for quantitative studies. In terms of geographic distribution of case studies, it is surprising that the distribution among three regions (Latin America, Africa and Asia) is quite even, showing no clear global preference of the authors for one region over other. However, in terms of the countries chosen for research, some countries were favored over other, thus the weakness of this approach should be recognized. It is possible that some factors that did not appear in this study can be found in locations not represented in this research.

5.2. Factors that facilitate and inhibit CBT

In order to understand the results of the research, a theoretical and conceptual background are presented to nest the findings within a specific setting. As part of the shift from traditional concept of development to alternative development, NGOs now play key roles on the ground and in development co-operation (Pieterse, 1998), which explains that almost 80% of all CBT initiatives analyzed in the study had been initiated with external support. This notion has been confirmed by many scholars (e.g. Gascón, 2013; Scheyvens, 2002; Wearing, McDonald, & Ponting, 2005). For CBT to develop in the long term, backing and collaboration is necessary (Beeton, 2006; Mtapuri & Giampiccoli, 2013; Okazaki, 2008). The external support is not only necessary due to the capital required to be invested in tourism development, but more importantly due to lack of capacities to operate and manage tourism within the communities. Thus “(V1) Technical cooperation”, “(V2) Financial support” and “(V3) Provision of capacity building” from assistance providing institutions were identified as the three most common external facilitators for CBT initiatives in the analyzed cases. These factors are operational, which means that they require political will and financial resources to be successfully implemented as long as community desires to take part in the initiative. Their importance for the

community, in terms of skills and expertise required for tourism, is explained in one of the following paragraphs by the empowerment theory and its principles, which is the main theoretical notion that integrates many concepts that apply and explain the great majority of the factors. Although frequency of the factors does not indicate directly their importance, to some extent the commonality of factors introduces high level of applicability of those factors on a larger scale (Moscardo, 2005).

Contrary to the previous three external factors, the fourth and fifth most frequently identified factors named “(V4) Involvement of community stakeholders in the tourism planning / (V5) management and co-management” are much more difficult to implement. To understand the reasons underlying the importance of the factors and complexity behind their implementation, the concept of empowerment and a model for the level of public participation should be applied. According to Sofield (2003), empowerment is about a shift in balance between the powerful and the powerless, between the dominant and the dependent. In consequence of that shift, the individuals or groups can determine their own affairs (Cole, 2006), able to exert control over factors that affect their lives (Scheyvens, 1999). Participation is the first step, or a cause and an effect of empowerment (Perkins, Brown, & Taylor, 1996)

that should be achieved gradually via all of the processes of achieving complete power, up to the top end of the ladder of participation. The ladder of participation is a concept originally created by Arnstein (1969) that introduced a scale that moves from “passive” to “self-mobilization/active” participation. The former means that local people are simply told what is going to happen or what has already happened, while the meaning of latter is to take initiatives independently of and sometimes in conflict with external institutions. More information of empowerment and ladder of participation can be found in Chapter 2. However, looking at the most common internal and external factors facilitating and inhibiting CBT initiatives, it is clear that they are all nested within the empowerment paradigm.

The principles of the concepts of empowerment and ladder of participation are directly related with the factor “Involvement of community stakeholders in the tourism planning / management and co-management” because on one hand the communities strive for control and increased power and level of participation through their actions, on the other hand empowerment requires certain capacities from the community and can be achieved only when power is decentralized from the national level to the community level, possibly through involving grassroots organizations (Scheyvens, 1999). This shows the complexity of

empowerment and to certain extent explains the difficulties that communities face while implementing CBT. In few words, the empowerment required for any successful community-based initiative requires that a community develop capacity, gain control, and gain the ability to influence decision making, which requires other stakeholders (especially the government) to give away some of its power and influence, which can be very complicated considering the local political forces and power structure composed of government and private powerful actors' sharing their influence over the area.

Therefore, empowerment and in consequence meaningful level of participation require skills and political will to be fully achieved and that leads to the sixth, eighth and 12th most frequent external factors called “(V6) Healthy and on an equal footing relationship and coordination with assistance providing institutions”, “(V8) Recognition of the importance of community participation” and “(V12) Political commitment to support community-based tourism” respectively. Although the meaning of all three are different, there is an underlying factor of power balance among different types of stakeholder that can be explained through power balance concept and visualized through a model of stakeholder salience by Mitchell, Agle and Wood (1997).

The problem of power relations is central to the equitable and sustainable community-based tourism development (Blackstock, 2005; Butcher, 2007; Kiss, 2004; Mbaiwa, 2005; Salafsky et al., 2001; Salazar, 2012; Wearing et al., 2005). The concept can be clarified by differentiating between those who exercise power and those upon whom it is exercised (Han et al., 2014). Therefore, participation is not something that can be easily decided by local people and then executed. It can be successfully done only if the powerful, multi-dimensional, and in many instances, antiparticipatory forces that dominate lives or local people are recognized. When defining the actual ability to influence decisions that are accepted by all stakeholders, the power alone is not enough. According to the Theory of Stakeholder Identification and Saliency Mitchell, Agle, and Wood (1997) there are three attributes that define salience of stakeholders: (1) the stakeholder's power to influence the firm, (2) the legitimacy of the stakeholder's relationship to the firm and (3) the urgency of the stakeholder's claim on the firm. When power alone is not sufficient or when two groups of similar power levels compete for the authority to make decisions the group that holds higher level of legitimacy will dominate. Urgency or its lack of is also important when a group or organization possess the power and legitimacy but chooses not to exercise it. The relations among those three attributes define the power struggles between the community and external

stakeholders. The most common arrangement is that the government is characterized by power and legitimacy but lack of urgency to act, private actors have power but lack legitimacy, while communities have high urgency, often some level of legitimacy, but are more likely to lack power. These imbalances related to stakeholders can inhibit both the initiation and the success of collaboration and decision making (Jamal & Getz, 1995). In case of the three previously mentioned factors (V6, V8, V12), it is the government to decide how much power to transfer to the community in terms of political, financial and technical support and decision making and how urgently it will act upon community needs for development and control over tourism activity.

In relation to the transfer of power through collaborative management and recognition of the importance of communities in local management, specially but not only related with management of protected areas, “good governance” principles provide very useful and applicable criteria. Good governance principles provide a normative basis to guide the processes through which governance goals are developed and achieved (Kooiman et al., 2005; Lockwood, 2010). IUCN based on CBD (1992) recommend a set of widely agreed principles what they call ‘good governance’ of protected areas: Legitimacy and Voice, Accountability, Performance, Fairness, and Direction. The principles

encourage all those involved in the establishment and management of protected areas to recognize and involve diverse management partners and be transparent, inclusive and accountable in decision making.

Especially the first principle (legitimacy and voice) shows a direct relation with participation stating that “all men and women should have a voice in decision-making, either directly or through legitimate intermediate institutions that represent their intention” (Graham, Amos, & Plumptre, 2003: 3). It refers to broad participation and capacities to participate constructively (Factors V4, V5, V6, V8 and V12), which according the previously described ladder of participation requires high level of empowerment of the community. It is also about consensus orientation through mediation of differing interests, which is a basic requirement for co-management arrangements (Factor V5).

Another important principle of “good governance” is direction, which related to broad and long-term perspective on good governance and human development by the leaders and understanding of the historical, cultural and social complexities in which that perspective is grounded (Graham et al., 2003). This principle explains the importance of factors such as V8 (Recognition of the importance of community participation), V12. (Political commitment to support community-based tourism) and V16. V16. (Primacy of local interests over private interests).

Accountability is another principle and at its core it relates with Transparency. Transparency is built on the free flow of information directly accessible to those concerned with them in enough quantity to understand and monitor it. Lack of information was found to be the 11th most common external factor (V11. Dissemination of information about planned tourism development and related opportunities).

Finally, “Fairness” relates to the Rule of Law that have a goal to ensure fairness of legal frameworks that are enforced impartially. This has been found as one of the leading external factor (V10. Regulation enforcement). Lack of fairness is also related with corruption and favoritism given by politicians and government officials to external actors at the cost of local “weak” interests (V16. Primacy of private interests over local interests and V18. Primacy of external interests over local interests). Fairness encompasses the treatment of those groups that face discriminatory practices. In the context of Protected Areas, it has meant growing awareness of and respect for the role that local and indigenous peoples should play in the development and management of Protected Areas. It has also focused more attention on the benefits to be derived from devolving power from the center of government to local areas, which again brings the concept back to empowerment and power struggles.

The principles are considered to be applicable across a broad range of different governance arrangements (Graham, Amos, & Plumpre, 2003) and can be very useful in guiding CBT in protected areas or located in a buffer zone. It encourages PA managers and authorities to design governance arrangements that include communities and in this way sharing the power (by giving a real voice in decision making) with those who are directly affected by establishment and management of PA.

Another factor that can be explained by the concept of empowerment and power balance is “(V11) Dissemination of information about planned tourism development and related opportunities. According to World Bank (2002), access to information is one of four main elements of empowerment because information is capital in dependence development. Community who have sufficient information will have better position in using the opportunity, easier to get service access, using their rights, also asking for responsibility of the stakeholders. The power of controlling important information allows certain groups to control the benefits from the flow of information, which has a negative consequence on local residents’ potential for economic benefits (Han et al., 2014).

The leading internal factor “(X1) Skills and expertise in areas required for tourism” is very similar to the leading external factor “(V2)

Provision of capacity building” with the main difference focused on the condition of the community instead of an external stakeholder. Like the external factor, its high position on the lists can be explained by the empowerment theory that underlies to importance of capacity in gaining control over development and leadership that leads to increased social and economic benefits for the community (more details in chapter 2). It is also explained by the Sustainable Livelihoods Framework and related theories it is based on, such as social capital theory described more in detailed in one of the following paragraphs.

“(X2) Noticeable improvement of quality of life in the community (health, education, economy)” is a factor that actually is a result or impact of tourism that positively influence community support for the activity and encourage community members to participate and get involved in CBT. The community perceptions towards tourism development can be explained by various theories such as social exchange theory (Ap, 1990, 1992; Ap & Crompton, 1993) and dependency theory Pearce's (1989) that state that the residents' attitudes towards tourism is based on the compensation of costs and benefits on both sides, with the result for one or the other depending on the final balance between costs and benefits. The costs of tourism can be explained using the Doxey's 'Irridex' that is based on notion that

the negative perception of hosts increases as the number of visitors' increase, causing irritation (Doxey, 1975). In the case of this research, community members report an improvement of quality of life and thus their perceptions towards tourism are likely to be very supportive and positive. Numerous studies tend to support the theory (e.g. Horn & Simmons, 2002; Kuvan & Akan, 2005; Lepp, 2007; Diedrich & García, 2009) and various studies have confirmed that residents highly dependent on the tourism tend to emphasize positive impacts or easily accept negative impacts of this activity (Faulkner & Tideswell, 1997), although it is very likely that residents perceive benefits and costs at the same time (Horn & Simmons, 2002). If the benefits from tourism are not clearly visible and felt, the activity loses community support because the negative impacts outweigh the benefits, which is usually a serious obstacle to tourism development (Gursoy & Rutherford, 2004), contributing to the fall of the destination (Harrill, 2004).

The relationships between the residence attitudes and perceived benefits is highly related to the stage of tourism destination development as implied by a model called Tourism Area Life Cycle (TALC) by Butler (1980). The model shows the evolution of the destination over time and identify different stages that require different planning and management actions. It should be noted that residents in

mature tourist destinations adapt to tourism over a long period of time, which explains their lower negative perception towards tourism (Liu & Var, 1986). In this case, the benefits perceived by the community can be high, while the perceived costs can be high or low, depending on the level of economic dependence on this activity (Lindberg & Johnson, 1997, Smith & Krannich, 1998). Conversely, emerging destinations, which are developing in a fast and uncontrolled manner, are less prepared for the changes caused by tourism development (Moisey et al., 1996; Ryan & Montgomery, 1994). Therefore, the role of community as an independent decision making body is crucial in control of the pace and type of tourism development according to their desires and perception, which introduces factor “(X3) Independence in the decision making process”.

In many cases when the communities participate, the most of the decision are made by outsiders (Zanotti & Chernela, 2008). According to the levels of participation described in Chapter 2 this corresponds with one of the three or even four lowest level of participation called “manipulation”, “therapy”, and “informing” by (Arnstein, 1969) or “Manipulative participation”, “Passive Participation”, and “Participation by consultation” by Bass et. al. (1995) and Pretty (1995). As previously mentioned, the power of external agents in terms of knowledge, funds,

and political connections is much greater than power of communities, which once again explains the importance of knowledge and skills required for tourism that were identified as leading internal factors (factor X1). Moreover, if the associational or community cohesion is absent or weak (factors X8), external interests appeared more likely to prevail over the interests of more marginalized groups (Hall, 2013). This once again comes down to the concepts of empowerment, power struggles and capacity to act. To achieve independence, a community must be able to understand tourism and usually requires capacity building to be able to decide independently. Without it, a legitimate and authoritative facilitator is required to assist the community (Jamal & Getz, 1995), which again explains the importance of factor X1 for CBT initiatives. NGOs often become intermediaries between the powerful stakeholders and rural and isolated area communities. Other factors that are explain by the notion of power and the concept of empowerment are “(X13) Absence of external actors with interests that might not align with the interests of the community”, “(X20) Availability of financial resources”.

Internally, the factors that define the ability of the community to act together, oppose to external forces and share costs and benefits of development and equally distribute them can be explained using the

social capital theory as well as empowerment. Those factors are: “(X5) Participative decision making within the community”, “(X8) Unity of the community and/or understanding of the importance of collective actions over individual”, “(X9) Mechanism for distribution of profit”, and “(X15) Equity in benefit distribution”. Social capital may be defined as those resources inherent in social relations which facilitate collective action (Matarrita-Cascante et al., 2010). Social capital resources include trust, norms, and networks of association representing any group which gathers consistently for a common purpose. In a community where trust and cohesion are high, the decisions are made through a collective action usually through a meeting supported by a belief in the equality of citizens. Through agency the community negotiates, compromises and accepts ideas that might result from different individual and collective interests. In other words, social capital is a link that bounds people giving them opportunity to consider a wider range of community issues (Matarrita-Cascante et al., 2010).

In communities characterized by high level of social capital established through time, people tend to have more confidence to invest in collective actions and collaboration, trusting that others will do the same (Pretty, 2003). On the other hand, when a community is characterized by distrust or conflict, cooperative activities are unlikely to

emerge. To increase trust reciprocity is needed, which refers to simultaneously exchanged goods and knowledge and in that way building agency. That reciprocity develops sustainable obligations between people, which leads to mutually agreed upon drivers of behavior, i.e. norms and rules of society (strict community norms and rules that are respected is a factor found in two case studies). Traditional laws and regulations is such a strong mechanism in tight-knit communities that the community willingly accepts them due to traditional sense of duty (Mitchell & Eagles, 2001) and/or due to the social pressure. As can be seen, four interconnected features of social capital are listed as essential; relations of trust, reciprocity and exchanges, common rules and norms, and connectedness in networks and groups (Pretty, 2003). High social capital is correlated with education (Smith, Beaulieu, & Seraphine, 1995) and associated with self-reliant economic development without need for government intervention (Putnam, 1993; Fukuyama, 1995), which is another factor found in case studies called “(X52) Reliance on the external actors to start and lead the initiative”.

Factor “(X10) Supply of activities based on traditions and local customs that attract tourists and strengthen the role of the community” is an important factor that facilitates CBT initiatives according to various

concepts and theories. Onah (2015) asserts using the Maslow's theory on hierarchy of human needs that when people achieve their basic social needs such as family and love, they focus attention on such matters as reputation, recognition, self-esteem and prestige or self-worth, self-respect that give them strong confidence to participate in activities that will certainly improve their living conditions in their various communities. The products offered to tourists that are based in local customs, traditions, or cultures, create acceptance of the tourism industry and often generate pride of the community about their culture, way of life and traditional knowledge that they can showcase to visitors and receive praises for. Community pride refers to the positive feelings of attachment and the emotional bond residents feel about their community and their feelings of satisfaction within the community (Sirgy, 2012). It is further explained that the concept interlinks with the "psychology" of community empowerment that residents uphold self-esteem, to realize their own uniqueness and value their culture and natural resources as well as traditional knowledge (Scheyvens, 2002).

The factors "(X4) Awareness of the importance of nature conservation in the area" and "(X11) Low dependence on resource consumptive activities" are the cause and the effect respectively. Both can be explained by SLF and related concepts of "natural capital" and

“natural asset”. Natural assets to date have been more commonly referred to as natural capital, though the meaning is the same (OECD, 2018). The concept of natural capital is used as an economic metaphor for the limited stocks of physical and biological resources found on earth. The term “assets” is used to express the ability to generate profits, as a stock of forest or fish will provide a future flow of timber or food, a forest and its ecosystem services are assets for nature-based tourism development. The awareness of the community about its importance is a key factor facilitating CBT and “Low dependence on resource consumptive activities” is a result of community’s shift from using natural resources as the main means of subsistence to working with nature-based tourism to generate income and purchase goods on the market. The use of natural resources by communities living surrounded by them in order to satisfy their basic needs of food and shelter is explained by the theory of Maslow’s hierarchy of needs, who classified these two basic needs as a primary need of every human being (Onah, 2015). Tourism offers an alternative for resources over-consumption at the same time providing a sustainable solution to meet the basic needs. However, the employment in tourism must be high enough in terms of demand for workforce, and the financial benefits must be higher than gains from unsustainable activities (Kiss, 2004) according to utility maximization theory. Only then the use of natural resources will

decrease and the level of conservation will increase. In destinations that CBT is already in place but it does not provide enough employment, the unsustainable use of resources is a common practice; poaching, wood extraction and grazing being the most often reported activities.

An interesting pattern can be observed when looking into the number of factors that can be classified in each capital on the Livelihood Framework. The majority of factors found in case studies belong to 1) political and institutional, and 2) social capital. That again confirms the finding of Goodwin and Santilli (2009), who were the only ones that defined importance of different classes of factors and on their list the social capital and empowerment scored the 2nd highest. This also confirms previously discussed in this chapter findings.

To sum up the discussion, all factors that facilitate and inhibit CBT initiatives deal with internal and external forces that can be explained by empowerment theories that identify four dimensions in which a community can either gain or lose social, economic, psychological and political power (Scheyvens, 1999). The Sustainable Livelihood Framework (SLF) or the Community Capitals Framework present a very similar approach and they were used in this research to categorize factors that facilitate and inhibit CBT, which are the factors that increase or decrease different types of capitals. The capitals in the

framework are interlinked, as argued by Emery and Flora (2006), positive changes in one type of capital create positive changes in other types of capital (“spiraling up”) and alternatively, negative changes, or decrease/loss in one of the capitals can lead to negative changes in other capitals (“spiraling down”). Using this analogy, many interactions among factors can be proposed and hypothesized. For example, a relationship between human and political capital can be explored. Will an increase in human capital lead to an increase in political / institutional capital? In order to test that hypothesis, the relationship between factors that compose these two capitals can be tested. For instance, a relationship between “skills and expertise in areas required for operation of tourism” (Human capital factor) and “Involvement of community stakeholders in the tourism planning stage” (Political capital factor) can be tested statistically.

5.3. Lists/models/frameworks of other authors

As previously said the factors that are most frequently present in case studies are also the factors that are most frequently present in list, models and frameworks in the literature. However, they are much more general and simplified compared to case studies (representing a total of 52 factors compared with a total of 108 found in case studies, counting

facilitators and corresponding inhibitors as one factor). One could argue that the share quantity of case studies gives higher probability of encountering more factors. That is certainly the case as given a minimum frequency threshold of three that number of 108 factors drops to 77. On the other hand, an argument that models and lists are designed to give a general picture of the phenomena is also valid.

There was high degree of variety in terms of inclusion of external and internal factors (0-11 and 2-13 respectively). It is important to note that three (n=3) external and six (n=6) internal factors (from the top 20 in each category) were absent in all eight lists/models/frameworks analyzed. With regard to operability, there were 22 (n=22) different factors found in lists/models that were not found in case studies and in any of the other of the eight lists/models/frameworks analyzed in this study. It was concluded that many of them are too general to be classified in any of the categories defined by this research. This shows clearly the variety they represent.

It is not surprising that there was a lack of agreement among lists/models on the factors used. There are significant differences among lists/models/frameworks in terms of objectives and scope. While some are focused on barriers or success factors, other integrate both. Also the scope is different, some lists focused on CBT, while others on peripheral tourism development in both developing and developed countries.

Despite the differences, it should be recognized that the objective of this comparison was to extract as many factors as possible and possibly add them to the lists created in this research.

Analyses of case studies written by different authors using a variety of methods, and published in journals, books or in project reports are scarce. Perhaps it is due to a challenge presented by this variety of sources, or by the amount of work required for throughout analysis of each case. The closest to this research in terms of methodology is a study carried out by Moscardo in 2005 on peripheral regions. The principal difference is that Moscardo (2005) analyzed peripheral tourism and not specifically community-based tourism.

The finding of Moscardo are similar with finding of this research with few notable differences that potentially might be related with the fact that the author analyzed many cases from developed countries and that the focus was not on CBT. It has to be noted, however, that Moscardo's list of factors is very general and integrates many themes that has been separated in this research. Nonetheless, the results are similar in many aspects. In both researches, "Community capacity" ranked the highest (frequency of 24 in Moscardo and 39 in this research), showing indisputable prevalence of the factor and potentially its high value for sustainable tourism. In the same way the second factors that has the highest frequency of 24 in Moscardo's study - "Effective

community involvement and ownership” – has been identified as one of the key facilitators for CBT in this research. Other factors that are high on both lists are: “Tourism leaders and entrepreneurs” and “Connecting to tourism distribution networks”, and “Coordination of public and private sector interests”.

One important factor that scored very high on Moscardo’s list and low on this research’s list is “Role & effectiveness of formal planning”. One reason for that is the fact that the author analyzed tourism cases in a selection of developed countries where tourism is being developed according to local plans with close support of governments and public agencies. As noted by Moscardo, this was especially apparent in those cases where tourism development was encouraged by higher level government incentives. A common scenario was that a national or supra-national government agency offered funds for infrastructure development or for specific activities but the effectiveness of these schemes was limited by the lack of a local or regional tourism plan. This shows a contrast with very small scale CBT development that relies on direct financial and technical support from external organizations and often does not require local plans to support it, except for an internal plan for CBT initiative development and management.

A very relevant to the results of this research was a study by

Goodwin and Santilli (2009) who asked 134 responses to identify initiatives which are regarded as successful by funders and what factors had led to this success. Then they established the importance of the selected success factors. The conclusions of this exercise was very similar to results of this study; the leading success factors were “Improved livelihoods / Standard of living” that scored the 1st place in terms of importance and it was identified as the 2nd most frequent internal factor in case studies (X2. Noticeable improvement of quality of life in the community in terms of living, health, education, economy).

Likewise, the 2nd most important factor identified by Goodwin and Santilli (2009) “Social capital and empowerment” corresponds directly with the main theme of the findings of the research that empowerment and power structure are key aspects that facilitate CBT. Although the factors by Goodwin are much more general, as previously pointed out in this research these two concepts (Social capital and empowerment) are defined by the majority of most frequent factors such as local control over activities and resources, say in decision making process, unity of the community and ability to work together. However, the study of Goodwin and Santilli (2009) also uncover some factors that were frequently found in case studies, but scored low on their importance test. Factors such as education, collective benefits (that do not improve directly livelihoods), sense of place and commercial viability.

These findings put in perspective the difference between the most common factors (frequency) and most important factors (relative importance) and confirms the need for the next step of the research that defines relative importance of each factor using the ApaCBT methodology.

Like the previous authors, Blackman et al. (2004) conducted a similar research based on content analysis of peripheral tourism case studies. They did that on a selection of 11 case studies, of which 10 were located in developed countries. They did not provide frequencies for the factors, but instead they categorized their findings that closely correspond with the factors provided by this research. The only additional factor they identified is “Meeting the satisfactions and expectations levels of visitor and use of their suggestions”, which was considered difficult to measure by ApaCBT and it is rather a result of other factors not a factor that inhibit or facilitate in its own right.

In general terms, all factors found in lists/models/frameworks were found in case studies except few specific ones that are hard to define or too general ones. The difference between developing and developed countries is not evident in those studies, because they state just the names of factors and do not specify their frequencies. It is a hypothesis of the author of this study that developing and developed countries confront the same facilitators and inhibitors, but their

importance is different for developing and developed countries. The hint that support this hypothesis lies in the study of Moscardo (2005) who identified great importance of formal planning compared to low score of this factor in case studies. To test this hypothesis an additional analysis of cases from developed countries can be conducted recognizing the limitations of the method, or through application of ApaCBT methodology on developed and developing countries and comparing the importance of different factors.

5.4. Research on success factors and barriers for CBT

The research of the topic of success factors and barriers for CBT has been undertaken by various authors in the last two decades. The original paper of Tosun (2000) about limitations for CBT in developing countries is still one of the most commonly cited in the literature and the categorization of the factors he developed has been used as a blueprint in at least a few papers (e.g. Aref & Redzuan, 2008; Mustapha, Azman, & Ibrahim, 2013; Yeboah, 2013) and dissertations. Since publication of that paper, few other scholars developed their lists and models, but there has been a limited advancement of the topic in general. Without advancements the discussion entered into a stagnation stage, and the topic has been fragmented. Although fragmentation is necessary to analyze each factor in detail and understand it, this lack of

integration of factors in the general literature also caused their disintegration in case studies. In other words, case studies that describe reasons for success or failure of CBT initiatives, do it by analyzing a limited number of factors, overlooking many that could be crucial. This, however, is a hypothesis that yet is to be tested.

No matter the methods employed, however, the results are usually limited to few and very general aspects. This is somewhat surprising given that there are also quite a few authors that describe or at least mention many more of these conditions in separated contexts, describing particular factors or barriers (see Appendix 1). One would assume that models should be more universal and therefore the proposed methodology (Assessment and prioritization of actions for CBT - ApaCBT) should be composed of less, but more general factors in order to apply to a majority of cases around the world, while factors described by scholars in a different context (e.g. context of their paper, specific destination or country) are specific to that context and therefore not generalizable. This lack of generalizability has been pointed out by Nyaupane, Morais, and Dowler (2006) and Reimer and Walter (2013), but it can be only tested in the field through application of ApaCBT or a similar methodology to see the degree of presence of factors that are usually not accounted for in case studies.

The results of this research show clearly a need to integrate

many other factors into analysis. If case studies are to advance knowledge and understanding of CBT, they should give a better picture of the situation and factors that influenced a success or failure of a CBT initiative. There is a clear lack of attention in existing empirical studies to the specific causes of observed outcomes. In this regard Agrawal and Redford (2006) call for studies that attempt to connect underlying reasons for positive or negative results of certain actions. Although the complexity of this sort of undertaking questions its feasibility, without attempts this topic will not advance further. Case studies analyzing the CBT process in detail using the list of factors provided by this study could provide a foundation for explaining such a complex phenomenon through quantitative analysis. Generalization, although not perfect, is needed to understand the common issues in CBT and underlying reasons for their presence.

5.5. Theoretical implications

The contribution of the research to theory on the factors that facilitate and inhibit CBT is centered in identifying a complete and exhaustive list of factors and building a methodology to use these factors as items to evaluate CBT initiatives in developing countries. The significance of the tool for evaluation of CBT lies in the potential it presents for comparative studies among different CBT initiatives,

development of importance scale of each factor and quantitative analysis of interactions among factors that can test various hypotheses for building new theories.

Another contribution of the research to theory is the conceptual / theoretical models developed to accommodate and explain the general interactions among different variables that define CBT in natural areas of developing countries. The model was built upon Sustainable Livelihood Framework that integrated categories and factors found in the research with an addition of pre-conditions for tourism development based on literature. The model itself can be used as a base for further conceptual and theoretical development and as a simplified demonstrator of factors for CBT.

Additionally, because the factors have been nested within Livelihood Framework, the interactions among different factors that support or inhibit generation of capitals can be hypothesized and tested using results of real case studies' analysis through the ApaCBT methodology.

The study also points out weaknesses of existing lists/models /frameworks and proposed to add more factors that have been identified as common (appearing in many studies), but they were not recognized as important by authors of models/frameworks. A more complete framework that is proposed could be used a blueprint for

studies that aim at analyzing CBT initiatives from the perspective of success, failure, barriers and potential for development.

Some factors play more crucial role in CBT initiatives than others, however, studies defining relative importance of each factor are non-existent. Solely based on the frequencies, factors can be generalized to a wider extend than previously thought by many researchers who argued that they are too destination specific (Beeton, 2006; Faulkner & Tideswell, 1997; Nault & Stapleton, 2011; Okazaki, 2008; Reimer & Walter, 2013).

5.6. Practical and policy implications

The results of this study can provide several practical implications to policymakers and tourism planners. First, the present study stresses the importance of factors that facilitate and inhibit CBT and participation in tourism policy and planning efforts. It recognizes the role of community in the successful implementation of CBT and responds to the lack of methodologies to evaluate CBT initiatives with a methodology based on case studies describing real experiences in many developing countries. Although the proposed methodology might not be fully representative to all developing countries because of the limited number of countries represented in the study, it gives a good idea of the factors that are present in many countries of three main developing regions.

However, before presenting the practical and policy implications of the findings of this research, a brief outline of the international policy and its relation with the findings should be introduced. In this respect, the Convention on Biological Diversity (CBD) and its Nagoya Protocol (Access to genetic resources and the fair and equitable sharing of benefits arising from the utilization of genetic resources) is an ideal framework from which to address community-based tourism in natural areas. The three objectives of the CBD - the conservation of biodiversity, the sustainable use of its components, and the fair and equitable sharing of the benefits - are the guiding principles for CBT in natural areas (CBD, 2004). While the legal nature of the guidelines is clearly nonbinding, they are intended for practical application by the CBD state parties. The CBD Guidelines identify a multi-stakeholder management procedure and underline the importance of traditional and indigenous communities in management of areas of high biological diversity.

In this sense the guidelines provide justification for national or local policy makers to include power sharing mechanisms with local communities to manage natural resources (Factor V5.) and benefits derived from them (Factor V19. Legal sustainable use of natural resources provided by the area), as well as the contribution that traditional knowledge can make to both the conservation and the sustainable use of biological diversity (CBD, 2004). This is an important

point that gives legitimacy to communities and supports the policy factors related with wider participation, control and decision-making by communities (co-management) that facilitate CBT (Factor V5.). It also justifies the financial and technical support that should be provided to communities that use biodiversity in a sustainable way as the main tourism (Factors V1, V2, V3). In short, CBD principles and guidelines provide a good base for local governments to develop policies that can facilitate CBT development in natural areas. The CBD with its Nagoya protocol adopted the “Code of Ethical Conduct on Respect for the Cultural and Intellectual Heritage of Indigenous and Local Communities Relevant for the Conservation and Sustainable Use of Biological Diversity” that can be used by authorities and policy makers to support CBT development. The protocol provided also guidelines for benefit sharing and obtaining prior informed consent from indigenous and local communities, which gives a considerable amount of power to traditional and indigenous communities in natural areas to reject proposed initiatives, accept and negotiate conditions that benefit communities.

Practical implications

As a result of the research an assessment methodology was developed that can indicate the key aspects of community participation in nature-based or ecotourism initiatives and detects the factors that

constrain participation limiting the chances for success of an initiative. The “ApaCBT” methodology can be useful in prefeasibility stage when factors that inhibit CBT can be detected and their level of importance evaluated by experts as well as possibility to mitigate them. At that stage a decision about pursuing CBT at a specific destination should be made. The methodology can be equally useful during the operation of an initiative to assess CBT performance and detect areas where it is failing and could be strengthened resulting in better management or more benefits for local people. It can be also used as a monitoring tool to periodically assess the performance of CBT in terms of changes in facilitators and inhibitors.

ApaCBT can be a very useful tool for NGOs and ODA agencies that implement various CBT projects in a specific country or entire region and want to compare their performance and common areas showing strengths and weaknesses. It is important to mention that not only community-based tourism project can be evaluated in that manner, but all community-based natural resource management (CBNRM) projects as the great majority of aspects are shared. Many of the case studies about CBT are also CBNRM project where tourism component is an alternative option for more sustainable use of natural resources. In case of CBNRM projects that are not related with tourism, the methodology can be adjusted by removing factors specific for tourism

and adding factors that are related with particular field. Nonetheless, as majority of factors are related with community empowerment in development, it is expected that majority of factors will be shared.

Policy implications

Besides the practical use of the methodology to evaluate and compare CBT initiatives the lists of factors that facilitate and inhibit CBT initiatives in developing countries can be used by policy makers to design policies that respond to main inhibitors or use the ApaCBT methodology to evaluate various initiatives in the country, identify the areas of weaknesses and design specific policies that respond to those specific areas.

The very detailed list of factors provided can be used as a blueprint for evaluation and design of policies aimed at supporting CBT initiatives. In this vein, policy evaluation criteria can be developed to evaluate policy documents to include those components that facilitate CBT. It has been recognized that the participatory component of the policy, plan, or program often does not provide a sufficient basis for meaningful involvement (Tosun, 2006). Well-designed regulations and policies should provide a framework to facilitate meaningful community participation and create conditions to support successful implementation of ecotourism initiatives, thus factors identified in this research can

support policy evaluation and design. The factors can be assigned into specific categories for policy evaluation, for example, those proposed by UNWTO (2005). Some of the main areas where factors provide valuable items for policy evaluation and design are: instances of participation, capacity development and assessment, administrative governance, protection of community rights and distribution of benefits.

In terms of specific policies aimed at facilitating CBT the governmental organizations should focus on areas such as meaningful instances where communities have rights and possibility to participate as equal stakeholders in land and tourism planning and management process. More specifically it refers to mechanisms or legal procedures available for citizens, through which they can participate in a meaningful way. The case study analysis identified a few that were considered effective in strengthening participation (factors V4, V9, V23) at the same time giving the community a possibility to voice their concerns and affect decision-making.

Other key area of support for communities is capacity building that recognizes prior knowledge of community members and is optimized and channeled to specific purposes through strengthening exercises. This not only creates the possibility of participating but also allows communities to participate in a more meaningful way. Not only individual level of capacity building is critical, but also organizational and

political. The former includes procedures and frameworks that facilitate consolidation of the communities into organizations able to work together toward common goals, while the latter refers to actions that go beyond the power of the individual, to a broader context of knowledge about rights and duties, leadership, empowerment, self-management, and community participation.

Understanding and respecting the cultural differences and subjective perceptions of communities are criteria that must be included in the policy as a strategy for reducing conflict and as an intrinsic element of sustainable tourism value. The community should be able to collectively define what values will not be compromised for the sake of growth (Fuller & Reid, 1998). The community norms and rules should be respected and strategies based on local culture and heritage that strengthen the role of the community should be underlined (Rozemeijer, 2000).

The land ownership and control over tourism development have been recognized as main facilitators in the study. The rights of communities to their territory and its traditional use must be recognized and respected even if they do not want to be part of proposed initiatives. Although sometimes communities can participate in CBT initiatives in the absence of secure land tenure (many PAs) (Coria & Calfucura, 2012), their rights to the land use should be recognized and

prioritized.

Lack of equity in the distribution of benefits generates discontent in communities that stand in opposition to proposed projects or which participate under imposed conditions but rarely turn to the state to protect their rights. It has to be noted that the definition of profit varies according to the criteria applied by each stakeholder. In reality, they are measured by standards defined by the dominant force and are hardly negotiable, so benefits should be determined in the process of consensus building to reach understanding and agreement on the most appropriate form of tourism (McIntyre, Hetherington, & Inskeep, 1993).

The importance of support for promotion of CBT destinations, which was identified as a weak point of many initiatives, should also be a key point for development of policies and specific strategies to increase success of CBT initiatives. Other areas that require governments special attention are: clear regulations on provision of information to communities about planned development by governmental and private stakeholders, and provision of special training to government officials working with CBT initiatives and communities.

5.7. Directions of future studies

Due to the fact that the analysis used case studies from a limited number of developing countries (n=27), the future studies should focus on a greater representation of different countries to produce definite conclusion about region specific factors and country specific factors in developing countries. The factors also should be compared between developing and developed countries to see if there is any difference in terms of frequencies. The author's hypothesis, based on information gathered during the research, states that the factors are not much different, but their importance will be different. This, however, is yet to be tested empirically.

To give a definitive answer to the importance of factors, a quantitative analysis is required. Now that the factors are defined, further studies should focus of relative importance of each aspect that is not based on frequency but evaluation of specific CBT initiatives using the ApaCBT methodology or the list of factors from this research as a blueprint. The case studies carried out using this methodology will provide a base for comparative analysis of case studies and will allow statistical analysis of relationships among different factors. Because the factors are classified within the Livelihoods Framework, according to the theory of interactions among capitals (see chapter 2.2) the links can be proposed and hypothesized, and in consequence tested empirically.

After years of stagnation, the way forward is through publication of case studies that look on the CBT potential success or failure from the perspective of the factors defined by this study. Only then the cases can be analyzed and properly compared with each other after ruling out the possibility of limited factor use.

Bibliography

- Abram, S., & Waldren, J. (1998). *Anthropological perspectives on local development: Knowledge and sentiments in conflict*. London: Routledge.
- Agrawal, A. (1999). "Community"-in-conservation: Tracing the outlines of an enchanting concept. In R. Jeffery & N. Sundar (Eds.), *A new moral economy for India's forests? Discourses of "community" and participation* (pp. 92–108). Delhi: Sage.
- Agrawal, A. (2001). Common property institutions and sustainable governance of resources. *World Development*, 29, 1649-1672.
- Agrawal, A., & Gibson, C. (1999). Enchantment and disenchantment: The role of community in natural resource conservation. *World Development*, 27(4), 629-649.
- Agrawal, A., & Redford, K. (2006). *Poverty, development, and biodiversity conservation: Shooting in the dark?* Working Paper No 26. New York: Wildlife Conservation Society.
- Akis, S., Peristianis, N., & Warner, J. (1996). Residents' attitudes to tourism development: The case of Cyprus. *Tourism Management*, 17(7), 481-494.
- Amati, C. (2013). "We all voted for it": experiences of participation in community-based ecotourism from the foothills of Mt Kilimanjaro. *Journal of Eastern African Studies*, 7(4), 650-670.
- Anand, A., Chandan, P., & Singh, R.B. (2012). Homestays at Korzok: Supplementing rural livelihoods and supporting green tourism in the Indian Himalayas. *Mountain Research and Development*, 32(2), 126-136.
- Andonova, L. B., & Mitchell, R. B. (2010). The rescaling of global environmental politics. *Annual Review of Environment and Resources*, 35, 255–282.
- Ap, J. (1990). Residents' perceptions research on the social impacts of tourism. *Annals of Tourism Research*, 17 (4), 610-616.

- Ap, J. (1992). Residents' perceptions on tourism impacts. *Annals of Tourism Research*, 19(4), 665-690.
- Ap, J., & Crompton, J. (1993). Residents' strategies for responding to tourism impacts. *Journal of Travel Research*, 32(1), 47-50.
- Aref, F. (2011). Barriers to community capacity building for tourism development in communities in Shiraz, Iran. *Journal of Sustainable Tourism*, 19(3), 347-359.
- Aref, F., & Redzuan, M. (2009). Community leaders' perceptions toward tourism impacts and level of community capacity building in tourism development. *Journal of Sustainable Development*, 2(3), 208-213.
- Armstrong, R. (2012). An analysis of the conditions for success of community based tourism enterprises. ICRT Occasional Paper No. 21. Leeds: ICRT.
- Arnegger, J., Woltering, M., & Hubert, H. (2010). Toward a product-based typology for nature-based tourism: a conceptual framework. *Journal of Sustainable Tourism*, 18(7), 915-928.
- Arnstein, S.R. (1969). A ladder of citizenship participation. *Journal of the American Institute of Planners*, 35(4), 216-224.
- Arntzen, J.W., Molokomme, D.L., Terry, E.M., Moleele, N., Tshosa, O., & Mazambani, D. (2003). Final report of the review of community-based natural resource review in Botswana: Report no. 1. Gaborone: Centre for Applied Research for the National CBNRM Forum.
- Ashley, C. (2000). The impacts of tourism on rural livelihoods: Namibia's experience. Working Paper 128. London: Overseas Development Institute.
- Ashley, C., Roe, D., & Goodwin, H. (2001). Pro-poor tourism strategies: making tourism work for the poor: A review of experience. London: Overseas Development Institute.
- Ashley, C., & Goodwin, H. (2007). "Pro poor tourism": What's gone right and what's gone wrong? London: Overseas Development Institute.

- Asker, S., Boronyak, L., Carrard, N., & Paddon, M. (2010). *Effective community based tourism: A best practice manual*. Gold Coast: Sustainable Tourism Cooperative Research Centre, Griffith University.
- Assarroudi, A., Nabavi, F.H., Armat, M.R., Ebadi, A., & Vaismoradi, M. (2018). Directed qualitative content analysis: the description and elaboration of its underpinning methods and data analysis process. *Journal of Research in Nursing*, 23(1), 42-55.
- AusAID. (2003). *Australia's guidelines on the Logical Framework Approach*. Canberra: AusAID.
- Avila Foucat, V.S. (2002). Community-based ecotourism management moving towards sustainability, in Ventanilla, Oaxaca, Mexico. *Ocean & Coastal Management*, 45(8), 511–529.
- Balint, P.J., & Mashinya, J. (2006). The decline of a model community-based conservation project: Governance, capacity, and devolution in Mahenye, Zimbabwe. *Geoforum*, 37, 805-815.
- Ballantyne, M., & Pickering, C. (2012). Ecotourism as a threatening process for wild orchids. *Journal of Ecotourism*, 11(1), 34-47.
- Barrow, E., & Murphree, M. (2002). *Community conservation from concept to practice: a practical framework*. Community conservation research in Africa: Principles and comparative practice working paper No. 8. Manchester: IDPM.
- Bass, S., Dalal-Clayton, B., & Pretty, J. (1995). *Participation in strategies for sustainable development*. Environment Planning Issues No. 7. London: International Institute for Environment and Development
- Bauman, T., & Smyth, D. (2007). *Indigenous partnerships in protected area management in Australia: three case studies*. Canberra: Australian Institute of Aboriginal and Torres Strait Islander Studies.
- Beeton, S. (2006). *Community development through tourism*. Collingwood, Victoria: Landlinks Press.

- Bello, F.G., Carr, N., & Lovelock, B. (2016). Community participation framework for protected area-based tourism planning, *Tourism Planning & Development*, 13(4), 469-485.
- Belsky, J.M. (1999). Misrepresenting communities: the politics of community-based rural ecotourism in Gales Point Manatee, Belize. *Rural Sociology*, 64(4), 641-666.
- Bennett, N., Lemelin, R.H., Koster, R., & Budke, I. (2012). A capital assets framework for appraising and building capacity for tourism development in aboriginal protected area gateway communities. *Tourism Management*, 33(4), 752-766.
- Berg, L-A., & Desai, D. (2013). Background paper: Overview on the rule of law and sustainable development for the global dialogue on rule of law and the post-2015 development agenda. Paris: UNDP.
- Bernard, J. (1973). *The sociology of community*. Glenview, IL: Scott Foresman.
- Björk, P. (2007). Definition paradoxes: From concept to definition. In J. Higham (Ed.), *Critical issues in ecotourism* (pp. 23-45). Burlington, MA: Elsevier.
- Blackman, A., Foster, F., Hyvonen, T., Bronwyn, J., Kuilboer, A., & Moscardo, G. (2004). Factors contributing to successful tourism development in peripheral regions. *Journal of Tourism Studies*, 15(1), 59–70.
- Blackstock, K. (2005). A critical look at community based tourism. *Community Development Journal*, 40(1), 39-49.
- Boer, W.E., & Baquete, D.S. (1998). Natural resource use, crop damage and attitude of rural people in the vicinity of the Maputo Elephant Reserve, Mozambique. *Environmental Conservation*, 25(3), 208-218.
- Bookbinder, M.P., Dinerstein, E., Rijal, A., Caule, H., & Rajouria, A. (1998). Ecotourism's support of biodiversity conservation. *Conservation Biology*, 12(6), 1399-1404.

- Boonratana, R. (2010). Community-based tourism in Thailand: the need and justification for an operational definition. *Kasetsart Journal: Social Sciences*, 31(2), 280-289.
- Borges Lima, I., & d'Hautesserre A.M. (2011). Community capitals and ecotourism for enhancing Amazonian forest livelihoods. *Anatolia*, 22(2), 184-203.
- Bramwell, B., & Sharman, A. (2000). Approaches to sustainable tourism planning and community participation: the case of the Hope Valley. In D. Hall & G. Richards (Eds.), *Tourism and sustainable community development* (pp. 17–35). London: Routledge.
- Brennan, F., & Allen, G. (2001). Community-based ecotourism, social exclusion and the changing political economy of KwaZulu-Natal, South Africa. In D. Harrison (Ed.), *Tourism and the less developed world: Issues and case studies* (pp. 203-221). Wallingford: CAB International.
- Brennan, M.A., Flint, C., & Luloff, A.E. (2009). Bringing together local culture and rural development: Findings from Ireland, Pennsylvania, and Alaska. *Sociologia Ruralis*, 49(1), 97-112.
- Bridger, J.C., Luloff, A.E., & Brennan, M.A. (2006). Achieving sustainable communities. In R.B. McKinstry, C.M. Ripp, & E. Lisy (Eds.), *Biological conservation handbook: State, local, and private protection of biological diversity* (pp. 393–416). Washington, DC: Environmental Law Institute.
- Brohman, J. (1996). New directions in tourism for third world development. *Annals of Tourism Research*, 23(1), 48-70.
- Bruyere, B.L., Beh, A.W., & Lelengula, G. (2009). Differences in perceptions of communication, tourism benefits, and management issues in a protected area of rural Kenya. *Environmental Management*, 43(1), 49-59.
- Bryman, A. & Bell, E. (2003). *Business research methods* (2nd ed.). Oxford: Oxford University Press.

- Buanes, A., Jentoft, S., Maurstad, A., Søreng, S., & Karlsen, G. (2005). Stakeholder participation in Norwegian coastal zone planning. *Ocean & Coastal Management*, 48(9-10), 658-669.
- Buckley, R. (2009). Evaluating the net effects of ecotourism on the environment: a framework, first assessment and future research. *Journal of Sustainable Tourism*, 17(6), 643-672.
- Butcher, J. (1997) Sustainable development or development? In M.J. Stabler (ed.) *Tourism and Sustainability* (pp. 27-38). Wallingford: CAB International.
- Butcher, J. (2007). *Ecotourism, NGOs and development: A critical analysis*. New York: Routledge
- Butler, C.F., & Menzies, C.R. (2007). Traditional ecological knowledge and indigenous tourism. In R. Butler, & T. Hinch (Eds.), *Tourism and indigenous peoples: issues and implications* (pp. 15-27). Oxford: Butterworth-Heinemann.
- Butler, R.W. (1980). The concept of a tourist area cycle of evolution: Implications for management of resources. *Canadian Geographer*, 24, 5-12.
- Butler, R.W. (2001). Seasonality in tourism: Issues and implications. In T. Baum, & S. Lundtorp (Eds.). *Seasonality in Tourism*. Oxford: Pergamon.
- Butler, R.W., Curran, R., & O’Gorman, K.D. (2013). Pro-poor tourism in a first world urban setting: case study of Glasgow Govan. *International Journal of Tourism Research*, 15(5), 443–457
- Calanog, L.A., Reyes, D.P.T., & Eugenio, V.F. (2012). *Making ecotourism work. A manual on establishing community-based ecotourism enterprise (CBEE) in the Philippines*. Manila: Japan International Cooperation Agency.
- Carney, D. (1998). *Sustainable rural livelihoods: What contribution can we make?* London: DFID
- Carr, A., Ruhanen, L., & Whitford, M. (2016). Indigenous peoples and tourism: The challenges and opportunities for sustainable tourism. *Journal of Sustainable Tourism*, 24(8-9), 1067-1079.

- Carter, J. (2010). Displacing indigenous cultural landscapes: The naturalistic gaze at Fraser Island World Heritage Area. *Geographical Research*, 48(4), 398-410.
- Carter, R.W., Thok, S., O'Rourke, V., & Pearce, T. (2015). Sustainable tourism and its use as a development strategy in Cambodia: A systematic literature review. *Journal of Sustainable Tourism*, 23(5), 797-818.
- Charnley, S. (2005). From nature tourism to Ecotourism? The case of the Ngorongoro Conservation Area, Tanzania. *Human Organization*, 64(1), 75-88.
- Chen, C.-H. V., Wang, S.-J., Chang, W.-C., & Hu, C.-S. (2008). The effect of leader-member exchange, trust, supervisor support on organizational citizenship behavior in nurses. *Journal of Nursing Research*, 16(4), 321-328.
- Chili, N.S., & Ngxongo, N.A. (2017). Challenges to active community involvement in tourism development at Didima Resort: A case study of Umhlwazini community in Bergville. *African Journal of Hospitality, Tourism and Leisure*, 6(2), 1-15.
- Choi, H. S., & Sirikaya, E. (2005). Measuring residents' attitude toward sustainable tourism: development of sustainable tourism attitude scale. *Journal of Travel Research*, 43(4), 380-394.
- Chok, S., Macbeth, J., & Warren, C. (2007). Tourism as a tool for poverty alleviation: a critical analysis of "pro-poor tourism" and implication for sustainability. In M. Hall (Ed.), *Pro-poor tourism: who benefits? Perspective on tourism and poverty reduction* (pp. 34-55). Clevedon: Channel View Publications.
- Christ, C., Hillel, O., Matus, S., & Sweeting, J. (2003). *Tourism and biodiversity: Mapping tourism's global footprint*. Washington, DC: United Nations Environment Program and Conservation International.

- Clements, T., John, A., Nielsen, K., Vicheka, C., Sokha, E., & Piseth, M. (2008). Translinks case study: Tmatboey community-based ecotourism project, Cambodia. Phnom Penh: Wildlife Conservation Society TransLinks Program.
- Cobbinah, P.B., Black, R., & Thwaites, R. (2015). Ecotourism implementation in the Kakum Conservation Area, Ghana: Administrative framework and local community experiences. *Journal of Ecotourism*, 14(2-3), 223-242.
- Cochrane, J. (2000). The role of the community in relation to the tourism industry: A case study from Mount Bromo, East Java, Indonesia. In P.M. Godde, M.F. Price, & F.M. Zimmermann (Eds.), *Tourism and development in mountain regions* (pp. 199-220). New York: CABI Publishing.
- Cohen, A. (1985). *The symbolic construction of the community*. London: Routledge.
- Cole, S. (2006). Information and empowerment: The keys to achieving sustainable tourism. *Journal of Sustainable Tourism*, 14, 629-644.
- Collins, S., & Snel, H. (2008). A perspective on community based tourism from South Africa: The TRANSFORM Programme, 1996-2007. In A. Spenceley (Ed.). *Responsible tourism: Critical issues for conservation and development*. London: Earthscan.
- Colvin, J.G. (1994). Capirona: A model of indigenous ecotourism. *Journal of Sustainable Tourism*, 2(3), 174-177.
- Coria, J., & Calfucura, E. (2012). Ecotourism and the development of indigenous communities: The good, the bad, and the ugly. *Ecological Economics*, 73, 47-55.
- Creswell, J.W. (2013). *Qualitative inquiry and research design: choosing among five approaches*. Thousand Oaks, CA: Sage.
- Cronin, L. (1990). A strategy for tourism and sustainable development. *World Leisure and Recreation*, 32(3), 12-18.

- Crouch, G., & Ritchie, J.B.R. (1994). Destination competitiveness: Exploring foundations for a long-term research program. In Proceedings of the Administrative Sciences Association of Canada Annual Conference (pp. 79–88), Halifax, Nova Scotia, June 25–28.
- Crouch, G. I., & Ritchie, J. R. B. (1999). Tourism, competitiveness, and societal prosperity. *Journal of Business Research*, 44, 137–152.
- Dangi, T.B., & Jamal, T. (2016). An integrated approach to “Sustainable Community-Based Tourism”. *Sustainability*, 8(5), 475.
- Das, J., & Dirienzo, C. (2010). Tourism competitiveness and corruption: A cross-country analysis. *Tourism Economics*, 16(3), 477-492.
- Deery, M., Jago, L., & Fredline, L. (2012). Rethinking social impacts of tourism research: A new research agenda. *Tourism Management*, 33(1), 64–73.
- Denman, R. (2001). Guidelines for communitybased ecotourism development. Gland: WWF International.
- DFID - British Department for International Development (2000). Sustainable Livelihoods Guidance Sheets. London: Department for International Development.
- Diedrich, A., & Garcia-Buades, E. (2009). Local perceptions of tourism as indicators of destination decline. *Tourism Management*, 30(4), 512-521.
- Dinham, A. (2005). Empowered or over-empowered? The real experience of local participation in UK's new deals for communities. *Community Development Journal*, 40, 301-312.
- Dodds, R., Ali, A., & Galaski, K. (2016). Mobilizing knowledge: Determining key elements for success and pitfalls in developing community-based tourism. *Current Issues in Tourism*, 1-22.
- Doxey, G.V. (1975). A causation theory of visitor-residents' irritants: Methodology and research inferences. The Travel Research Association Conference No. 6 (pp. 195-198), San Diego, California.

- Durbin, J.C., & Ralambo, J.A. (1994). The role of local people in the successful maintenance of protected areas in Madagascar. *Environmental Conservation*, 21, 115-120.
- Ellis, S. (2011). Community based tourism in Cambodia: exploring the role of community for successful implementation in least developed countries. PhD Thesis, Edith Cowan University. Retrieved from <http://ro.ecu.edu.au/theses/451>
- Ellis, F. (2000). *Rural livelihoods and diversity in developing countries*. Oxford, UK: Oxford University Press
- Ellis, S., & Sheridan, L.M. (2014). The legacy of war for community-based tourism development: Learnings from Cambodia. *Community Development Journal*, 49(1), 129-142.
- Epler Wood, M.E. (1998). Meeting the global challenge of community participation in ecotourism: Case studies and lessons from Ecuador (Working Paper No. 2), USA.
- Ervin, J. (2003). WWF: Rapid assessment and prioritization of protected area management (RAPPAM) methodology. Gland, Switzerland: WWF.
- Falk, I., & Kilpatrick, S. (2000). What is social capital? A study of interaction in a rural community. *Sociologia Ruralis*, 40, 87-110.
- Fallon, F. (2003). After the Lombok riots, is sustainable tourism achieved? In C.M. Hall, D.J. Timothy, & D. Duval (Eds.), *Safety and security in tourism: Relationships, management, and marketing* (pp. 139-158). Binghamton, NY: Haworth Hospitality Press.
- Farrelly, T.A. (2011). Indigenous and democratic decision-making: issues from community-based ecotourism in the Boumā National Heritage Park, Fiji. *Journal of Sustainable Tourism*, 19(7), 817-835.
- Faulkner, B., & Tideswell, C. (1997). A framework for monitoring community impacts of tourism. *Journal of Sustainable Tourism*, 5(1), 3-28.

- Fennell, D.A. (2001). A content analysis of ecotourism definitions. *Current Issues in Tourism*, 4(5), 403-421.
- Ferrante, M., Lo Magno, G.L., & De Cantis, S. (2018). Measuring tourism seasonality across European countries. *Tourism Management*, 68, 220–235.
- Folger, J.P., Hewes, D.E., & Poole, M.S. (1984). Coding social interaction. In B. Dervin & M.J. Voigt (Eds.), *Progress in communication sciences, Volume IV* (pp. 115-161). Norwood, NJ: Ablex.
- Font, X. (2007). Ecotourism certification: potential and challenges. In J. Higham (Ed.), *Critical issues in ecotourism: Understanding a complex tourism phenomenon* (pp. 386-401). Amsterdam: Elsevier, Butterworth Heinemann.
- Forstner, K. (2004). Community ventures and access to markets: the role of intermediaries in marketing rural tourism products. *Development Policy Review*, 22(5), 497-514.
- Frece, de, A., & Poole, N. (2008). Constructing livelihoods in rural Mexico: Milpa in Mayan Culture. *The Journal of Peasant Studies*, 35(2), 335-352.
- Friedmann, J. (1992). *Empowerment: Politics of alternative development*. Malden, MA: Blackwell.
- Fukuyama, F. (1995). *Trust: The social virtues and the creation of prosperity*. NY: Free Press.
- Fuller, A.M., & Reid, D.G. (1998). Rural tourism planning: A community development approach. In S. Smith (Ed.), *Rural rehabilitation: A modern perspective* (pp. 260-274). Arnaudville, LA: Bow River.
- Garrod, B. (2003). Local participation in the planning and management of ecotourism: A revised model approach. *Journal of Ecotourism*, 2(1), 33-53.
- Garrod, B., & Fyall A. (Eds.) (2011). *Contemporary cases in tourism*. Oxford: Goodfellow Publishers Limited.

- Gascón, J. (2013). The limitations of community-based tourism as an instrument of development cooperation: The value of the Social Vocation of the Territory concept. *Journal of Sustainable Tourism*, 21(5), 716-731.
- Getz, D., & Jamal, T.B. (1994). The environment–community symbiosis: a case for collaborative tourism planning. *Journal of Sustainable Tourism*, 2(3), 152-173.
- Giampiccoli, A., Jugmohan, S., & Mtapuri, O. (2014). International cooperation, community-based tourism and capacity building: Results from a Mpondoland village in South Africa. *Mediterranean Journal of Social Sciences*, 5(23), 657-667.
- Goodwin, H. (2006). Community-based tourism failing to deliver? ID 21 Insights (Issue no. 62). London: Department for International Development.
- Goodwin, H., & Santilli, R. (2009). Communitybased tourism: A success? International Centre for Responsible Tourism. ICRT Occasional Paper No. 11.
- Graham, J., Amos, B., & Plumptre, T. (2003). Principles for Good Governance in the 21st century. Policy Brief, 15, 1 – 6.
- Gray, B. (1989). *Collaborating: finding common ground for multiparty problems*. San Francisco: Jossey-Bass.
- Gray, L.C., & Moseley, W.G. (2005). A geographical perspective on poverty-environment interaction. *Geographical Journal*, 171(1), 9-23.
- Green, G.P., & Haines, A. (2008). *Asset building and community development* (2nd ed.). London: SAGE Publications
- Grieves, M., Adler, M., & King, R. (2014). To preserve the mountains and the community: Indigenous ecotourism as a sustainable development strategy. *Social Thought and Research*, 33, 83-111.

- Grootaert, C., & Bastelaer, van, T. (2001). Understanding and measuring social capital: A synthesis of findings and recommendations from the Social Capital Initiative. Social Capital Initiative Working Paper No 24. Washington DC: World Bank.
- Gunn, C.A., & Var, T. (2002). Tourism planning. New York: Taylor & Francis.
- Gursoy, D., & Rutherford, D.G. (2004). Host attitudes toward tourism: An improved structural model. *Annals of Tourism Research*, 31(3), 495-516.
- Hall, C.M. (1996). Introduction to tourism in Australia: Impacts, planning and development. Melbourne: Addison Wesley Longman.
- Hall, C.M. (2005). Tourism: Rethinking the social science of mobility. Harlow: Prentice-Hall.
- Hampton, M.P. (1998). Backpacker tourism and economic development. *Annals of Tourism Research*, 25(3), 639-660.
- Hampton, M.P. (2005). Heritage, local communities and economic development. *Annals of Tourism Research*, 32(3), 735-759.
- Han, G., Wu, P., Huang, Y., & Yang, Z. (2014) Tourism development and the disempowerment of host residents: types and formative mechanisms. *Tourism Geographies*, 16(5), 717-740.
- Harpham, T., Grant, E., & Thomas E. (2002). Measuring social capital within health surveys: Key issues. *Health Policy & Planning*, 17, 106-111.
- Harrill, R. (2004). Resident's attitudes toward tourism development: A literature review with implications for tourism planning. *Journal of Planning Literature*, 18(3), 251-266.
- Hartter, J., Goldman, A., & Southworth, J. (2011). Responses by households to resource scarcity and human-wildlife conflict: Issues of fortress conservation and the surrounding agricultural landscape. *Journal for Nature Conservation*, 19, 79-86.

- Harvey, P.A., & Reed, R.A. (2007). Community-managed water supplies in Africa: Sustainable or dispensable? *Community Development Journal*, 42, 365-378.
- Hawn, H., & Tison, J. (2015). Tourism and political choices of indigenous populations in Yucatán. *Latin American Perspectives*, 42(5), 234-247.
- He, G., Chen, X., Liu, W., Bearer, S., Zhou, S., Cheng, L. Y., ... Liu, J. (2008). Distribution of economic benefits from ecotourism: A case study of Wolong Nature Reserve for Giant Pandas in China. *Environmental Management*, 42(6), 1017-1025.
- Hernandez Cruz, R.E., Bello Baltazar, E., Montoya Gomez, G., & Estrada Lugo, E.I.J. (2005). Social adaptation: Ecotourism in the Lacandon forest. *Annals of Tourism Research*, 32(3), 610-627.
- Hickey, G., & Kipping, C. (1996). Issues in research. A multi-stage approach to the coding of data from open-ended questions. *Nurse Researcher*, 4, 81-91.
- Hitchner, S.L., Apu, F.L., Tarawe, L., Aran, S.G.N., & Yesaya, E. (2009) Community-based transboundary ecotourism in the heart of Borneo: a case study of the Kelabit Highlands of Malaysia and the Kerayan Highlands of Indonesia. *Journal of Ecotourism*, 8(2), 193-213.
- Hector, Z. (2003). Community participation in marine ecotourism development in West Clare, Ireland. In B. Garrod & J. C. Wilson (Eds.), *Marine ecotourism: Issues and experiences* (pp. 171-176). Clevedon: Channel View.
- Honey, M. (2008). *Ecotourism and sustainable development (2nd Ed.): Who Owns Paradise?* Washington, D.C.: Island Press.
- Honggang, X.U., Sofield, T., & Jigang, B.A. (2009). Community tourism in Asia: An introduction. In B.A. Jigang (ed.), *Tourism and community development: Asian Practices* (pp. 1-17). Madrid: United Nations World Tourism Organization.

- Horn, C., & Simmons, D. (2002). Community adaptation to tourism: comparisons between Rotorua and Kaikoura, New Zealand. *Tourism Management*, 23(2), 133-143.
- Hough, J.L. (1988). Obstacles to effective management of conflicts between national parks and surrounding human communities in developing countries. *Environmental Conservation*, 15(2), 129-136.
- Hsieh, H-F., & Shannon, S.E. (2005). Three approaches to qualitative content analysis. *Qualitative Health Research*, 15(9), 1277-1288.
- Igoe J. (2005). Global indigenism and spaceship earth: Convergence, space, and re-entry friction. *Globalizations*, 2, 1-13.
- Jamal, T.B., & Camargo, B.A. (2014). Sustainable tourism, justice and an ethic of care: Toward the just destination. *Journal of Sustainable Tourism*, 22(1), 11-30.
- Jamal, T.B., & Getz, D. (1995). Collaboration theory and community tourism planning. *Annals of Tourism Research*, 22(1), 186-204.
- Jamal, T.B., & Stronza, A. (2009). Collaboration theory and tourism practice in protected areas: Stakeholders, structuring and sustainability. *Journal of Sustainable Tourism*, 17(2), 169-189.
- Jamieson, W., & Sunalai, P. (2005). Sustainable tourism planning and management in Klong Khwang, Thailand. In J. Velasquez (Ed.), *Innovative communities: people-centred approaches to environmental management in the Asia-Pacific region* (pp. 158-181). Tokyo: United Nations University Press.
- Jim, C.Y., & Xu, S.S.W. (2002). Stifled stakeholders and subdued participation: Interpreting local responses toward Shimentai Nature Reserve in South China. *Environmental Management*, 30(3), 327-341.
- Jitpakdee, R., & Thapa, G.B. (2012). Sustainability analysis of ecotourism on Yao Noi Island, Thailand. *Asia Pacific Journal of Tourism Research*, 17(3), 301-325.

- Jones, N., Clark, J.R.A., Panteli, M., Proikaki, M., & Dimitrakopoulos, P.G. (2012). Local social capital and the acceptance of Protected Area policies: An empirical study of two Ramsar river delta ecosystems in northern Greece. *Journal of Environmental Management*, 96(1), 55-63.
- Jones, H.M., & EplerWood, M. (2008). *Community-based tourism enterprise in Latin America. Triple bottom line outcomes of 27 projects*. Burlington, VT: EplerWood International.
- Jones, S. (2005). Community-based ecotourism: The significance of social capital. *Annals of Tourism Research*, 32(2), 303-324.
- Joppe, M. (1996). Sustainable community tourism development revisited. *Tourism Management*, 17(7), 475-479.
- Kamsma, T., & Bras, K. (2000). Gili Trawangan – from desert island to “marginal” paradise: Local participation, small-scale entrepreneurs and outside investors in an Indonesian tourist destination. In G. Richards & D. Hall (Eds.), *Tourism and sustainable community development* (pp. 170–184). London: Routledge.
- Kim, S., Park, E., & Phandanouvong, T. (2014). Barriers to local residents’ participation in community-based tourism: Lessons from Houay Kaeng village in Laos. *SHS Web of Conferences*, 12, 1-8.
- King, D.A., & Stewart, W.P. (1996). Ecotourism and commodification: Protecting people and places. *Biodiversity and Conservation*, 5, 293-305.
- Kiss, A. (ed.) (1990). *Living with wildlife: wildlife resource management with local participation in Africa*. African technical series. Technical paper No. 130. Washington: The World Bank.
- Kiss, A. (2004). Is community-based ecotourism a good use of biodiversity conservation funds? *Trends in Ecology and Evolution*, 19(5), 232–237.
- Knight, D.W., & Cottrell, S.P. (2016). Evaluating tourism-linked empowerment in Cuzco, Peru. *Annals of Tourism Research*, 56, 32-47.

- Kontogeorgopoulos, N. (2005). Community-based ecotourism in Phuket and Ao Phangnga, Thailand: partial victories and bittersweet remedies. *Journal of Sustainable Tourism*, 13(1), 4-23.
- Kontogeorgopoulos, N., Churyen, A., & Duangsaeng, V. (2014) Success factors in community-based tourism in Thailand: The role of luck, external support, and local leadership. *Tourism Planning & Development*, 11(1), 106-124.
- Kretzmann, J.P., & McKnight, J.L. (1993). Building communities from the inside out: A path toward finding and mobilizing a community's assets. Evanston, IL: Center for Urban Affairs and Policy Research, Northwestern University
- Krippendorff, K. (1980). Content analysis: an introduction to its methodology. Beverly Hills, CA: Sage.
- Kruger, O. (2005). The role of ecotourism in conservation: panacea or Pandora's box? *Biodiversity and Conservation*, 14, 579-600.
- Kusumahadi, M. (2007). Practical challenges to the community empowerment program: experiences of Satunama Foundation of Yogyakarta, Indonesia.
- Kuvan, Y., & Akan, P. (2005). Residents' attitudes toward general and forest-related impacts of tourism: the case of Belek, Antalya. *Tourism Management*, 26(5), 691-706.
- Lai, P.-O., & Nepal, S.K. (2006). Local perspectives of ecotourism development in Tawushan nature reserve, Taiwan. *Tourism Management*, 27, 1117-1129.
- Lane, B. & Kastenholz, E. (2015). Rural tourism: The evolution of practice and research approaches - towards a new generation concept? *Journal of Sustainable Tourism*, 23(8-9), 1133-1156.
- Lapeyre, R. (2010). Community-based tourism as a sustainable solution to maximise impacts locally? The Tsiseb Conservancy case, Namibia, *Development Southern Africa*, 27(5), 757-772.

- Lemos, M. C., & Agrawal, A. (2006). Environmental governance. *Annual Review of Environment and Resources*, 31, 297–325.
- Lenao, M. (2015). Challenges facing community-based cultural tourism development at Lekhubu Island, Botswana: A comparative analysis. *Current Issues in Tourism*, 18(6), 579-594.
- Lepp, A. (2007). Residents' attitudes towards tourism in Bigodi village, Uganda. *Tourism Management*, 28(3), 876-885
- Li, W. (2006). Community decision-making: Participation in development. *Annals of Tourism Research*, 33(1), 132-143.
- Lindberg, K. (2001). Economic impacts. In D.B. Weaver (Ed.), *The encyclopedia of ecotourism* (pp. 363-376). Cambridge: CABI.
- Lindberg, K., & Johnson, R.L. (1997). Modeling resident attitudes towards tourism. *Annals of Tourism Research*, 24(2), 402-424.
- Liu, J., & Var, T. (1986). Resident attitudes towards tourism impacts in Hawaii. *Annals of Tourism Research*, 13(2), 193-214.
- Long, V.H., & Wall, G. (1995). Small-scale tourism development in Bali. In M.V. Conlin & T. Baum (Eds.), *Island tourism: Management and principles* (pp. 237–257). Chichester: John Wiley.
- Long, V.H., & Wall, G. (1996). Successful tourism in Nusa Lembongan, Indonesia? *Tourism Management*, 17(1), 43-50.
- Lucchetti, V.G., & Font, X. (2013). Community based tourism: Critical success factors. Available from: www.icrtourism.org/wp-content/uploads/2012/03/OP27.pdf
- Luloff, A.E., & Bridger, J. (2003). Community agency and local development. In D. Brown & L. Swanson (Eds.), *Challenges for rural America in the twenty-first century* (pp. 203–213). University Park, PA: Penn State University Press.

- Macleod, D.V.L. (2001). Parks or people? National parks and the case of Del Este, Dominican Republic. *Progress in Development Studies*, 1(3), 221-35.
- Madrigal, R. (1994). Residents' perceptions and the role of government. *Annals of Tourism Research*, 22(1), 86-102.
- Mansperger, M. (1992). Yap: A case of benevolent tourism. *Practicing Anthropology*, 14 (2), 10-14.
- Mansuri, G., & Rao, V. (2004). *The World Bank Research Observer*, 19(1), 1-39.
- Manyara, G., & Jones, E. (2007). Community-based tourism enterprises development in Kenya: An exploration of their potential as avenues of poverty reduction. *Journal of Sustainable Tourism*, 15(6), 628-644.
- Marzuki, A., Hay, I., & James, J. (2012). Public participation shortcomings in tourism planning: The case of the Langkawi Islands, Malaysia. *Journal of Sustainable Tourism*, 20(4), 585-602.
- Mascia, M.B. (2003). The human dimension of coral reef marine protected areas: Recent social science research and its policy implications. *Conservation Biology*, 17(2), 630-632.
- Matarrita-Cascante, D., Brennan, M.A., & Luloff A.E. (2010). Community agency and sustainable tourism development: the case of La Fortuna, Costa Rica. *Journal of Sustainable Tourism*, 18(6), 735-756.
- Mayring, P. (2014) *Qualitative content analysis: Theoretical foundation, basic procedures and software solution*. Klagenfurt: Monograph.
- Mbaiwa, J.E. (2005). Community-based tourism and the marginalised communities in Botswana: The case of Basarwa in the Okavango Delta. In C. Ryan & M. Aicken (Eds.), *Indigenous tourism: The commodification and management of culture* (pp. 87-109). Amsterdam: Elsevier.
- Mbaiwa, J.E. (2007). Local community attitudes towards Wildlife conservation and community based natural resources management in Ngamiland District, Botswana. In B. Schuster, & O.T. Thakadu (Eds.), *Natural*

resources management and people (pp. 19-26). Gaborone: IUCN CBNRM Support Programme.

Mbaiwa, J.E., & Stronza, A. (2010). The effects of tourism development on rural livelihoods in the Okavango Delta, Botswana. *Journal of Sustainable Tourism*, 18(5), 635-656.

McIntyre, G., Hetherington, A., & Inskip, E. (1993). *Sustainable tourism development: Guide for local planners*. Madrid: UNWTO.

MCIT [Ministerio de Comercio, Industria y Turismo] (2003). *Política para el desarrollo del ecoturismo [Ecotourism development policy]*. Bogota: MCIT.

MCIT [Ministerio de Comercio, Industria y Turismo] (2011). *Política para el desarrollo del turismo comunitario [Community-based tourism development policy]*. Bogota: MCIT.

Mehta, J.N., & Heinen, J.T. (2001). Does community-based conservation shape favourable attitudes among locals? An empirical study from Nepal. *Environmental Management*, 28 (2), 165-177.

Mitchell, M., & Hall, D. (2005). Rural tourism as sustainable business: key themes and issues. In D. Hall, I. Kirkpatrick, & M. Mitchell (Eds.), *Rural tourism and sustainable business* (pp. 3-16). Toronto: Channel View.

Mitchell, R.E. & Eagles, P.F.J. (2001). An integrative approach to tourism: Lessons from the Andes of Peru. *Journal of Sustainable Tourism*, 9(1), 4-28.

Mitchell, R.E., & Reid, D.G. (2001). Community integration: Island tourism in Peru. *Annals of Tourism Research*, 28(1), 113-139.

Mitchell, R.K., Agle, B.R., & Wood, D.J. (1997). Toward a theory of stakeholder identification and salience: Defining the principle of who and what really counts. *Academy of Management Review*, 22(4), 853-886.

Moisey, R.N., Nickerson, N.P., & McCool, S.F. (1996). Responding to changing resident attitudes toward tourism: Policy implications for strategic planning. In: 27th annual conference of the Travel and Tourism

Research Association, Las Vegas, Nevada.

- Moscardo, G. (2005). Peripheral tourism development: Challenges, issues and success factors. *Tourism Recreation Research*, 30(1), 27-43.
- Moscardo, G. (2008). Building community capacity for tourism development: Conclusion, in G. Moscardo (ed.), *Building community capacity for tourism development* (pp. 172-179). Wallingford: CAB International.
- Moscardo, G. (2011). The role of knowledge in good governance for tourism. In E. Laws, H. Richins, J. Agrusa, & N. Scott (eds), *Tourist destination governance: Practice, theory and issues*. Wallingford: CABI.
- Moswete, N., Thapa, B., & Child, B. (2012). Attitudes and opinions of local and national public sector stakeholders towards Kgalagadi Transfrontier Park, Botswana. *International Journal of Sustainable Development & World Ecology*, 19(1), 67-80.
- Moswete, N., Thapa, B., & Lacey, G. (2009). Village-based tourism and community participation: A case study of the Matsheng villages in southwest Botswana. In J. Saarinen, F. Becker, H. Manwa, & D. Wilson (Eds.), *Sustainable tourism in Southern Africa: Local communities and natural resources in transition* (pp. 189-209). Clevedon: Channelview.
- Mtapuri, O., & Giampiccoli, A. (2013). Interrogating the role of the state and nonstate actors in community-based tourism ventures: Toward a model for spreading the benefits to the wider community. *South African Geographical Journal*, 95(1), 1-15.
- Muehlig-Hofmann, A. (2007). Traditional authority and community leadership: key factors in community-based marine resource management and conservation. *SPC Traditional Resource Management and Knowledge Information Bulletin*, 27, 31-44.
- Murphree, M.W. (1999). *Congruent objectives, competing interests and strategic compromise: Concepts and processes in the evolution of Zimbabwe's CAMPFIRE programme*. Manchester: Manchester Institute for Development Policy and Management.

- Murphree, M.W. (2002). Protected areas and the commons. *Common Property Resource Digest* 60, 1-3.
- Murphy, C. (2003). Community tourism in Kuene: A review of five case studies for the WILD Project Directorate of Environmental Affairs. *Wildlife Integration for Livelihood Diversification (WILD), Research Discussion Paper No. 64*. Windhoek: Ministry of Environment and Tourism.
- Murphy, L., Moscardo, G., & Blackman, A. (2014). Tropical communities as resources for tourism or tourism as a resource for tropical communities: changing the perspective by applying a community well-being framework in the Mekong Delta. In: *Conference Proceedings of BEST EN Think Tank XIV: politics, policy and governance in sustainable tourism* (pp. 232-250).
- Mustapha, N.A., Azman, I., & Ibrahim, I. (2013). Barriers to community participation in tourism development in island destination. *Journal of Tourism, Hospitality & Culinary Arts*, 5(1), 102-124.
- Nabane, N. (1995). Gender as a factor in community-based natural resource management: A case study of Nongozi, Lianshulu, Lizauli, and Sichona villages in East Caprivi. Harare: University of Zimbabwe.
- Nault, S., & Stapleton, P. (2011). The community participation process in ecotourism development: A case study of the community of Sogoog, Bayan-Ulgii, Mongolia. *Journal of Sustainable Tourism*, 19(6), 695-712.
- Nyaupane G.P., & Thapa, B. (2004). Evaluation of ecotourism: A comparative assessment in the Annapurna Conservation Area project, Nepal. *Journal of Ecotourism*, 3(1), 20-45.
- Nelson, F. (2004). The evolution and impacts of community-based ecotourism in northern Tanzania. Issue paper no. 131. London: International Institute for Environment and Development.

- Nguangchaiyapoom, S., Yongvanit, S., & Sripun, M. (2012). Community-based tourism management of Ban Prasat, Non Sung District, Nakhon Ratchasima Province, Thailand. *Manuscript Sangkomsaet [Humanities and Social Sciences]*, 29(3), 191-207.
- Novelli, M., & Gebhardt, K. (2007). Community based tourism in Namibia: 'Reality show' or 'window dressing'? *Current Issues in Tourism*, 10(5), 443-479.
- Nunkoo, R., & Ramkissoon, H. (2012). Power, trust, social exchange and community support. *Annals of Tourism Research*, 39(2), 997-1023.
- Nyaupane G.P., Morais, D.B., & Dowler, L. (2006). The role of community involvement and number/type of visitors on tourism impacts: A controlled comparison of Annapurna, Nepal and Northwest Yunnan, China. *Tourism Management*, 27, 1373-1385
- Ogutu, Z.A. (2002). The impact of ecotourism on livelihood and natural resource management in Eselenkei, Amboseli ecosystem, Kenya. *Land Degradation & Development*, 13, 251-256.
- Okazaki, E. (2008). A community-based tourism model: its conception and use. *Journal of Sustainable Tourism*, 16(5), 511-529.
- Onah, F.O. (2015). *Human Resource Management (4th Ed.)*. Enugu: John Jacob's Classic Publishers Ltd.
- Ormsby, A., & Mannie, K. (2006). Ecotourism benefits and the role of local guides at Masoala national park, Madagascar. *Journal of Sustainable Tourism*, 14, 271-287
- Paimin, N.F.V., Modilih, S., Mogindol, S.H., Johnny, C., & Thamburaj, J.A. (2014). Community participation and barriers in rural tourism: A case study in Kiulu, Sabah. *Web of Conferences*, 12, 1-7.
- Parker, S., & Khare, A. (2005). Understanding success factors for ensuring sustainability in ecotourism development in Southern Africa. *Journal of Ecotourism*, 4(1), 32-46.

- Parry, D., & Campbell, B. (1992). Attitudes of rural communities to animal wildlife and its utilization in Chobe Enclave and Mababe Depression, Botswana. *Environmental Conservation*, 19(3), 245-252.
- Patton, E., & Appelbaum, S.H. (2003). The case for case studies in management research. *Management Research News*, 26(5), 60-71.
- Pawson, S., D'Arcy, P., & Richardson, S. (2017). The value of community-based tourism in Banteay Chhmar, Cambodia. *Tourism Geographies*, 19(3), 378-397.
- Perkins, D.D., Brown, B.B., & Taylor, R.B. (1996). The ecology of empowerment: Predicting participation in community organizations. *Journal of Social Issue*, 52(1), 85-110.
- Peters, J. (1998). Transforming the integrated conservation and development project (ICDP) approach: Observations from the Ranomafana National park project, Madagascar. *Journal of Agricultural and Environmental Ethics*, 11(1), 17-47.
- Pieterse, J.N. (1998). My paradigm or yours? Alternative development, post-development, reflexive development. *Development and Change*, 29, 343-373.
- Ponting, J. (2009). *Consuming Nirvana: The social construction of surfing tourist space*. Saarbrücken: VDM Verlag.
- Poshi, M. (2017). Barriers inhibiting Albanian tourism from being competitive: A Delphi study. *Academic Journal of Business*, 3(2), 56-66.
- Potter, W.J., & Levine-Donnerstein, D. (1999). Rethinking validity and reliability in content analysis. *Journal of Applied Communication Research*, 27, 258-284.
- Prachvuthy, M. (2006). Tourism, poverty, and income distribution: Chambok community-based ecotourism development, Kirirom National Park, Kompong Speu Province, Cambodia. *Journal of Greater Mekong Subregion Development Studies*, 3(1), 25-40.

- Pretty, J.N. (1995). Participatory learning for sustainable agriculture. *World Development*, 23(8), 1247-1263.
- Pretty, J. (2003). Social capital and the collective management of resources. *Science*, 302(5652), 1912-1914.
- Pretty, J.N., Guijt, I., Scoones, I., & Thompson, J. (1995). A trainers' guide to participatory learning and action. IIED Participatory Methodology Series No. 1. London: IIED.
- Putnam, R.D., Leonardi, R., & Nanetti, R.Y. (1993). *Making democracy work: Civic traditions in modern Italy*. Princeton, NJ: Princeton University Press.
- Ramos, A., & Prideaux, B. (2014) Indigenous ecotourism in the Mayan rainforest of Palenque: Empowerment issues in sustainable development. *Journal of Sustainable Tourism*, 22(3), 461-479.
- Reed, M.G. (1997). Power relations and community-based tourism planning. *Annals of Tourism Research*, 24(3), 566-591.
- Reggers, A., Grabowski, S., Wearing, S.L., Chatterton, P., & Schweinsberg, S. (2016). Exploring outcomes of community-based tourism on the Kokoda Track, Papua New Guinea: A longitudinal study of Participatory Rural Appraisal techniques. *Journal of Sustainable Tourism*, 24(8-9), 1139-1155.
- Reid, D.G. (2003). *Tourism, globalization and development: responsible tourism planning*. London: Pluto Press.
- Reimer, J.K.K., & Walter, P. (2013). How do you know it when you see it? Community-based ecotourism in the Cardamom Mountains of southwestern Cambodia. *Tourism Management*, 34, 122-132.
- Reisinger, Y., & Turner, I. (1997). Cross-cultural differences in tourism: Indonesian tourists in Australia. *Tourism Management*, 18(3), 139-47.
- Robards, M.D., Schoon, M.L., Meek, C.L. & Engle, N.L. (2011). The importance of social drivers in the resilient provision of ecosystem services. *Global Environmental Change*, 21(2), 522-529.

- Robinson, M. (1999). Collaboration and cultural consent: Refocusing sustainable tourism. *Journal of Sustainable Tourism*, 7(3-4), 379-397.
- Rogerson, C. (2004). Transforming the South African tourism industry: The emerged black-owned bed and breakfast economy. *GeoJournal*, 60, 273-281.
- Ross, S., & Wall, G. (1999). Ecotourism: Towards congruence between theory and practice. *Tourism Management*, 20(1), 123-132.
- Rowe, G., & Frewer, L. J. (2004). Evaluating public-participation exercises: A research agenda. *Science, Technology, & Human Values*, 29(4), 512-556.
- Rozemeijer, N. (2000). Community-based tourism in Botswana: The SNV experience in 3 community tourism projects. Gaborone: SNV/IUCN CBNRM Support Programme.
- Rugendyke, B., & Son, N.T. (2005). Conservation costs: nature-based tourism as development at Cuc Phuong National Park, Vietnam. *Asia Pacific Viewpoint*, 46(2), 185-200.
- Ryan C., & Montgomery D. (1994). The attitudes of Bakewell residents to tourism and numbers in community responsive tourism. *Tourism Management*, 15(5), 358-369.
- Saayman, M., & Giampiccoli, A. (2016). Community-based and pro-poor tourism: Initial assessment of their relation to community development. *European Journal of Tourism Research*, 12, 145-190.
- Sakata, H., & Prideaux, B. (2013). An alternative approach to community-based ecotourism: A bottom-up locally initiated non-monetised project in Papua New Guinea. *Journal of Sustainable Tourism*, 21(6), 880-899.
- Salazar, N.B. (2012). Community-based cultural tourism: Issues, threats and opportunities. *Journal of Sustainable Tourism*, 20(1), 9-22.
- Salafsky, N., & Wollenberg, E. (2000). Linking livelihoods and conservation: a conceptual framework and scale for assessing the integration of human needs and biodiversity. *World Development*, 28(8), 1421-1438.

- Salafsky, N., Cauley, H., Balachander, G., Cordes, B., Parks, J., Margoluis, C., Bhatt, S., Encarnacion, C., Russell, D., & Margoluis, R. (2001). A systematic test of an enterprise strategy for community-based biodiversity conservation. *Conservation Biology*, 15(6), 1585-1595.
- Saufi, A., O'Brien, D., & Wilkins, H. (2014). Inhibitors to host community participation in sustainable tourism development in developing countries. *Journal of Sustainable Tourism*, 22(5), 801-820.
- Schellhorn, M. (2010). Development for whom? Social justice and the business of ecotourism. *Journal of Sustainable Tourism*, 18(1), 115-135.
- Scheyvens, R. (1999). Ecotourism and the empowerment of local communities. *Tourism Management*, 20(2), 245-249.
- Scheyvens, R. (2003). *Tourism for development, empowering communities*. New Jersey: Prentice Hall.
- Scheyvens, R. (2011). *Tourism and poverty*. London, UK: Routledge.
- Scoones, I. (1998). *Sustainable rural livelihoods: A framework for analysis*. IDS working paper 72. Sussex: IDS, University of Sussex.
- Sebele, L.S. (2010). Community-based tourism ventures, benefits and challenges: Khama Rhino Sanctuary Trust, Central District, Botswana. *Tourism Management*, 31(1), 136-146.
- Secco, L., Da Re, R., Pettenella, D. M., & Gatto, P. (2014). Why and how to measure forest governance at local level: A set of indicators. *Forest Policy and Economics*, 49, 57-71.
- Sen, A. (1984). *Resources, values, and development*. Cambridge, MA: Harvard University Press.
- Sen, A. (1985a). Well-being, agency, and freedom (the Dewey lectures). *Journal of Philosophy*, 82(4), 169-221.
- Sharples, R., & Telfer, D.J. (2002). *Tourism and development: concepts and issues*. Clevedon: Channel View Publications.

- Shultis, J., & Heffner, S. (2016). Hegemonic and emerging concepts of conservation: A critical examination of barriers to incorporating Indigenous perspectives in protected area conservation policies and practice. *Journal of Sustainable Tourism*, 24(8-9), 1227-1242.
- Simmons, D.G. (1994). Community participation in tourism planning. *Tourism Management*, 15(2), 98-108.
- Simons, H. (2009). *Case study research in practice*. Los Angeles, CA: Sage
- Simpson, M.C. (2008). Community benefit tourism initiatives: A conceptual oxymoron? *Tourism Management*, 29(1), 1-18.
- Smith, M.D. & Krannich, R.S. (1998). Tourism dependence and residents attitudes. *Annals of Tourism Research*, 25(4), 783-802.
- Smith, M.H., L.J. Beaulieu, and Seraphine, A. (1995). Social capital, place of residence and college attendance. *Rural Sociology* 60(3), 363-381.
- SNDP [Secretariat for the New Development Paradigm] (2014). The new development paradigm (NDP) initiative. Project Completion Report. Available from: http://www.newdevelopmentparadigm.bt/wp-content/uploads/2014/10/NDP_Project_Completion_Report_Sept_2014.pdf
- SNV [Netherlands Development Organization] Asia Pro-Poor Sustainable Tourism Network. (2007). *A toolkit for monitoring and managing community-based tourism*. Gold Coast: Griffith University.
- Snyman, S. (2013). Household spending patterns and flow of ecotourism income into communities around Liwonde National Park, Malawi. *Development Southern Africa*, 30(4-5), 640-658.
- Sofield, T.H.B. (2003). *Empowerment for sustainable tourism development*. Oxford: Pergamon, Elsevier Science.
- Somarriba-Chang, M., & Gunnarsdotter, Y. (2012) Local community participation in ecotourism and conservation issues in two nature reserves in Nicaragua. *Journal of Sustainable Tourism*, 20(8), 1025-1043.

- Southgate, C.R.J. (2006). Ecotourism in Kenya: the vulnerability of communities. *Journal of Ecotourism*, 5(1-2), 80-96.
- Spenceley, A. (2008). Local impacts of community-based tourism in Southern Africa. In A. Spenceley (Ed.), *Responsible tourism: Critical issues for conservation and development*. London: Earthscan.
- Spenceley, A., & Goodwin, H. (2007). Nature-based tourism and poverty alleviation: Impacts of private sector and parastatal enterprises in and around Kruger National Park, South Africa. *Current Issues in Tourism*, 10(2-3), 255-277.
- Spenceley, A., & Seif, J. (2003). Strategies, impacts and costs of pro-poor tourism approaches in South Africa. PPT working paper No. 11. London: Overseas Development Institute.
- Spiteri, A., & Nepal, S.K. (2006). Incentive-based conservation programs in developing countries: A review of some key issues and suggestions for improvements. *Environmental Management*, 37, 1-14.
- Strickland-Munro, J., & Moore, S. (2013). Indigenous involvement and benefits from tourism in protected areas: A study of Purnululu National Park and Warmun Community, Australia, *Journal of Sustainable Tourism*, 21(1), 26-41.
- Stone, L.S., & Stone, T.M. (2011). Communitybased tourism enterprises: challenges and prospects for community participation; Khama Rhino Sanctuary Trust, Botswana. *Journal of Sustainable Tourism*, 19(1), 97-114.
- Stronza, A. (2010). Commons management and ecotourism: Ethnographic evidence from the Amazon. *International Journal of the Commons*, 4(1), 56-77.
- Stronza, A., & Gordillo, J. (2008). Community views of ecotourism. *Annals of Tourism Research*, 35(2), 448-468.
- Stronza, A., & Pegas, F. (2008). Ecotourism and conservation: Two cases from Brazil and Peru. *Human Dimensions of Wildlife*, 13(4), 263-279.

- Suansri, P. (2003). *Community based tourism handbook*. Bangkok: Responsible Ecological Social Tour (REST).
- Sundjaya (2005). Mangrove conservation through ecotourism development by the Bobongko people in the Togeian Islands, Indonesia. In J. Velasquez (Ed.), *Innovative communities: People-centred approaches to environmental management in the Asia-Pacific region* (pp. 182-203). Tokyo: United Nations University Press.
- Svoronou, E., & Holden, A. (2005). Ecotourism as a tool for nature conservation: The role of WWF Greece in the Dadia–Lefkimi–Soufli Forest Reserve in Greece. *Journal of Sustainable Tourism*, 13(5), 456-467.
- Swatuk, L.A. (2005). From project to context: Community-based natural resources management in Botswana. *Global Environmental Politics*, 5(3), 95-124.
- Taylor, H. (2001). Insights into participation from critical management and labour process perspective. In B. Cooke & U. Kothari (Eds.), *Participation: The new tyranny*. London: Zed Books.
- TIES [The International Ecotourism Society]. (2015). TIES Press Release #TIES25: Ecotourism definition and ecotourism principles. Washington, DC: TIES.
- Timothy, D.J. (1999). Participatory planning: A view of tourism in Indonesia. *Annals of Tourism Research*, 26(2), 371-391.
- Timothy, D.J. (2007). Empowerment and stakeholder participation in tourism destination communities. In A. Church & T. Coles (eds), *Tourism, Power and Space* (pp. 199-216). London and New York: Routledge.
- Timothy, D.J., & White, K. (1999). Community-based ecotourism development on the periphery of Belize. *Current Issues in Tourism*, 2(2-3), 226-242.
- Tosun, C. (1999). Towards a typology of community participation in the tourism development process. *International Journal of Tourism and Hospitality*, 10, 113-134.

- Tosun, C. (2000). Limits to community participation in the tourism development process in developing countries. *Tourism Management*, 21(6), 613-633.
- Tosun, C. (2006). Expected nature of community participation in tourism development. *Tourism Management*, 27(3), 493-504.
- Tosun, C., & Timothy, D. (2003). Arguments for community participation in tourism development. *Journal of Tourism Studies*, 14(2), 2-11.
- Trudeau Poskas, D.A., & Messer, C.C. (2015). Investigating leadership applications in tourism: A case study of leadership in community tourism. *Journal of Teaching in Travel & Tourism*, 15(2), 186-198.
- UN [United Nations]. (2014). Millennium Development Indicators: World and regional groupings. Available from <http://mdgs.un.org/unsd/mdg/Resources/Static/Data/Regional%20groupings.doc>
- UNWTO [United Nations World Tourism Organization]. (2001). *The British ecotourism market*. Madrid: UNWTO.
- UNWTO [United Nations World Tourism Organization]. (2005). *Making tourism more sustainable - A guide for policy makers*. Madrid: UNWTO.
- UNWTO [United Nations World Tourism Organization]. (2012). *Compendium of best practices and recommendations for ecotourism in Asia and the Pacific*. Madrid: UNWTO.
- Varella, P., Javidan, M., & Waldman, D. (2005). The differential effects of socialized and personalized leadership on group social capital. *Monographs in leadership and management*, 3, 107-137.
- Velasquez, J. (2005). *Innovative communities: people-centred approaches to environmental management in the Asia-Pacific region*. Tokyo: United Nations University Press.
- Vermaak, J. (2009). Reassessing the concept of „social capital“: considering resources for satisfying the needs of rural communities. *Development Southern Africa*, 26(3), 399-409.

- Wall, G. (1996). Towards the involvement of indigenous peoples in the management of heritage sites. In M. Robinson, N. Evans, & P. Callaghan (eds), *Tourism and Cultural Change*, proceedings of a conference *Tourism and Culture: towards the 21st Century* (pp. 311-320). Northumberland: Centre for Travel & Tourism, Northumberland.
- Wallace, G.N. (1996). Toward a principled evaluation of ecotourism ventures. *Yale School of Forestry and Environmental Studies Bulletin*, 99, 119-140.
- Wallerstein, N. (1992). Powerlessness, empowerment, and health: Implications for health promotion programs. *American Journal of Health Promotion*, 6, 197-205.
- Walpole, M.J., & Goodwin, H.J. (2001). Local attitudes towards conservation and tourism around Komodo National Park, Indonesia. *Environmental Conservation*, 28(2), 160-166.
- Walpole, M.J., Goodwin, H.J., & Ward, K.G.R. (2001). Pricing policy for tourism in protected areas: Lessons from Komodo National Park, Indonesia. *Conservation Biology*, 15(1), 218-227.
- Walter, P. (2011). Gender analysis in community-based ecotourism. *Tourism Recreation Research*, 36(2), 159-168.
- Wang, C.C., Cater, C., & Low, T. (2016). Political challenges in community-based ecotourism. *Journal of Sustainable Tourism*, 24(11), 1555-1568.
- WCCD [World Commission on Culture and Development]. (1995). *Our creative diversity. Report of the World Commission on Culture and Development*. Paris: UNESCO.
- WCED [World Commission on Environment and Development]. (1987). *Our common future*. Oxford: Oxford University Press.
- Wearing, S., & McDonald, M. (2002). The development of community-based tourism: Re-thinking the relationship between tour operators and development agents as intermediaries in rural and isolated area communities. *Journal of Sustainable Tourism*, 10(3), 191-206.

- Wearing, S., McDonald, M., & Ponting, J. (2005). Building a decommodified research paradigm in tourism: The contribution of NGOs. *Journal of Sustainable Tourism*, 13(5), 424-437.
- Weaver, D. B. (2001). *Ecotourism*. Milton: John Wiley & Sons.
- Weaver, D.B. (2005). Comprehensive and minimalist dimensions of ecotourism. *Annals of Tourism Research*, 32(2), 439-455.
- Weaver, D.B. (2010). Community-based tourism as strategic dead-end. *Tourism Recreation Research*, 35(2), 206-208.
- Weber, L.R., & Carter, A. (2003). *The social construction of trust*. New York, NY: Plenum Publishers.
- Weiler, B., & Ham, S.H. (2002). Tour guide training: A model for sustainable capacity building in developing countries. *Journal of Sustainable Tourism*, 10(1), 52-69.
- Weinberg, A., Bellows, S., & Ekster, D. (2002). Sustaining ecotourism: insights and implications from two successful case studies. *Society & Natural Resources*, 15(4), 371-80.
- Wells, M., & Brandon, K. (1992). *People and parks: liking protected areas management with local communities*. Washington D.C: World Bank/WWF/USAID.
- West, P. (1991). *Resident peoples and national parks: Social dilemmas and strategies in international conservation*. Tucson: University of Arizona Press.
- West, P., Igoe, J., & Brockington, D. (2006). Parks and peoples: the social impact of protected areas. *Annual Review of Anthropology*, 35(1), 251-277.
- West, P., & Carrier, J. (2004). Ecotourism and Authenticity: getting Away from it All? *Current Anthropology*, 45, 483-491.
- Wheeller, B. (2006). The king is dead: Long live the product: Elvis, authenticity, sustainability and the product life cycle. In R.W. Butler (Ed.), *The*

tourism area life cycle: Applications and modification (pp. 339–347). Clevedon: Channel View Publications.

White, D. (1993). Tourism as economic development for native people living in the shadow of a protected area: A North American case study, *Society & Natural Resources*, 6(4), 339-345.

Whitford, M., & Ruhanen, L. (2016) Indigenous tourism research, past and present: Where to from here? *Journal of Sustainable Tourism*, 24(8-9), 1080-1099.

Willis, K. (1995). Imposed structures and contested meanings politics of public participation. *Australian Journal of Social Issues*, 30(2), 211-227.

World Bank. (2002). *Empowerment and poverty reduction: A Sourcebook*. Washington, D.C.: The World Bank.

Wunder, S. (1999). Promoting forest conservation through ecotourism income? A case study from the Ecuadorian Amazon region. Occasional paper No. 21. Jakarta: Center for International Forestry Research.

WWF [World Wildlife Fund]. (2001). *Guidelines for community-based ecotourism development*. Gland: WWF International.

Xu, J., Lü, Y., Chen, L., & Liu, Y. (2009). Contribution of tourism development to protected area management: Local stakeholder perspectives. *International Journal of Sustainable Development & World Ecology*, 16(1), 30–36.

Yeboah, T. (2013). Assessing community participation in selected ecotourism projects in the Brong-Ahafo Region, Ghana. *Journal of Ecology and Natural Environment*, 5(7), 133-143.

Zanotti, L., & Chernela, J. (2008). Conflicting Cultures of Nature: Ecotourism, Education and the Kayapó of the Brazilian Amazon. *Tourism Geographies*, 10(4), 495-521.

Zapata, M.J., Hall, C.M., Lindo, P., & Vanderschaeghe, M. (2011). Can community-based tourism contribute to development and poverty alleviation?

Lessons from Nicaragua. *Current Issues in Tourism*, 14(8), 725-749.

Zhang, H., & Lei, S.L. (2012). A structural model of residents' intention to participate in ecotourism: The case of a wetland community. *Tourism Management*, 33 (4), 916-925.

초 록

커뮤니티 관광을 촉진하거나 저해하는 요인들은 다양하게 존재한다. 이러한 요인들은 선진국과 개도국에서 다르게 나타나는데, 이 연구는 68개의 사례연구를 대상으로 콘텐츠 분석을 실시하여 개도국 내 커뮤니티 관광의 구체적인 성공 요인과 장애 요인을 도출하였다. 연구결과, 사례연구에서 발견된 25개의 외부 요인과 52개의 내부 요인들이 잠재적으로 모든 개도국들에 적용가능하며, 선행연구에서 밝혀진 요인 / 모델 / 체계와 대체로 일치한다. 이 연구는 선행 연구의 모델/체계의 미비점을 보완하며 보다 완성된 체계를 구축하기 위하여 일부 요인을 추가하였다. 연구 결과를 바탕으로 커뮤니티 관광의 개발을 촉진하거나 저해하는 요인들을 평가할 방법론을 개발하였으며, 이는 커뮤니티 관광 개발 사례들을 비교할 뿐만 아니라 서로 다른 요인들의 관계를 통계적으로 분석할 수 있는 체계를 제공한다.

주요어: 장애요인, 촉진요인, 저해요인, 한계, 성공요인, 커뮤니티 관광, 개발도상국

학 번: 2015-30768

Appendices

Appendix 1. Definition of external and internal factors

The external factors are those that affect directly the community and its CBT initiative, but the community has very little or no influence to control them. They are external to the community, which means that they originate outside the community but affect positively or negatively the community itself. The actors that control external factors are governments, NGOs, private sector enterprises, educational organization and other organizations that are not part of the community.

The external factors can be operational or structural (Tosun, 2000). While the former can be easily affected and changed by aspect such as change of government personnel, decisions made by government officials or NGO workers, the latter is much more rigid and difficult to change and usually requires policy change, change of priorities of a government or aid organization.

The role of government and NGOs as primary stakeholders in CBT cannot be underestimated due to their administrative role in formulating and/or influencing policies, fiscal issues, as well as decision making and support with respect to development, management and conservation of resources (Moswete et al., 2012). The state has the ability or authority to implement rules and establish criteria for rule making for

other organizations in a specific area, as well as to redistribute resources, and to include and exclude specific groups from power structures (Hawn & Tison, 2015). There it is the state, and to certain extends non-governmental organizations, that have the power to accommodate or ignore the needs and priorities of small communities by showing indifference, creating obstacles or supporting CBT initiatives.

On the other hand, the internal factors are those that can be controlled directly by the community, although not necessarily are they easy to change. Similar to the external factors, the internal ones can be classified into two categories: operation and structural. Operational factors are related with the operation and management of the initiative, information it receives and cooperation and partnerships it establishes with other stakeholders. The structural factors are those that are rooted deeper in the community and therefore more difficult to be affected or changed. In that group are factors such as cultural conflicts, capacities of the community, power relations inside the community and control over the land and resources.

1. Human capital factors

Skills and education

(No) skills and expertise in areas required for operation of tourism:

Lack of skills and expertise in areas required for operation of tourism is one of the most commonly cited barriers for CBT (Björk, 2007). For communities to be able to participate in tourism including decision making, a set of skills required for that has to be developed including understanding of tourism and its characteristics (Lai & Nepal, 2006; Tosun & Timothy, 2003).

Education and training are key components of capacity building. Besides tourism and hospitality management there is a shortage of management skills (e.g. Gascón, 2013; Jamal & Stronza, 2009; Kontogeorgopoulos et al., 2014; Pawson et al., 2017; Rozemeijer, 2000; Sebele, 2010; Sundjaya, 2005), financial management (e.g. Nelson, 2004), negotiation (e.g. Ogutu, 2002), marketing (e.g. Gascón, 2013; Rogerson, 2004; Sebele, 2010; Sundjaya, 2005), planning and decision making (e.g. Clements et al., 2008; Gascón, 2013; Collins & Snel, 2008), and cross-cultural and language skills to deal with foreigners.

Salafsky et al. (2001) found that simple enterprises that use skills and technologies that community members already possess are the most likely to be viable. However, Kiss (2004) adds to that, stating that this can apply to tourism support services, such as guiding or

handicrafts, but not to the community-ownership model that requires new skills that community usually does not possess. For this reason, training and capacity building are time consuming and often they take years to achieve satisfactory results in terms of independent operation of tourism (Dodds et al., 2016). Despite the time requirements, capacity building is considered one of the most important aspect leading to full empowerment of communities (Moscardo, 2005; Scheyvens, 1999). The empowerment, or increased social capital, is the ultimate goal that opens doors to community self-awareness, management without external support and autonomous decision making.

Marketing skills: Marketing is an essential factor for CBT success (Dodds et al., 2016). Lack of marketing skills is one of the elements that CBT initiatives are not able to attract sufficient number of visitors and the desired type of visitors to earn break-even profits (Mtapuri & Giampiccoli, 2013). Marketing therefore is an area of a CBT business that can be expanded through partnerships with outside private tour operators or travel agencies.

Knowledge and awareness

(No) clarity about tourism, its costs and benefits and ways in which communities could participate: The lack of access to information or “information disempowerment refers to the selective dissemination of tourism-related information by local leaders, resulting in residents’ failure to be aware of or completely understand important information and thus leaving them unable to benefit from making correct decisions” Han et al. (2014: 726). It also refers to understanding and awareness of residence about tourism opportunities and its costs and benefits that has important implications for the level of meaningful participation (Bello et al., 2016; Moswete, Thapa, & Lacey, 2009; Sharpley & Telfer, 2002). This has been observed and documented in the also in the literature dealing with tourism in protected areas (e.e. Ashley & Jones, 2001; Stone & Stone, 2011). Increased awareness of tourism and knowledge about the ways of participation improves tolerance of its impacts and gives to communities an opportunity to accept or reject the activity in an informed way.

In many places the lack of understanding of lack of clarity about tourism leads to missed opportunities or disappointments and failure of the entire initiative in the consequence. Sharpley and Telfer (2002) give an example of South Pacific islanders that fail to understand why anyone would be interested to visit their village or other example of an initiative

that failed to attract visitors because the community believed that it is enough to build a traditional accommodation.

In some cases, the lack of knowledge may concern the ways of participation or in other words the opportunity is being lost because the community is not able to see how they could participate (Joppe, 1996). In this vain, Nault and Stapleton (2011) give an example of case studies in Costa Rica and Peru, showing that the low level of awareness among residents about opportunities in tourism resulted in little locally initiated entrepreneurship and thus fewer benefits from tourism. This can be because the information about tourism is not disseminated to them or it is disseminated but in a way that is not understandable to them (Chili & Ngxongo, 2017; Wang et al., 2016), or because the more powerful individuals keep that knowledge to themselves.

No or limited knowledge about community's own rights: This aspect is especially important and relevant for indigenous communities whose rights have been recognized by the government, but who do not understand how to exercise them. The recognition, allocation, and respect of cultural rights as an extension of human rights is at the core of sustainable development and the SDGs (Sustainable Development Goals). Community rights can take different shapes and meanings. Beginning from a simple right to be consulted about any outside activity

carried out on their land (for example indigenous communities in Colombia) to the right of many communities to own communal land and the right to manage resources (e.g. Anand et al, 2012; Nelson, 2004). A community that does not understand their right is often manipulated and taken advantage of by external stakeholders. As noted by Robinson (1999), the allocation and protection of rights and the promotion of ‘cultural democracy’ (WCCD, 1995: 240), backed up by the transfer of natural, financial and intellectual resources are key elements for ensuring protection of biodiversity and quality of human life.

(No) Awareness of the importance of current tourism resources:

Awareness of the importance of current tourism resources is a first step in understanding of the value of natural and cultural resources for development of tourism products. It is common that communities that possess little experience of tourism fail to recognize the reasons why visitors would be interested to visit their area. For example, a community living near Ao Phang Nga National Park in Thailand, aware that coral reefs and mangroves are among the natural resources that can potentially attract a lot of tourists, developed a range of products that cater to that demand (Jitpakdee & Thapa, 2012). In that vein a community in Gambia realized that further mangrove conversion to agricultural land would jeopardize birdlife in the area, and in

consequence their aspiration of tourism. A significant proportion of ecotourists in the country are likely to be birdwatchers because of the ornithological significance of the River Gambia (Jones, 2005). Kontogeorgopoulos et al. (2014) reports a case in Thailand where a local community recognized the landscape features and convenient location of the village as assets that can have a great value for tourism. Knowledge about the market and resources that are of major interest to them is crucial in tourism business.

2. Political and institutional capital

Policies and legislation

(Poor or) (in)adequate government policies / Overlapping legal land use rights: The government's lack of policies favoring local participation in tourism is a common barrier for successful CBT in many developing countries (Tosun, 2000). The lack of policy direction has been identified as a limitation for CBT destinations around the world such as Tanzania (Charnley, 2005; Nelson, 2004), Kenya (Ogutu, 2002) or Indonesia (Saufi et al., 2014).

The lack of adequate policies is often influenced by government's expectations of large-scale tourism development and anticipated foreign investment (Long & Wall, 1996; Saufi et al., 2014). This has been the case in China where local communities were

disempowered from participation by government agencies instituting systematic restrictions and regulations to increase the cost and difficulty of resident participation in local tourism industry (Han et al., 2014). It can be achieved through setting and/or raising policy thresholds for participation, with legislation, regulations, and policy directives to establish procedural impediments which increase the cost of local residents' participation (Han et al., 2014).

Therefore, it is vital that the government develops a policy framework that guides implementation and management of CBT activities (Parry & Campbell, 1992), with an active participation of all relevant stakeholders (Moswete et al., 2012; Yeboah, 2013). In many cases the policies are present, but they lack of instances through which communities could participate in tourism development (Dodds et al., 2016). In other words, they say that community participation should take place but they are not precise on how exactly it can be carried out.

An example of this kind of policies are Colombian 'The ecotourism development policy' (MCIT, 2003) and 'Community-based tourism development policy' (MCIT, 2011). The involvement of local communities is outlined as an explicit action, but the design of the instruments has many structural limitations on participation. There is no reference to the need to involve communities in the policy design stage. The instances proposed by the policies do not involve all the parties that

may be affected by or may benefit from the decisions made about the use and exploitation of natural resources for ecotourism.

Good CBT policies should offer something more than just promises and vague statements about the importance of participation. Well-designed regulations and policies should provide a framework to facilitate meaningful community participation and create conditions to support the successful implementation of CBT initiatives. The studies by Hampton (1998), Kamsma and Bras (2000) emphasize the importance of policy development to encourage small-scale business and support community participation by giving them access to decision-making and benefits from tourism.

Excessive formality and bureaucracy in the processes of community involvement: Centralization of public administration of Tourism often leads to slow and complex bureaucratic action from the government agencies. Centralization of decision making and financing has stifled public participation in planning (Tosun, 2000). The objective of centralization is to reach the goals of the central government that are often conflicting with goals of local communities. However, decentralization alone does not solve bureaucracy and sluggish administration. In cases when the administration is already decentralized, the system is often too bureaucratic and politically driven to respond to

public needs effectively and efficiently, which is clearly shown in the case study of Chili and Ngxongo (2017) in South Africa. Similarly, a complex bureaucratic and political process in a case study of Tanzania was the reason for inability of private tour operator to cooperate with a community in a CBT initiative (Charnley, 2005).

Legal sustainable use of natural resources provided by the area:

This factor is a common reason for difficult situation of communities in protected areas that cannot use the resources within their frontiers. Restrictions of legitimate resource-usage rights without compensations to local communities threatening community's sovereignty and cultural identity (White, 1993), and generate local hostility towards the authorities (Jim & Xu, 2002, Wells & Brandon, 1992). Often the park authorities forbid activities that traditionally have been carried out by the communities for very long time (e.g. hunting or farming). The common extreme conservationist approach (by some considered eco-fascist) in PA management in many developing countries recognizes communities and tourism as the principle threat to biodiversity. This point of view, however, may be confining certain ethnic and cultural populations to poverty (Robinson, 1999). If communities are confronted with a prohibition of use of key natural resources, which traditionally provided them with means of their subsistence, they should be offered

an alternative that does not push them into poverty. The failure to include the social and cultural consent into the sustainable tourism equation is a product of fear that it may produce outcomes that do not correspond with the expected environmental standards (Butcher, 1997).

Conflict between traditional resource use practices with conservation objectives of the protected area: In areas that are under conservation plans, such as protected areas natural reserves, or areas of special management, the strategies designed to protected biodiversity may conflict with the development aspirations of local communities (Robards et al., 2011; Sakata & Prideaux, 2013). Each of the area of conservation has different regulations in terms of activities and human consumptive uses. Often local livelihoods are believed to be in conflicting relation with conservation and therefore they are highly restricted impeding local economic development (West et al., 2006). When resource consumption is prohibited within the PA, the high dependence on resource consumptive activities may also have adverse effect on resources surrounding the area, as demands intensify due to a shrinking resource base (Parry & Campbell 1992; Durbin & Ralambo 1994). The most common activities that are restricted in most areas of conservation are hunting of wild animals, using wood for firewood, farming ad clearing land for farming, and animal grazing. High

dependence on natural resources might also have a negative effect on tourism itself that is based on supply of pristine landscape, biodiversity of animal and plant species.

Political support

(No) political commitment to support community-based tourism:

Lack of political commitment happens due to a variety of factors described below. Some of the factors are reasons for the lack of commitment, some of them are results of that lack of commitment and some of them can be both.

- Primacy of economic interests over local interests
- Inequities and injustices related to the distribution of government resources to tourism
- Discontinued accompaniment or instability of the process due to fluctuating institutional interests
- Primacy of economic interests over conservation
- Political pressure on the community over the control of tourism and benefits received from the activity
- Lack of government interest in remote regions

In modern democratic government, elected representatives have failed to represent the needs and aspirations of grassroots and at least significant segments of communities have feelings of alienation towards

governmental decision-making (Tosun, 2000). Historically, local development has been largely controlled and defined by private entrepreneurs that make market driven economic decisions supported by local policies developed to cater to the needs and expectations of those entrepreneurs who bring significant benefits in terms of jobs and taxes (Reed, 1997), and sometimes infrastructure. In this way, local government may provide support to developers through favorable zoning or building bylaws or, in some cases, they go a step further and lobby senior governments. As Qiu & Xu (2004 cited in Han et al., 2014) note in the case of China, local governments have primary interests in gaining political influence and economic interests in the form of local taxes. A consequence is often not beneficial for local communities and small scale tourism, but they do favor development of resorts and bigger hotels. Even when governments make decisions that favor a community, it frequently benefits dominant segments of the community and discriminate underrepresented groups (Garrod, 2003). Inequities and injustices related to the distribution of government resources to tourism are commonly reported. The problem can further escalate if both approaches to tourism development not only compete for the tourist, but also for the rights to land and attractions.

Peripherality is a common issue for many remote communities not only to access the markets, but even to gain local government's

interest and financial and administrative support. Because of the small number of people and remoteness of the location, the investment needed to be made overshadows the benefits perceived by the government. Therefore, such areas are viewed by leaders as unimportant and secondary for immediate action (Sharpley & Telfer, 2002). Peripherality is also a factor in national-level policy development that more often than not suit the areas of primary concern for the national government and are often unaligned with the needs and priorities of distant communities (Timothy & White, 1999).

Primacy of private interests over local interests / Corruption of government officials: As noted by Han et al. (2014) in the case of China, gaining political influence is one of the principle objectives of local officials who struggle to gain power and advance in highly hierarchical ladder of positions. Because the owners of large enterprises are often affiliated with senior officials at the municipal and provincial level, favoritism of local officials towards influential investors is common. In consequence of this, they gain personal political influence and economic interests in the form of local taxes (Han et al., 2014).

Corruption of government officials and community elites is a common view in developing countries. In some countries it is considered the main obstacle for competitiveness and development of tourism (e.g.

Poshi, 2017). Corruption is what is inhibiting infrastructure and promotions and, therefore, affecting tourism. It can increase the cost of doing business and put up barriers to investment in the tourism sector (Tosun & Timothy, 2001). Corruption does not only affect the developers of tourism, but also tourist behavior. If a country practices bribery and fraudulent business practice, this can damage its social and cultural image and impede its tourism competitiveness (Das & Dirienzo, 2010).

(No) recognition of the importance of community participation:

For community to receive support from local authorities, the government professionals have to recognize the value of CBT for local development. Saufi et al. (2014) notes that that locals' willingness to participate in tourism development is still highly reliant on government stimulus. Therefore, the goodwill and expertise of tourism officials are critical antecedents to the stimulation of destination residents' participation in tourism development (Cole, 2006; Timothy, 1999).

No tourism leadership from within the community / Effective individual leadership: The role of individual leaders in tourism development is one of the key factors for success of an initiative that is often neglected in the CBT literature (Kontogeorgopoulos, 2014). However, some authors recognized its value and defined it as an important factor in success of CBT (e.g. Aref & Redzuan, 2009;

Armostrong, 2012; Jamal & Getz, 1995; Kontogeorgopoulos et al., 2014; Mustapha, Azman, & Ibrahim, 2013) or one of the main barriers (Honggang, Sofield, & Jigang 2009; Moscardo, 2008; Scheyvens 1999).

An organization leader should have capacity to organize and manage operations, develop policies and plans, promote tourism and interact with locals as well as other stakeholders in the area (Reed, 1997). Blackman et al. (2004) argue that successful CBT programs require an individual ‘champion’ to motivate members of the community, provide information, and serve as a bridge between the community and external actors. Indeed, charismatic leaders are capable of developing effective, or ineffective, relationships with their followers (Trudeau Poskas & Messer, 2015). They also have a great impact on decision and community’s engagement, which is critical to the growth of networks, or social capital in their communities (Varella, Javidan, & Waldman, 2005).

Governance processes

Unhealthy and/or vertical relationship with assistance providing institutions / Healthy and on an equal footing relationship and coordination with assistance providing institutions: The vertical relationship with the community stems from the difference of power among different stakeholders and the attitudes of stakeholders that hold that power. In some cases, also cultural factors influence the type of

relationship that community have with government institutions. For example, in societies with heavily centralized political structure such as Indonesia (Timothy, 1999) the government hold the power and makes all decisions and it would not be appropriate for communities to take initiative (Reisinger & Turner, 1997). Those stakeholders that hold less power are treated with less consideration and are often exploited for the benefit of more powerful stakeholders. Because power is viewed as an instrument to be managed and balanced, it is possible to address the issue of power and authority by including legitimate stakeholders and an organization (government or an NGO) that could serve as a convener (Jamal & Getz, 1995).

(No) involvement of community stakeholders in the tourism planning stage / (No) Involvement of traditional, local and national authorities in the planning process: Cole (2006) indicates that in many developing countries, community participation is constrained by institutional factors such as centralized decision-making processes, unwillingness by tourism planners to include destination residents in decision-making. Hierarchical institutional structures and development process controlled by elites should be replaced by more democratic, two-way planning process (Brohman, 1996). Planning is about making difficult choices about the distribution of costs and benefits of

development, thus it must be based on social consensus if the decisions are to be accepted by the diverse parties affected by it. The tourism planning, therefore, should be made accountable to local, democratically elected bodies (e.g., municipal, regional, and indigenous councils) (Brohman, 1996).

Private, NGO and government partners may be eager to initiate the processes of building capacity and planning for tourism from the very beginning. This, however, should work within a context of respecting local leaders, local processes for making decisions, local institutions and local knowledge (Jamal & Strozna, 2009). It will take more time as the framework is not well known to the external stakeholders and it requires more coordination and agreement of many parties.

No regulation enforcement: The lack of regulation enforcement is seen as one of the main obstacles for development in general. There are generally three main causes of no enforcement, the first one is related to the lack or limited financial resources to enforce regulations, the second one is related with ineffective public administration that is too slow and bureaucratic, while the last one happens due to corruption and political arrangements. The results of good regulation presence and consequently enforcement of the rule of law has an important impact on

social and economic development, providing justice for citizens, preventing conflicts, crime and violence, reducing corruption, strengthening accountability, enhancing the fair allocation of services and protecting environment and natural resources (Berg & Desai, 2013).

Exclusion of the community from management / Co-management / Representation in the management of protected area:

Exclusion of the community from management of the resources and decision-making is a common factor leading to conflicts between organizations officially in charge (especially in PAs) and local communities (Moswete et al., 2012). It might also lead to a loss of control over the industry and revenue from the activity for the benefit of tourism companies and migrant tourism vendors who dictate how the local culture is represented to visitors (Nyaupane et al., 2006). As previously described in Chapter 2, a meaningful role in management and decision making is an important step into community empowerment. In areas such as PAs where management is in hands of the government, collaboration between the government, communities and other stakeholders, present an opportunity to reach consensus that brings benefits to all parties involved.

Collaboration according to Getz and Jamal's (1994: 5) adaptation of Gray's (1989) definition is "a process of joint decision making among

autonomous and key stakeholders of an interorganisational domain to resolve problems of the domain and/or to manage issues related to the domain". Collaboration and continuous, integrated planning, modeled as an interactive system, are recommended for management of tourism in natural areas (Gunn & Var, 2002). Such a systems approach enables an understanding of tourism and biodiversity conservation as systems of interrelated and interactive components (Christ et al., 2003). Integrating tourism into traditional park functions is not an easy option, due to financial constraints and the complexity of the destination domain. Therefore, collaboration seems to be a better solution for achieving beneficial goals for all parties involved.

Nonetheless, the popularity of this kind of arrangements is increasing worldwide, with many national parks being jointly managed by the government and indigenous people (Bauman & Smyth, 2007). Few examples described in the international literature include Uluru, Kakadu and Garig Gunak Barlu National Parks in Australia (Strickland-Munro & Moore, 2013). In developing countries, the co-management arrangements have been reported in Richtersveld National Park that is the first national protected area that is wholly owned by a local rural community and managed by South African National Parks through a joint management committee (Collins & Snel, 2008). In some cases, the communities were given full independence in management, but not the

ownership, of a PA or part of it. For example, a community in Cambodia is managing 4,390 of the total of 25,780 hectares of land in Kulen Promtep Wildlife Sanctuary (Clements et al., 2008).

No clear objectives for tourism development / contradictory objectives are provided: The tourism as an industry is a very important sector to the different organizations involved in its development. Each organization has different objectives and these can be classified as follows: Economic, environmental, socio-cultural and political. In cases when a CBT initiative is supported by various actors at the same time (different governmental bodies, private companies or NGOs and educational institutions) a conflict of interests may arise leading to different visions being promoted by different organizations that are not compatible.

(No) mechanism for distribution of profit: Lack of mechanism to secure fair distribution of benefits is a common factor that contributes to a failure of CBT (Coria & Calfucura, 2012; Simpson, 2008). If a community does not have any mechanism in place, the uneven distribution of benefits is more likely to happen dividing the community and causing conflicts. The mechanisms can vary from rotation of work, distribution of work by families to setting prices for products and services sold by the community or establishment of a collective community fund for public

benefits (Borges Lima & d'Hauteserre, 2011).

Decisions are dependent upon the proposals of external agents / Independence in the decision making process: One of the most common barrier for success of CBT is lack of community participation in the decision making and management of tourism. In many cases when the communities participate, the most of the decision are made by outsiders (Zanotti & Chernela, 2008). According to the levels of participation described in Chapter 2 it corresponds with one of the three or even four lowest level of participation called “manipulation”, “therapy”, and “informing” by (Arnstein, 1969) or “Manipulative participation”, “Passive Participation”, and “Participation by consultation” by Bass et. al. (1995) and Pretty (1995).

As previously mentioned in Chapter 2.2, the power of external agents in terms of knowledge, funds, and political connections is much greater than power of communities. Moreover, if the associational or community cohesion is absent or weak, external interests appeared more likely to prevail over the interests of more marginalized groups (Hall, 2013). In that case, most decisions are dependent upon the perceptions and proposals of external agents such as government, private companies or even NGOs. “The independence of community participants can facilitate the tourism planning process to be conducted in a more

unbiased way without any influence from the sponsoring authority, planning agency or other stakeholders” (Bello et al., 2016: 8). To achieve that independence, however, a community must be able to understand tourism and usually requires capacity building to be able to decide independently. Without it, a legitimate and authoritative facilitator is required to assist the community (Jamal & Getz, 1995). NGOs often become intermediaries between the powerful stakeholders and rural and isolated area communities.

Decisions are made by community elites / Participative decision making / Community governance structure disadvantages one or more groups: The problem of elites dominating decision making and development and management of tourism in small destinations has been already mentioned in Chapter 2.2 in relation to power distribution within one community. Scheyvens (2002) pointed out the dominating role of local elites in community-based development efforts that monopolize the benefits of tourism. The dominance by elites coupled with the loss of livelihood resources may lead to the resentment of the tourism initiative, and finally lead to its failure (Sebele, 2010).

Creation of a tourism committee or organization to manage tourism locally is usually a recommended step to achieve local management and empowerment (Epler Wood, 1998; Jamal & Getz, 1995;

Wearing & McDonald, 2002). If the associational or community cohesion is absent or weak, elite interests appeared more likely to prevail over the interests of more marginalized groups (Hall, 2013; Knight & Cottrell, 2016). In consequence, the members of such organization are usually the representatives of local elites that may or may not discriminate certain groups within the community. In case of initiatives that are supported by external organizations usually a new community organization is created to make sure that it represents all major groups from the community and not only the elites. This is usually not easily accepted by elites because it requires a transfer of power, from those who had major decision-making roles (elites) to those who traditionally have not had such a role (Willis, 1995).

According to Tosun (2000), on the island of Java the power is centered on a single ruler, who personifies the solidarity of society. Similar to the case of Solomon Islands the ruler or group, by nature makes decisions for the good of everyone. Common people have little choice but to accept that leadership arrangement. A disagreement would be disrespectful and would bring humiliation upon the source of authority (Moedjanto, 1986 cited in Sharpley & Telfer, 2002). In this respect, a strong hierarchy within the community that is not challenged can be either positive or negative for success of CBT and it solely depends on those who are on top of it - the leaders.

(No or poor) control over land and resources: Although control over land and resources is highly related to control over tourism activities in the area, these two aspects are not the same, especially when taken in a context of protected areas. While community usually do not have control over land and resources in PAs, they might have full control over tourism activities including accommodation and products offered to tourists.

When communities do not have ownership over the natural resources and land that are owned by outsiders, locals are limited by the owners. The limitations not only concern the operation in the area but more importantly the difficulties in building infrastructure on land they do not own and attracting capital to build the facilities and infrastructure that is necessary for tourism development. Coria and Calfucura (2012) agree that sometimes communities can participate in CBT initiatives in the absence of secure land tenure, but this outcome depends on a number of other favorable conditions and in reality the lack of community control prevents communities from investing.

(No or poor) control over tourism activities in the area: The issue of control is CBT is one of the core matters for its success (Saayman & Giampiccoli, 2016). Whoever controls tourism can decide over its scale, speed and type of development. Local communities have little

influence or power over uncontrolled tourism development unless they can self-mobilize and increase their control by learning the politics of tourism development (Tosun, 2005). If community is in control, it can manage it according to its needs and priorities. A community that is in control of tourism can decide if they accept external businesses such as tour operators and accommodation providers and on what conditions. They can protect their market and decide the rules that have to be obeyed by all tourism providers. High level of control is rare and it is usually only possible to achieve in the initial stage of tourism development in small communities, often indigenous, that have either or both the formal control over the area given by the law or high level of integrity that gives them legitimacy in resistance to outsiders.

Conflict between tourism and other economic activities in the area / Tourism is not the only economic activity, it complements other activities and it is not in conflict with them: “The way in which tourism complements or conflicts with existing activities has emerged as a key theme in community and household discussions” (Ashley, 2000: 17). The implementation of tourism as a new economic activity is not always a smooth process. The new activity usually requires land and resources that are often used for other activities / uses in a community. Therefore, sometimes tourism comes in competition with those uses. When areas

are set aside for exclusive tourism/wildlife use, residents may lose access to key resources including grazing for livestock and plant resources for harvesting (Ashley, 2000). In this vein, Nabane (1995) gives an example of Lianshulu community in Namibia where women were very concerned when they heard about the men's plans for a community campsite, because the proposed site was an important area for harvesting water lilies (a drought food), reeds (for weaving), and other riverine resources.

The episodic nature of tourism brings about a concern of unsteady cash flow to a community that might not be sustainable in a long term. It creates a dependency on tourism activity that can be very seasonal and susceptible to fluctuations based on the demand being often vulnerable to external conditions and events that the community cannot control (Velasquez, 2005). A steady, diversified, income base may be a more viable strategy for minimizing that issue within the community (Hernandez Cruz, 2005; Zanotti & Chernela, 2008). Therefore, it is absolutely essential that communities do not adopt tourism as a major engine of economic growth at the expense of their traditional means of income generation (Velasquez, 2005).

There is also a financial management reason for economic diversification. As in every business, the time between the inception and first returns of investment can reach few years and the community have to make sure that they have supplemental income-generating activities

to sustain their livelihoods. In that way their financial sustainability and funding from outside agencies are more easily attainable (Dodds et al., 2016).

Conflict within the community over land and/or resources:

Programmes aiming at support the community in CBT development often overlook the fact that village social relations are based on conflict and competition, which, in turn, can lead to negative environmental and equity outcomes (Gray & Moseley, 2005). An internal conflict over land and/or resources can be a cause or result of a division within a community and lack of cohesiveness. Therefore, it is important to conduct an analysis of land rights before an inception of any community based initiative. If these issues can be resolved, there is a higher chance to avoid potential conflicts with a community.

Formal Institutions

(No or discontinued) technical cooperation: CBT models has been widely promoted by governments, developments agencies, donors, and NGOs since its creation (Zapata et al., 2011). More than 40% of CBT initiatives surveyed in Latin America by Jones and EplerWood (2008) were launched and supported by NGOs. These enablers of CBT are essential in developing successful CBT (Dodds et al., 2016). Because of

the crucial role played by organizations providing technical support, the effectiveness of the organization in meeting the intended objectives is the key to success of CBT and in the same way is often the key to their failure (Zapata et al., 2011). Although the external assistance may increase disagreements over the nature of the decision-making process (Nault & Stapleton 2011), it is clear that for CBT to develop in the long term, backing and collaboration is necessary whether it be from the non-governmental organizations (NGOs), governments and other agencies, including private sector, is essential (Beeton, 2006; Mtapuri & Giampiccoli, 2013; Okazaki, 2008).

Technical support and cooperation does not focus only on capacity building and financial support, but also includes institutional support when the external organization plays a role of a broker between the community and government or private stakeholders in the area. NGOs working at community level can facilitate the process of local decision-making and implementation in ways that enable residents to adapt their own plans to their priorities or to voice their priorities to others (Ashley, 2000).

Provision of capacity building / Long-term presence of a local NGO / supporting organizations / Exclusion of basic training in tourism management or inappropriate capacity building: The lack of capacity

building has been acknowledged as a barrier to promote community development through tourism, especially in developing countries (Aref, et al. 2009; Moscardo 2008). It has the potential to empower communities to take matters in their own hands and run tourism businesses, which enhance business confidence, community cooperation and individual self-esteem (Giampiccoli et al., 2014).

Capacity building can take many shapes and forms. It can focus on management aspects (marketing, finance, HR, product development), institutional (conflict resolution, cooperation with the government and private stakeholders) and technical (guiding, serving visitors, safety, food handling and preparation, etc.). The right assessment, through a participatory approach, and delivery of the combination of all these aspect is a difficult task that many government and non-government organizations face, but it is essential in deciding if a community will be able to sustain and meaningfully be involved in sustainable tourism development (Asker et al. 2010). A community have to go through the process of organizational strengthening and institutional development to reach self-sustainability in management of the initiative (Rozemeijer, 2000).

Depending on the initial capacity of the community, it can require intensive training and facilitation. The supporting organization in charge is responsible for choosing the strategy and methods used to

support the initiative. However, the limited life span of support projects (usually 2 to 3 years) and in consequence inability to reach self-management state of the initiative is one of the most common reasons for its failure. In other words, the community is not ready to manage the initiative without external support after the withdrawal of the supporting organization. Some scholars and practitioners argue that five years is not long enough to secure sustainability and that it can take longer for a CBT project to prove itself (Goodwin & Santilli, 2009). Scholars also point out that CBT requires many years of preliminary activities even before the implementation (e.g. Hctor, 2003).

Overlapping jurisdiction of different agencies: Overlapping jurisdiction of different agencies in one area has been an issue that complicates participation of communities in tourism development and management (Jamal & Camargo, 2014; Saufi et al., 2014). In cases where there is disjointed power structure among government departments, the local coordination is affected resulting in fragmented planning, failure of tourism program implementation, and weak tourism regulation within tourist destinations (Fallon, 2003). It is common in developing countries that two or more government agencies are responsible for different aspects within one geographic area. A good example of this issue is a case in Tanzania where different central government bodies hold directly

conflicting positions on tourism investments in a specific area (Nelson, 2004).

(No or poor) support for promotion: Marketing is an essential factor for CBT success (Dodds et al., 2016). Lack of marketing efforts is one of the reasons for inability of CBT initiatives to attract sufficient number of visitors and the desired type of visitors to earn break-even on the costs they incurred (Mtapuri & Giampiccoli, 2013). Autonomous approach would be more beneficial for a community, but in reality the marketing skills need time to develop and there is also lack of resources (Gascón, 2013), thus intermediate measures should be considered in terms of external support that provides technical capabilities, market reach, and allows the community to avoid spending tourism revenues on advertising. Case studies show that marketing support is one of the elements that effectively increases chances of success of CBT initiatives (e.g. Kontogeorgopoulos et al., 2014; Moswete et al., 2012; Somarriba-Chang & Gunnarsdotter, 2012).

No personnel specifically trained to work with the community: Training in community outreach is required if an organization is willing to establish and maintaining good collaboration with local communities. It is especially important in case of PA staff that should be trained in, and capable of, basic social skills such as negotiation and diplomacy

(Hough, 1988).

Low level of expertise among the personnel: Expertise in tourism within the structures of local governments and NGOs that support CBT is one of the key requirements to ensure equitable and participatory planning and management of tourism. It is also a critical component for delivery of capacity building exercises to the community. In developing regions, especially in peripheral areas, local tourism planners may lack the expertise to conduct the participatory planning process in an equitable way (Garrod, 2003; Timothy, 1999). The NGOs' expertise plays also a significant role in success of a CBT initiative mediating the host community, government, and retailers' interests (Cochrane, 2000).

Absence / presence of management structures: The role that have local organizations in development of any productive initiative is undeniable. They define the rules that are understood by the entire community and they guide people's actions in a larger collective. Strong local ones are based on relations of trust, reciprocity, common rules, norms and sanctions, and strong networks (Falk & Kilpatrick, 2000). Their role in overcoming the 'tragedy of the commons' and ensuring conservation of biodiversity is crucial (Agrawal, 2001; Stronza & Gordillo, 2008). However, the key to achieving good and effective local organizations able to manage projects and guide the community is a

representative and effective management structure. A structure that represents the interests of different users able to distribute equitably costs and benefits (Rozemeijer, 2000). A good structure should represent different classes, ethnic and gender interests.

(No or limited) marketing efforts: Marketing is an essential factor for CBT success (Dodds et al., 2016). Lack of marketing skills is one of the elements that CBT initiatives are not able to attract sufficient number of visitors and the desired type of visitors to earn break-even profits (Mtapuri & Giampiccoli, 2013). ‘Marketing efforts’ differ from similar factor titled ‘marketing skills’ in a way that it does not refer to the skills of the community but just to the lack of marketing campaign. In some cases, community have enough skills to carry out marketing campaigns but either chooses not to or lacks of money to do it. To avoid that issue, communities often choose to enter into partnership arrangements with outside private tour operators or travel agencies.

Inconsistent (fragmented) community organization or lack of organization: Inconsistent organization happen when a community organization ceases to exist or despite official existence it does not operate actively or operates reactively in a limited fashion by reacting to tourism and not planning and managing it (e.g. Ellis, 2011). In other words, its members do not meet to discuss important matters and there

is no leadership to guide the members of the organization or the entire tourism initiative (e.g. Lapeyre, 2010). The consequence can be devastating for the initiative and often it becomes fragmented with its members micromanaging their own businesses without integrated plan or strategy for the entire community. Fragmented organization happens also when an organization divides itself and becomes two or more competing organizations (e.g. Wang, Cater, & Low, 2016).

Clear definition of the community: This is one of the least mentioned aspects for a community based initiatives to succeed. Perhaps it is rarely mentioned because it seems to be natural that a community must be defined before decisions are made about the future of those affected by the initiative. However, it happens that initiatives before they begin do not define who belongs to the community and who does not. This might introduce all kinds of misunderstanding and false expectations as some groups might feel excluded and some included despite their disagreement on the initiative.

Rozemeijer (2000) based on the SNV's (Netherlands Development Organization) experience of various CBT projects in Botswana states that a community-tourism project can only succeed when the 'community' has been clearly defined by all residents and a truly representative organization has been built that is accepted by all stakeholders in the

area. It is clear that the first pre-requisite to launch an initiative is to form a legal body representing all households that become registered members. This process of consultation and registration to define very precisely community members is a long, but necessary process (Ashley, 2000). Definition of the community is a complex aspect and it is described more in detail in Chapter 2.

3. Social capital

Networks and partnerships

No regular or formalized efforts to communicate with the community / Creation of a regular forum/network to facilitate mutual understanding and cooperation among stakeholders: A collaboration between community and other private and public stakeholders in terms of decision making and management is one of the key factors for success of a CBT initiative. However, whether a collaboration is achieved or not, there is a need for an instance where communities can meet other stakeholders and provide their input on the management and planning that could be taken into consideration by the decision makers. A forum or network that can organize regular meeting for that purpose are considered a crucial aspect in management of protected areas (Wallace, 1996). However, as noted by Honey (2008) provision of this type of forum for local communities requires changes in the modes of

participation from passive to more active that consider stakeholders' opinions and preferences.

The roles and responsibilities of the community and partners are clearly defined / Shared responsibility for the implementation of the initiative was assumed by the community and non-community partners:

An effective management of a CBT initiative highly depends on clearly defined responsibilities of parties involved. In case of collaborative projects, the different (and not always clear) roles and responsibilities, and the accompanying relations between managers of different organizations can result in a tangled-up web of consultation and non-transparent decision-making as it did in case described by Rozemeijer (2000). When community and non-community partners assume shared responsibility for the implementation of the initiative, underperformance of one partner can jeopardize the entire initiative. Clear division of roles and responsibilities should be carefully defined based on realistic evaluation of each partner's ability to deliver on given promises, and it should be respected by all partner in order to avoid management conflicts.

(No or poor) dissemination of information about planned tourism development and related opportunities: Transparency and information sharing during the tourism planning process reduces any

possible suspicions about the motives of planning authorities or other stakeholders (Bello et al., 2016). In this regard, the planning authority is expected to regularly release information to the public about the planning process and opportunities to participate in that process (Rowe & Frewer, 2000). Inadequate or incomprehensible information can hinder effective community participation (Marzuki et al., 2012). The power of controlling important information allows certain groups to control the benefits from the flow of information, which has a negative consequence on local residents' potential for economic benefits (Han et al., 2014). Lack of information about the opportunities to participate in tourism development and the ways in which the communities can participate is one of the most commonly cited barriers for CBT (Tosun , 2000). In this respect Cole (2006) states that a lack of information regarding tourism not only limits local people's knowledge about tourism, but also discourages their empowerment. It should also be remembered that the dissemination information needs to be a two-way process where the communities are also given the opportunity to voice their concerns and agree on how tourism development can contribute to fulfil their needs (Bello, Carr, & Lovelock, 2016; Bramwell & Sharman, 2000).

Insufficient community consultation: Insufficient community consultation by government or NGO stakeholders before the inception

of a CBT initiative can lead to mistakes that stem from lack of knowledge about the community and mechanisms that traditionally have worked in a community. Mistakes can be made in many aspects dealing with traditional leadership and power structures, distribution of benefit, development of tourism activities and training and capacity building. Insufficient consultation happens also when a community is not an active part in development, but plays a role of a subject to activities run and controlled by external stakeholders. This can lead to resentment in the community and loss of support for the initiative.

Fostering relationships between local and national/international experiences: Many communities in developing community participate in programs or initiatives that aim at providing exchange of experiences and learning / capacity building from other communities and organizations that work in CBT. One time or regular meetings with other community based organizations and experts increase community's capacities and provides a good source for finding solutions to issues encountered, advice on management, self-esteem and builds motivation to carry on with the initiative. Fostering relationships includes formation of networks and cooperatives among different communities (e.g. Anand et al., 2012) as well as participation of community members / leaders at local / national / international fairs or exposure tours and workshops

that increase their capacity to plan, manage and operate CBT (Hitchner, et al, 2009), increase trust among members (Ogotu, 2002), increasing community's social capital (Lapeyre, 2010). Furthermore, the interaction with other communities represents an important indicator for a future regional organization (Avila Foucat, 2002).

(No) cooperation with private tourism enterprises in the area and other related stakeholders. Partnership building and collaboration have been acknowledged to be essential for sustainable tourism development since the Brundtland Report in 1987 (Okazaki, 2008). The partnership offers much greater potential for collective income, maximizing capacity building, employment opportunities, strengthening community organizational capacity, and adapting implementation so that trade-offs with livelihoods are minimized (Ashley, 2000). The partnerships established by the communities may involve multiple stakeholders and may include many different arrangements with private and public stakeholders. Collaboration is a key aspect that can bring direct and indirect community benefits and solve potential or actual issues among stakeholders (Jamal & Getz, 1995). Cooperation also improves cultural understanding among stakeholders especially when outside to a community stakeholder respects local leaders and processes for making decision (Reggers et al., 2016).

Cooperation does not always mean planning and decision making. In Africa a common arrangement that bring economic benefits for development is establishment of community conservancies, which gives them rights to sustainable use of wildlife. The communities engage in joint venture agreements with tourism investors (e.g. safari lodges and hunters) who get the rights to hunt a certain number of animals and in turn assist communities in opening and operating small-scale enterprises (e.g. campsite, community craft-market) (Ashley, 2000; Moswete & Thapa, 2015).

The host community's lack of knowledge and skills is one of the main reasons why tour operators avoid cooperating with them (Ponting, 2009). Therefore, another key form of collaboration lies in exchange of experiences and direct support in terms of skills and knowledge about hospitality, management, tourism demand and product presentation (Mitchell & Hall, 2005), as well as training in the aforementioned areas (Ashley et al., 2001).

(No) access to the national and international networks through tour operators and marketing channels: Collaboration and partnership can take many different forms, but one of the most common and important for a community form is the ability to use the marketing channels and established client base of tour operators that are usually

experienced and skilled in selling tourism products. The lack of knowledge about demand factors, poor product presentation and lack of participation in marketing networks are the main barrier to market access experienced by communities (Forstner, 2004; Mitchell & Hall, 2005)

Collaboration and partnerships facilitate links to markets and lower the risk of failure of CBT (Dodds et al., 2016). The creation of networks increases the access to markets, where smaller tourism operator can be noticed and offer their products to markets that normally would not be within their reach.

(No) alliances and cooperation with other communities to support each other and share experiences: The cooperation with other communities that succeeded in implementing tourism or are implementing is another crucial aspect that facilitates success of CBT. The experience can be shared and the community that is contemplating or is about to begin the implementation process can learn the techniques and skills needed for the success and also learn from the mistakes that had been made during the implementation. This process is especially effective if both communities shares similar characteristics and cultural values, and there are strong leaders that want to share their success (Hernandez Cruz et al., 2005).

There are many forms of cooperation that can increase success of CBT. Anand, Chandan, and Singh (2012) report a case of Korzok in Indian Himalaya that with support of research institutions and community-based organizations managed to organize meetings which provide the homestay owners with an opportunity to share their experiences through that platform. In Ecuador a community of 24 Quichua Indian families 'Capirona' sponsored by regional indigenous federation organized an ecotourism network that can act as a forum for exchange of experiences and a platform to develop cooperation. The authors also stated that similar groups are in the process of forming in other provinces (Colvin, 1994).

Exchange of information, knowledge and techniques is usually not the only form of cooperation. Frece and Poole (2008) give an example of a development models that include community-level, horizontally oriented oversight processes called 'campesino a campesino' (farmer to farmer). This scheme supports grassroots development, by connecting communities and implementing the same type of projects by neighboring villages after the original project's success. Another form of cooperation between communities takes place when more than one communities are working as one initiative or a project as in case of five communities in mountainous interior of Oaxaca in Mexico. The communities not only support each other with

knowledge and experience, but also by offering different products that complement each other; thus if tourists want a service not found in one community they can find it in other community (Grieves et al., 2014).

Relationships of trust and reciprocity

Presence / absence of external actors with interests that might not align with the interests of the community: During the initial stages of tourism development, when the visitor number increases steadily and the benefits out-compete basic livelihoods, there is usually an influx of outsiders willing to invest and join the wave of tourism development to make profit (Kiss, 2004). In many cases the ad hoc nature of tourism planning has allowed outside investors to seize opportunities on communal land (Ashley, 2000). As noted by Han et al. (2014), external investors engage in opportunistic behavior, using government control over land to buy land used by local residents at low prices.

The external actors are also likely to dilute the community benefits and put greater pressure on local natural resources (Wunder, 2000). They are also better equipped than the communities in knowledge about markets, tourism in general and they are focused on financial benefits. They try to establish their hotels or tour operators in the most convenient places, marginalizing locals from economic participation in tourism (Simmons, 1994). In consequence, they often

enter into a competition with community based initiatives.

This failure to secure power by communities, or the lack of ability or resources needed to maintain one's rights is called disempowerment and it can be expressed at two levels; "the first entails a complete lack of legal rights formally or virtually, while the second describes the lack of ability or resources needed to maintain and exercise one's rights" (Han et al., 2014: 718). In consequence communities become powerless, lacking capacity or resources but also having sense of inferiority, isolation from important social resources, loss of political power, economic vulnerability, and helplessness (Wallerstein, 1992).

The situation is even more difficult if tourism is being controlled and developed by large, multinational tour companies who have little regards for local socio-cultural and economic conditions and make their decisions elsewhere based on economic factors (Mustapha et al., 2013). As noted by Jamal and Stronza (2009: 172) rapidly developing tourism destinations in remote areas with multiple stakeholders "greatly increase complexity and uncertainty, creating a turbulent environment". In consequence, gaining a full control of tourism by just one actor is a difficult task, especially for the community that has less power than other stakeholders. External actors do not have to belong to tourism related group, but they might represent any industry whose objectives

are not aligned with the interests of the community.

Mismanagement of funds / corruption: Corruption has been already described in one of the previous sections in case of government and private companies that are external to the community. The internal corruption within the community is similar in a way that it affects trust in the organization in charge and changes the power balance within the community affecting participative processes that have legitimacy of the community. If the powerful actors within the community can affect decision to benefit themselves, the entire initiative will be negatively affected (e.g. Amati, 2013; Gascón, 2013). Misappropriation of funds by initiatives leaders and managers is another common occurrence reported in case studies (e.g. Southgate, 2006).

(No) trust in the leadership: Community based tourism initiatives require close cooperation among community members. Most communities are organized around a community organization led by a leader or group of leaders. Community members' trust in that leadership gives it a legitimacy to make decisions in respect to the initiative or most matters concerning the community. The more participative is decision making process, the more trust in the leadership and higher the ownership of the initiative.

Trust is based on relationships built through repeated

interactions and fulfillment of expectations that foster confidence, reliance and faith in the individual's integrity (Weber & Carter, 2003). In the same vein, the failures of the communities to deliver on promises decrease the trust. It is a feedback loop, where positive interactions lead to increasing interdependence and the likelihood that new opportunities and initiatives will be pursued and negative feedback leads of mistrust (Lachapelle, 2008).

Perception of legitimate authority can influence trust through such mechanisms as neutral facilitators, clear process rules, and unimpaired sharing of data and information (Lachapelle, 2008). Lack of these characteristics generate mistrust and suspicion of the community about the real intentions of the leadership. The most common reasons for mistrust is financial unaccountability (e.g. Giampiccoli et al., 2014; Jones, 2005), lack of transparency in decision making (e.g. Jones, 2005), poor management (e.g. Giampiccoli et al., 2014; Wang, Cater, & Low, 2016), legitimacy questioned by the community members (e.g. Southgate, 2006), and favoritism towards certain people or groups (e.g. Wang et al., 2016).

Community members who obtained professional training leave for better paid opportunities: In communities that characterize by low level of social cohesion or in families that have difficult financial situation

it is common that trained by an externally supported initiative staff leave their home villages to work outside, usually in larger cities, receiving much higher income than when staying in the community.

Collective norms

(No) unity of the community and/or understanding of the importance of collective actions over individual for the success: The emergence of a cohesive and integrated community depends of local context and specifically on diverse interactions within the community (Matarrita-Cascante et al., 2010). Each community presents its own unique circumstances shaping their attitudes and behaviors towards tourism development (Beeton, 2006; Okazaki, 2008). The community solidarity unites diverse and often competing groups into community-wide efforts to deal with issues and opportunities that concern the community as a whole. “This does not happen in some utopian context of harmonious agreement, but rather in normal day-to-day settings characterized by conflicting interests” (Matarrita-Cascante et al., 2010: 737). The key is the recognition of common needs and that these needs can be satisfied by collective action setting aside the conflicting interests.

Although community cohesion is a background for collective actions, it does not always have to go hand in hand with it. A cohesive community can also be composed of individual business owners that

work together under an umbrella of a community organization as it is in the case of La Fortuna in Costa Rica that developed strong community agency. Community agency is a construction of local relationships that increase adaptive capacity of people to manage, utilize and enhance available resources to deal with local issues (Brennan et al., 2009; Luloff & Bridger, 2003). The ability to work together bearing the collective and sometimes individual costs in order to obtain collective benefits is one of the key aspects for success of CBT. Without the understanding of the importance of collective actions over individual, the community often enters into an internal competition that may lead to conflicts and division of the community.

High / Low level of participation in community organizations:

Low level of participation in community organizations is a sign of It can be a result or cause of low communal sense of ownership, weak dissipation of information or creation of powerful groups within the community. The idea of participatory approaches within a community is to provide space to be heard, share concerns and raise voices of support or its lack of. It is a space where social capital is being built through social networks, interactions and connections that lead to building shared norms and trust within the community and towards the leadership (Jones, 2005). Social capital refers to the degree of

connectedness and the quality and quantity of social relations in a given population (Harpham, Grant, & Thomas, 2002). Although participation in community organizations does not guarantee high social capital (Grootaert & Bastelaer, 2001), it creates opportunity for its creation and space to voice concerns and negotiate and compromise different interests within the community.

(No) communal sense of ownership of the initiative (appropriation and wide participation): Community projects thrive on a ‘community spirit’ and ‘volunteerism’ (Rozemeijer, 2000). However, the motivation of people drops in time and it is difficult to keep people interested in the initiative unless they receive direct tangible benefits. Success, however, relies on communities having a sense of project ownership (Scheyvens, 2002). The literature shows that when “individuals are intimately and authentically engaged in the process, dedication and outcome will be created, leading to greater chances of political support and implementation” (Lachapelle, 2008: 53). Sense of ownership can be divided into process, results and distribution.

The sense of ownership can be created among community members under certain conditions:

- When an initiative has been designed and implemented by the community

- When an initiative brings significant benefits to the entire community (not necessarily financial)
- When an initiative requires certain amount of financial and/or labor investment from the community
- When an initiative generates sense of pride in the community through tackling cultural, and traditional aspects (products based on economic activities such as farming, hunting, etc; culture; crafts; believes)

High cultural/ethnic division within the community: This factor is highly related with the previous one as it is a common reason for lack of unity within a community. The cultural or ethnic division, however, is deeply rooted in the historical differences between conflicting groups and sometimes religious believes such is the case of various ecotourism projects in the Brong-Ahafo Region, Ghana (Yeboah, 2013). The experience of Netherlands Development Organization in working in Botswana shows that a major problem the SNV-advisor faced in consulting with the community was dealing with the two ethnic groups, the Bushmen, and the Baherero. The former group has been historically marginalized, having little land and therefore influence in the region, while the latter are economically powerful and own the means of production (Rozemeijer, 2000). The cultural / ethnic division can be a key barrier for CBT and any community based initiative. The experience from

Cambodia shows that ethnic diversity within the community led to division and presented a challenge in having open communication; in some areas different groups do not even interact with one another unable to speak the same language (Ellis, 2011).

Strict community norms and rules that are enforced: Strict community norms give a framework for behavior within a community and creates social pressure that the norms should be respected by everyone. According to Jones (2005), collective actions can be achieved by heavy social pressures and expectation without strong social capital in place. Trust, equality and social cohesion are important in achieving compromises and in engaging in activities that benefit only certain groups in a community. However, they play lesser role than norms and pressures in facilitating collective action if the actions are mutually beneficial. Therefore, it doesn't matter if community engages in collective actions because of close ties or because they are forced by strong norms as long as they make the community cooperate without feeling negative (unfair) about it (Jones, 2005).

One of the effective mechanisms that supports CBT and increases social cohesion and ownership of the initiative is obligatory work system that is based on strong community traditional norms. An example of that mechanism is provided by Grieves et al. (2014) in a case

of two indigenous villages in the mountainous interior of Oaxaca, Mexico. The mechanism called “cargo” is “a system of rotating civic and religious responsibilities among registered community members, based on merit accumulated by service in a rising hierarchy of civic positions” (Grieves et al., 2014: 92). In other words, the community members are obliged to perform unpaid work that benefits the entire community. Traditional laws and regulations is such a strong mechanism in tight-knit communities that the community willingly accepts them due to traditional sense of duty (Mitchell & Eagles, 2001) and/or due to the social pressure. In case of the latter, breaking regulation cannot happen without being noticed, which implies “a social stigma of being labeled as lazy, the threat of other villagers refusing to help them in the future, or threats to be ostracized from the village” (Jones, 2005: 315).

Doubts / self-confidence in its own ability to participate and manage tourism; Apathy and lack of interest; Reliance on the external actors to start and lead the initiative: The three factors are closely interrelated and therefore they are described together. In traditional, indigenous, ethnic or rural communities that are characterized by relatively low level of formal education, the self-perceived self-esteem of the community members can be low when confronted with visitors or investors from urbanized areas. There is a perceived lack of education,

ignorance and isolation and a feeling of inferiority (Sotear, 2011). Communities with low self-esteem are characterized by apathy and lack of initiative (Schellhorn, 2010) because they believe there is nothing they can do themselves to improve their situation.

The apathy and lack of interest of the community can have two very different sources. It can come from doubts in its own ability to manage tourism, or from the lack of power to influence the outcome. When communities possess the knowledge but they do not have any power to they will display only indifference (Lachapelle, 2008). On other words, people are apathetic because they are powerless.

The residence who display low self-esteem and undervalue their skills and experience, rely on external support to accomplish things for the community. External parties are perceived to have better skills, money and power to influence decisions and development and therefore are seen to be superior to the community members. This means that their actions are overvalued by the community, and not questioned as to their appropriateness, or any consideration given as to whether the actions are in line with community's wants and needs (Sotear, 2011). The reliance on external support may also stem from the feeling that it is the government's duty to plan economic development opportunities and that it would not be appropriate for them to take initiative; something that is common in societies with heavily centralized political structure

such as Indonesia (Timothy, 1999). In such places, the authorities make decisions and communities strongly believe that they cannot question them (Reisinger & Turner, 1997). On the other hand, communities showing proactive attitude are able to control unwanted change and ensure the best development plans to fit their needs (Mustapha et al., 2013).

4. Natural capital

Protection and preservation

(No) awareness of the importance of nature conservation in the area: The absence of appropriate information may lead to decisions that might harm the environment. Nature tourism is based on the environment and biodiversity as the main assets and base for tourism products. The understanding of the importance of nature conservation is a key aspect in the long-term success of community based nature tourism. There is a correlation between environmental knowledge and environmental behavior. Therefore, the awareness of the importance of conservation should result in better conservation of the area resulting in better choice of more sustainable tourism products provided to visitors (Zhang & Lei, 2012). It is common that communities define a common natural area for conservation purposes being aware of importance of conservation for their own benefit (e.g. Amati, 2013; Collins & Snel,

2008; Jones, 2005; Lepp, 2007; Sundjaya, 2005).

5. Cultural capital

Practices, traditions, and resources

Supply of activities based on traditions and local customs that attract tourists and strengthen the role of the community: The compatibility of tourism products offered by a community with its traditional way of life and culture is an important factor for the success of CBT. The compatibility creates acceptance of the tourism industry and often generate pride of the community about their culture, way of life and traditional knowledge that they can showcase to visitors and receive praises for. The products offered by a community can be more ‘individualistic’, focusing on community’s heritage and culture (Taylor, 1995). These types of products such as historical tour, animal watching tour etc. are easy to develop by the community that use that knowledge in their daily life (Rozemeijer, 2000).

6. Financial capital

External financial resources

(No) financial support: Insufficient public funding or there lack of is a major limitation to community tourism (Sharpley & Telfer, 2002). Therefore, most of CBT initiatives are financially supported by

governments or NGOs throughout their initial stages and often even after many years of operation (Dodds et al., 2016). Although, the external involvement of supporting actors that provide funding for CBT initiative has been criticized by many advocates of CBT who point out that it creates a lack of financial sustainability (Goodwin & Santilli, 2009), without that support many of these initiatives would not come to existence (Mtapuri & Giampiccoli, 2013; Okazaki, 2008). As noted in the previous section of this document, the external support is crucial for success of CBT initiatives and financing is a big part of that support.

The funding, similar to other aspect of support such as capacity building, should be long-term to ensure that the community is able to operate the business as well as that the target markets has been reached and the initiative established itself on the market (Kontogeorgopoulos et al., 2014). CBT is similar to any other business that requires few years to cover its costs and to bring sustained benefits.

High / low dependency on external funding: According to many researchers and the results of this study a great proportion of CBT initiatives remains dependent on external funding not only in the initial stage of the initiative but even after years of operation and sometimes indefinitely (Forstner, 2004; Gascón, 2013; Kiss, 2004). Examples of initiatives that are economically unsustainable have been documented by

Dixey (2005) who found that only three of the 25 CBT in Zambia were sustainable and Goodwin and Santilli (2009) who found only six of the 15 CBT initiatives surveyed to be economically viable. This creates an issue of funding initiatives that do not bring enough financial benefits to break even the costs of its operation. The only justification for CBT initiatives that require constant external funding is the social and conservation benefits received from such initiatives.

Long term institutional and funding support is considered to be a key factor for success of CBT initiatives (Anand et al., 2012). Often CBT rely on external funding to kick-start ventures, providing funds for infrastructure, equipment, training, etc. However, there must be a point in time when a CBT initiative becomes self-sustainable. Once funding is over, many initiatives collapse if there is not strong market linkage to promote and sell the products and long-term planning (Dodds et al., 2016; Giampiccoli & Mtapuri, 2012). In this vain, Goodwin and Santilli (2009) state that funders should not fund initiatives that do not already have market linkages or sound financial plans. Additionally, community enterprises should provide in-kind or monetary contributions, so that they build a greater sense of ownership and ability to become more self-sufficient (Kontogeorgopoulos et al., 2014).

Community financial resources

Poor / good management of funds: Management of funds is another important factor for success of any CBT initiative or any business endeavor. Funds should be spent wisely taking into consideration the needs of the community and investments in the initiative itself that can generate good returns on investment. Management of funds includes human resources, investment in tourism products and marketing, as well as infrastructure and other investments that generate benefits to the entire community. Good management of community funds category can also include provision of micro credits to community members (e.g. Prachvuthy, 2006) or designation of a part of the income to community training (e.g. Timothy & White, 1999).

(No) financial resources: Lack of financial resources in the host communities is the most often cited in this study barrier for CBT development in natural areas and it is commonly cited in the literature (Jamal & Stronza, 2009; Moscardo, 2005; Tosun, 2000). The CBT initiatives in natural areas in developing countries are usually located in rural and remote areas where communities often live in poverty, struggling to sustain their livelihoods. Any tourism initiative requires funds in its initial stage to build or adequate accommodation, pay staff that dedicate their time that could be used to earn money elsewhere, and to buy food to

prepare for the visitors. Although some communities are able to gather the funds and invest their own work to create and run a tourism initiative, many communities are not able to do it without an external financial support.

Lease of communal lands / contractual partnership with tour operators: In Africa a common arrangement that bring economic benefits for development is establishment of community conservancies, which gives them rights to sustainable use of wildlife. The profits may range from rent for use of land to co-ownership to full community ownership of tourism facilities. Most common are cash payments that are distributed to community members or to a community fund to spend on needs defined by the community, or tangible benefits (a road, a clinic, a grinding mill, a classroom, electricity, a truck, etc.) to the local community based on rent for use of land, a set fee per visitor-night, a percentage of park entrance fees, or guest and company donations (Honey, 2008). In exchange for aforementioned benefits, the communities engage in joint venture agreements with tourism investors (e.g. safari lodges and hunters) who get the rights to hunt a certain number of animals and in turn assist communities in opening and operating small-scale enterprises (e.g. campsite, community craft-market) (Ashley, 2000; Moswete & Thapa, 2015). Although cash and tangible

benefit compensation can significantly improve daily life in poor rural communities, it may not be enough to empower communities with the educational and technical skills and political know-how they will need to assume an active role in ecotourism projects and in negotiations with private-sector and government authorities (Honey, 2008).

Personal financial resources

Unequal economic resources among households to invest in tourism: Benefits from tourism are rarely received across wide social scale (Simpson, 2009). Typically, those people with the required education, skills or money to engage receive the majority of benefits (Strickland-Munro & Moore, 2013). This also concerns the power relations inside one community. Not every family has resources to engage in tourism. The families who do, receive most of the benefits running accommodation, restaurant and tour operator businesses, creating inequality of distribution of benefits among community members. In case of CBT initiatives where a community own and operates together one business, the distribution of profit is more equal than in case of initiatives where a community runs many small and party independent businesses by specific families within a community.

Relatively high / low cost of participation in terms of time and effort: In some traditional societies the role of men and women are defined into specific set of daily activities that leave little extra time. These activities include farming, fishing, cooking, children care and other house and economic activity-related tasks. In such communities the time and labor in tourism is an investment and it is often a significant opportunity costs for the poorest communities (Goodwin & Santilli, 2009). Poorest communities cannot afford to be distracted from subsistence activities, especially in the initial stage of development when costs are higher than benefits. In that case, an early engagement in tourism activities that require time and effort would negatively impact their other activities that sustain their livelihoods.

7. Livelihood outcomes (impacts of tourism)

Impact of tourism can be the causes and effects of certain movement within a community. In the same way they can push CBT development into failure or success.

(No) noticeable improvement of quality of life in the community (health, education, economy): CBT can be called a success if the members of the community can feel and see the positive effects of it. The benefits range from increased income and employment to

education and access to many new facilities. Economic benefits are most important to local residents (Akis, Peristianis, & Warner, 1996). The tolerance for tourism and support for its development appears to be strengthened if opportunities are provided for active resident participation in the ownership and operation of tourism facilities (Sebele, 2010). Low-paying and low-skill employment is not a reliable source of capital for investment in the future of a community. Therefore, CBT should be able to provide enough income to focus on expanding, improving, and promoting locally-owned facilities and services (Place, 1995). Improved education, public safety and healthcare facilities are some of the indirect benefits that gain support for tourism among local people who do not even benefit directly from the activity. In consequence, there is more willingness to be involved in tourism and benefit from it even further.

Limited / significant employment in tourism: Tourism is responsible for the creation of the greatest proportion of jobs and socio-economic benefits for rural dwellers (Moswete et al., 2009). According to Rozemeijer (2000), a community-tourism project might benefit more from generated employment than from maximizing financial returns of the project. In areas where access to markets is limited the employment provided by CBT might be the only way to justify the initiative. In this

vain, Agrawal and Redford (2006) carried out an overview of peer-reviewed articles and found that newly generated local jobs and incomes were the most common indicators of success used in evaluation of many initiatives. While benefits of tourism are enjoyed by those who participate, the negative impacts concern the entire community. Therefore, CBT that fails to generate enough employment to satisfy community needs will not be supported, unless it generates other benefits that reach those who do not participate.

Low employment in tourism supporting unsustainable use of natural resources / Lower pressure on natural resources due to employment in tourism: Rural and remote household located in natural areas still rely heavily on natural resources as their only means of substance. They use wood for cooking and building and clear land for small farming and animal grazing. CBT offers an alternative to these activities that have a negative impact on biodiversity (Snyman, 2013). Branches of tourism such as ecotourism, nature or cultural tourism in highly biodiverse areas can play an important role providing financial benefits to communities and minimizing the negative environmental impacts. According to Lindberg (2001), local communities who participate in CBT and receive tangible benefits tend to become cautious in their use of natural resources and, therefore, more likely to support

tourism and conservation.

However, the employment in tourism must be high enough in terms of demand for workforce, and the financial benefits must be higher than gains from unsustainable activities (Kiss, 2004). Only then the use of natural resources will decrease and the level of conservation will increase. In destinations that CBT is already in place but it does not provide enough employment, the unsustainable use of resources is a common practice; poaching, wood extraction and grazing being the most often reported activities. The limited economic opportunities probably reduce or disable any incentives for conservation (Simmons, 1994).

Inequality / equality in benefit distribution: Equal and fair table distribution of benefits is an important factor for success of every CBT initiative. The benefit distribution in a community can be classified in two main groups: 1) distribution within the group directly participating in tourism and 2) distribution of benefits in a community as a whole. In both cases it can discourage people from participation and support for tourism causing division of the community.

While it can be controlled by mechanisms responsible for distribution within the participating group in a single community, it is much more complicated if the initiative is being developed by a group of people

within a community but not the entire community as a whole. In that case even a successful initiative that supply enough benefits to one group but does not to the majority of the community, can be seen as a failure and discourage other people to support tourism.

The main reasons underpinning the unequal and unequitable distribution is directly related to the power imbalances in the community. As previously mentioned in Chapter 2.2 the power relates to political influence, financial resources and knowledge. The aspects that shake the balance are elitism and favoritism in the management of the initiative, inability of the initiative to generate enough employment, imbalance within the community members in the amount of resources able to invest in the initiative, and imbalance in terms of skills needed for certain jobs. “The assumption that communities can equitably share benefits from tourism, therefore, seems to be a highly romanticized but an almost impossible feat” (Sebele, 2010: 143).

Increase of the community pride caused by foreign visits: CBT is underpinned by the principles of sustainability not only in the economic terms, but above all in social and cultural. One of the most important impacts of successful CBT is the enhancement of social, cultural and place identity in people (Carr, Ruhanen, & Whitford, 2016). The community pride is increased as a result of local people noticing that foreign visitors are interested in their lives, traditional knowledge, food,

activities and natural assets (Cole, 2006; Mansperger, 1992). In this way, local traditions and ways of life are not threatened by CBT, but on the contrary the culture is the main anchor and asset for its development (Giampiccoli et al., 2014).

Tourism products designed to tap into those aspects are more effective in fostering community pride and conservation of traditions as many case studies show. For example, Clemens et al. (2008) reports that the villagers are clearly proud that foreign tourists are visiting and are particularly keen on the visitors being able to see 'their' birds. Similar, Mpondoland people embrace indigenous knowledge as a significant aspect in the promotion of their own livelihoods (Simukonda & Kraai, 2009 cited in Giampiccoli et al., 2014). Involvement of women who traditionally are not involved in any economic activities also generates a sense of pride and purpose.

Appendix 2. Studies of success factors and barriers

2.1. Success Factors of CBT

Rozemeijer (2000)

Rozemeijer (2000) based on experiences of Dutch International Cooperation organization defined pre-conditions that have to be met for a community to operate a successful tourism business:

1. Existence of a market for the project's tourism product
2. Generation of income and employment opportunities
3. Transfer of management responsibilities from government to the community
4. Institutional embedding
5. Scale of the project appropriate to the capabilities and human resources within the community
6. Involvement of an organization as a partner in project development and commitment to provide continued support
7. Protection of the natural environment
8. Empowerment

Blackman et al. (2004)

Blackman et al. (2004) analyzed 11 case studies with the overall aim to define factors associated with failure and factors that contribute to success of tourism development in remote locations. The case studies were identified by searching a variety of electronic data bases of academic journals with phrases based around combinations of the words

“peripheral”, “rural”, or “remote” and “tourism development”. The cases found were mostly located in developed countries with few exceptions. However, the methodology used and the majority of the factors are useful for a similar study in developing countries. The factors for success are presented below.

Planning:

1. Good working relationship and co-ordination with private and public sectors; partnerships with regional tourism organizations and local businesses.
2. Appropriate development for the environment
3. Community involvement

Organizing:

4. The identification and development of specialist attractions (e.g.,. cultural heritage, scenery and landscape, markets and fairs, special accommodation)
5. Having action plans/models, organisational structure, standard procedures
6. Marketing – research into promotion, marketing strategies developed
7. Development of transport infrastructure
8. Action plans included technical and distribution networks – travel agents, other businesses, and use of the internet

Leadership:

9. Leadership – the presence of “champions”, who motivated and influenced direction
10. Education and training of staff and stakeholders

Control:

11. Government control and contribution.
12. Visitor expectations and satisfaction levels met, visitor suggestions noted and used.

Parker & Khare (2005)

Parker & Khare (2005) based on their experience in Africa defined success factors for ecotourism initiatives that include a community component. They divided them into three groups: environmental, community and economic. Although the factors presented are from the outside investors' perspectives, many of the aspects apply for fully community run initiatives. It is also one of very few models that stress the importance of community definition for the success of an initiative implemented by any support organization (NGO, private enterprise or government).

Environmental success factors:

1. Environmental quality
2. Site boundaries
3. Water
4. Opportunity cost

Community success factors:

5. Community partnership
6. Community definition.
7. Community dialogue
8. Poverty and social inclusion

Economic success factors:

9. National political environment
10. Adequate legal systems and security
11. Infrastructure
12. Government policy

Goodwin & Santilli (2009)

Goodwin & Santilli (2009) asked 134 responses to identify initiatives which are regarded as successful by funders, conservationists and development workers; and the reasons why they are seen as successful by those respondents. They were also asked what factors had led to this success. The authors clustered the open responses into the categories presented in Table 1.

The authors concluded that there are a wide range of reasons selected by the respondents, of which the most important are Social Capital and Empowerment, Local Economic Development, Livelihoods, Conservation/Environment and Commercial Viability (Goodwin & Santilli, 2009: 21).

Table 1. Goodwin and Santilli's (2009) success factors

A Improved Livelihoods / Standard of Living	B Local Economic Development	C Commercial Viability	D Collective Benefits	E Social Capital and Empowerment
Employment	Economic Development / Benefits	Profitable	Ability to fund social/other projects/products	Equal Opportunities
Increased livelihood options	Use of local products/reduce leakage	Commercially Functional	Regeneration /Infrastructure Development	Empowerment/ Decision Making/ Capacity Building
Establishment of micro-enterprises	Rural Development	Longevity of project	Local community management/ ownership/ leadership/ governance	
Poverty alleviation	Stakeholder partnerships / linkages	Sound business/project plan	Participation	
Improved standard of living	Innovative/Good Product	Local community working together /compromise /interest		
Income/Revenue generation	Growth/ Opportunity for Growth	Minimal Impact on Community		
Sustainable Increased/ High Visitation Achieved With Minimal Donor Intervention/ Funding				
F Sense of Place	G Education	H Conservation & Environment	I Tourism	J Other
Cultural revitalization / conservation	Education/Training/ Using Local Skills	Conservation - Environment/ Heritage	Tourist Experience (improved/ authentic)	Triggered replication of other projects
Raised community/tourist awareness of cultural/natural heritage & environmental issues	Sustainable Technologies/Use of Resources	Raised awareness of destination	Allowed sufficient time for project	
Instilled sense of place/pride	Environmental Policies/Standards	Award Winner	Funding/ investment	
Environmental Monitoring/ Management				

Table 2. Most common CBT success factors (Goodwin and Santilli, 2009)

Category	Category Description	Managers	Experts
A	Improved Livelihoods / Standard of Living	1.	3
H	Conservation/Environment	2.	4
I	Tourism	3.	8
E	Social Capital and Empowerment	4.	1
F	Sense of Place	5.	7
C	Commercial Viability	6.	5
G	Education	7.	6
D	Collective Benefits	8.	9
B	Local Economic Development	9.	2

The second stage of the research was to establish the importance of the selected success factors. Twenty-eight respondents using a Likert scale to rate the relative importance of the characteristics identified in the first stage of the research. The conclusions of this exercise were rather surprising. The authors discovered that there is a well-defined disparity between the views of the experts nominating successful CBT projects and those managing the projects identified by the experts as successful (Table 2).

The conclusions state that neither the experts nor the managers place any importance on collective benefits, ranked 9th and 8th respectively. The experts place more importance on social capital (1st) and local economic development (2nd) than do the managers who rate them 4th and 9th respectively. Goodwin and Santilli (2009) state that they are not surprised by the fact that the managers place considerably more emphasis on livelihood impacts (1st) than the more general local economic development 9th. The authors proved that there is no

agreement about the meaning of CBT and the importance of characteristics for its success.

Asker et al. (2010)

Asker et al. (2010) developed a manual to assist in identifying the important enabling factors for effective CBT. Enabling factors is a different name for “facilitators” or “facilitating factors”. Although the manual provides a lot of information, it does not include a complete list of factors, but rather it presents the most common and general ones.

Enabling conditions for good practice CBT (Asker et al., 2010: 4)

- The community is already well organized and cohesive
- When community members, women, men and youth are, widely involved in decision making processes, and financial management around the CBT
- Land ownership and other ‘resource’ issues are clear and well defined
- ‘Bottom up desire’, in the community reflected in the facility design, decision making and management structures.
- Decision for CBT is made by the community based on informed choice, of impact, options, risk, and outcomes
- High participation levels
- Driver is not purely income generation but also cultural and natural heritage conservation and intercultural learning
- The activity is supported by good marketing mechanisms
- A strong plan for expansion, and/or to limit visitor numbers in balance with the carrying capacity of the community and environment to avoid

adverse effects on both

- Strong partnership with local NGOs, relevant government bodies and other supporters
- Approaches are contextually and locally appropriate and not just ‘imported’ from other contexts
- CBT is part of a broader/wider community development strategy
- Linked to visitor education on the value of culture and resources present. Clear zoning of visitor and non-visitors areas
- There is good existing infrastructure to access the product”

Dangi & Jamal (2016)

Based on extensive literature review, Dangi & Jamal (2016) defined critical success factors (CSFs) for CBT that are understood to be common worldwide. They organized them under four key areas of community empowerment identified by Scheyvens (1999) (Table 26). Their work includes case studies in developing and developed countries as well as scholars’ and experts’ opinion on CSFs found in 22 reference texts.

Dodds, Ali, & Galaski (2016)

Based on the scientific and grey literature review, Dodds, Ali, and Galaski (2016) defined elements for CBT success. As they noted, the criteria discussed are a high-level outline; however, they are necessary elements that can be adapted for any community context.

- (1) Participatory planning and capacity building – to strengthen community’s tourism management skills
- (2) Collaboration and partnerships facilitating links to market – to ensure financial viability
- (3) Local management/empowerment of community members
- (4) Establishment of environmental/community goals – to ensure outcomes are in alignment with community’s values
- (5) Assistance from enablers (government, funding institutions, and private sector) – to facilitate access to the formal economy
- (6) Focus on generating supplemental income for long-term community sustainability

Table 3. CBT success factors by Dangi and Jamal (2016)

Dimensions of Community Empowerment	Elements of Community Success Factors (CSFs)
Economic Empowerment	1. Income and employment 1.1. Economic benefits 1.2. Local ownership of businesses, small and medium business enterprises (SMEs) 1.3. Providing financial services/funds to SMEs 1.4. Management of external/internal financial resources 1.5. Vision, goals, strategies, marketing/networking (integrated planning) 1.6. Economic benefits 1.7. Capacity building, training and entrepreneurship/skills development 1.8. Equal distribution of land among residents/equity 1.9. Community assets
Psychological Empowerment	2. Community pride and self-esteem 2.1. Participation, involvement, collaboration 2.2. Educational activities (to identify self needs), having knowledge/information 2.3. Tourist/resident satisfaction 2.4. Protecting local identity
Social Empowerment	3. Community cohesion 3.1. Participation, involvement, collaboration 3.2. Community cohesion, networking, sense of community 3.3. Interaction among stakeholders 3.4. Quality of life 3.5. Respect for local culture and tradition 3.6. Tourism resource conservation 3.7. Important role of women in development
Political Empowerment	4. Shift in power balance 4.1. Participation, involvement, collaboration 4.2. Support from local/national government 4.3. Visionary and passionate leaders

2.2. Barriers for community participation

In terms of the barriers for CBT initiatives, more than a few authors carried out research to explore them.

Tosun (2000)

Tosun (2000) is one of the first ones and the most cited author that defined and examined limitations to public participation in the decision-making process of tourism development in developing countries. Tosun (2000) defines the following barriers:

Limitation at the operational level: These are the obstacles associated with the operational procedures of the task.

1. Centralization of public administration of Tourism

Sub-barriers:

- Strong central government that has practiced administrative tutelage on local government.
- The public administration system is too bureaucratic to respond to public needs effectively and efficiently
- Lack of political will to implement participation because of the implications for the distribution of power and resources
- Lack of co-ordination and co-operation amongst agencies
- Developing world politicians are motivated/forced to satisfy international agencies and organized business class

2. Lack of co-ordination

Sub-barriers:

- Planning process is very fragmented
- Traditional powerful bureaucracy dominates legislative and operational processes
- ‘Bureaucratic jealousy’ among official authorities that impede one authority trespassing on what is regarded as territory of another authority
- Opportunism of politicians, offering sops where political gain is likely to accrue, and yielding where political pressure is greatest
- Lack of definition in roles of agencies
- Overlap in responsibilities of government departments

3. Lack of information

Sub-barriers:

- Big communication gap between communities and decision-makers.
- Knowledge gap between local communities and decision-makers
- Poor understanding of opportunities related to tourism
- Decision-makers may not have up-dated information about socio-economic structures of local communities in tourist destinations

Structural limitations to community participation in the TDP:

Structural constraints are usually associated with institutional, power structures, legislative, and economic systems.

4. Attitudes of professionals

Sub-barriers:

- Overconfidence of the technical service officers, who formulated draft plans, about the quality of their work, thus low chances of acceptance of alternatives options for development
- Possible costs of participatory approaches that might require

more time and money than top-down classic approach

5. Lack of expertise

Sub-barriers:

- Tourism development plans that refer to improving infrastructures, increasing bed capacity and other components of tourist superstructure are not effective and do not reflect concerns of contemporary approaches to tourism development
- Not taking advantage of human resources educated abroad because of widespread favoritism, nepotism and personality clashes
- Tourism development planning often proceeds in an ad hoc way. Substantive tourism planning is usually donor-assistance driven and concerned with outputs not objectives.

6. Elite domination:

Sub-barriers:

- Patron-client relations between government and powerful stakeholders that favors the interest of the dominant class at the expense of the vast majority
- Foreign domination of the developing world tourism industry resulted in the loss of local control over resources
- Decision-makers at central level and elitist bodies who are exogenous to communities in tourist destinations target to control local communities and their resources upon which they depend
- The struggle between elites and local people to control resources has been ignored by local and central governments
- If communities in tourist destinations are not empowered in a real sense, involvement may be restricted to elites in the community that have their own agendas.

7. Lack of appropriate legal system

Sub-barriers:

- Violation of laws and regulations by politically supported tourism projects.
- Laws favor a small group of elites and discriminates against the interests of the powerless majority
- Ability of local authorities to impose laws and regulation are limited and directed by important interest groups outside the community.

8. Lack of trained human resources

Sub-barriers:

- Lack of or inadequate training at the local level
- Low literacy rate at the community level

9. Relatively high cost of community participation

Sub-barriers:

- Public bodies may not want to spend their limited financial resources on organizing community participation that require relatively more bureaucratic formalities that demand more money, organizational skills, time and effort, whose benefits appears to be relatively long term
- Private sector may avoid practicing participatory tourism development strategy since it involves contradictory investment criteria

10. Lack of financial resources

Sub-barriers:

- Failure to notice the opportunities of tourism by local investors and in result overtaking of the industry by outside interests

Cultural limitations: Cultural limitations are those that relate to people and their abilities to participate.

11. Limited capacity of poor people

Sub-barriers:

- The lack of effective grass-root organizations that can be instrumental in determining and improving the collective interests of the poor
- Participating in the TDP which demands time and energy may be a luxury that the host communities cannot afford
- Socio-economic and political issues have been handled in isolation from local communities in tourist destinations. The people and their needs (infrastructure, public services) have been neglected for the benefit of attracting international tourism industry.

12. Apathy and Low Level of awareness in the local community

Sub-barriers:

- Most of the time citizens are not motivated to participate because they believe that their idea will not be considered
- Low levels of awareness about potential and current costs and the possible benefits of tourism development
- Language and cultural differences between planners and community creating communication barriers and low credibility

Blackman et al. (2004)

Blackman et al. (2004) analyzed 11 case studies with the overall aim to define factors associated with failure and factors that contribute to success of tourism development in remote locations.

The factors associated with failure are presented below.

Planning:

1. Community opposition to development driven by external interests

Organizing:

2. Negative socio-economic and environmental impacts
3. Limited infrastructure, especially accommodation
4. Limited organizational structures: delayed decisions and poor decision making processes, lack of effective cooperation

Leadership:

5. Loss of leaders

Control:

6. Financial problems – economic leakages, lack of investment, issues with financial viability
7. Inability to maintain standards

Goodwin (2006)

Goodwin (2006), found that CBT projects failed because of the following:

- Lack of understanding of the need for commercial activities
- Lack of engagement with the private sector, including travel agents, tour operators and hoteliers
- The importance of location
- Lack of appropriate tourism facilities for generating income
- Reliance of PAs on income from tourists to pay for conservation initiatives.

Goodwin (2006) also states that the local elites can be a

significant barrier for CBT as they control distribution of benefits, especially at the village level, while at the national level, the central government benefits the most through control of PA's revenues. The author adds that inequalities in power may also hinder the participation of various stakeholders in the community and in the wider society. The views of dominant stakeholder might take over the local tourism and result in low sense of community-based initiative ownership, leading to resentment of tourism enterprises in the locality.

Asker et al. (2010)

Asker et al. (2010) developed a manual to assist in identifying the important barriers for effective CBT. Although the manual provides a lot of information, it does not include a complete list of factors, but rather it presents the most common and general ones.

Barriers to the development of CBT (Asker et al. 2010: 4):

- The foundations of the community and men's, women's and youth organizations are fragmented and unorganized
- Decision-making is purely the domain of powerful individuals (usually males), and the benefits are not equitably distributed
- Land and resource disputes are rife and recurrent
- 'Top down' centralized decision making and management structures where CBT is 'placed' on a community by an outsider particularly if this is from international sources and there is a local perception that the motivations is purely financial

- There is no real local decision making or it is based on limited information and no consideration of options
- Participation wanes during implementation of the CBT facility
- Drivers are solely financial
- Little marketing or misplaced marketing
- When people think they can invite tourists then sit back and ‘the money will roll in’ and there is a lack of future planning (to the detriment of the community and the natural landscape)
- Established through external funding mechanisms
- The CBT venture is seen as a ‘one size fits all’
- CBT is seen as a quick fix ‘way up and out’ of a poverty cycle
- No attempt to inform visitors of the specific nature of local natural and cultural heritage so there is no sense of the uniqueness of ‘place’
- Infrastructure is inadequate and there is no potential for investment

Murphy, Moscardo, & Blackman (2014)

Murphy, Moscardo, and Blackman (2014) based on Moscardo (2011) and Moscardo (2005) who conducted a review of 100 and 40 case studies respectively of tourism development in rural and peripheral regions to identify barriers to effective tourism development. These case studies considered cases from all over the world, but European cases were most common and only 31 cases were from developing regions. The cases included all types of tourism that is carried out in peripheral regions including ecotourism, cultural tourism, nature and farm tourism etc. The authors further used findings of Aref (2011) who provided a

comprehensive review of the literature on barriers to effective community capacity building for tourism. Finally, the barriers defined by Murphy et al. (2014: 236) are the following:

- Limited market analysis or a reliance on external agents for limited market information;
- Limited control over, and involvement or participation in, tourism planning by community members;
- Lack of coordination of community stakeholders;
- Poor infrastructure development;
- Dominance of external agents in the development process;
- Limited or no formal planning;
- Conflict over tourism development within communities;
- Limited community awareness of potential negative impacts;
- False expectations about potential benefits from tourism;
- Limited connections to tourism distribution systems;
- Financial barriers
- Lack of tourism leadership from within the community;
- Dependency on government and lack of effective and strong government institutions;
- Lack of recognition of local power as a component of community development; and
- Lack of skills (eg. lack of problem solving skills) and capital within destination communities.

Saufi, O'Brien, and Wilkins (2014)

Saufi, O'Brien, and Wilkins (2014) carried out a research on facilitation of host community participation in sustainable tourism development. They carried out 38 in-depth interviews in three different places in Lombok in Indonesia. They analyzed the data using content analysis, coded using particular words, and then grouped based on their similarities and relevance in order to form particular concepts. They compared and contrasted the concepts to find the relationships among them and to identify emergent themes.

The 10 themes were grouped into three categories based on their similarities: (1) tourism agencies, (2) private sector providers and tourism infrastructure, and (3) perceptions of tourism impacts.

1. Programs and priorities
2. Regulation
3. Tourism information
4. Education and host community empowerment
5. Investment in the tourism industry
6. Tourism providers
7. Contact with tourists
8. Interest in tourism
9. Tourist behavior
10. Tourism impacts

Dodds, Ali, & Galaski (2016)

Based on the scientific and grey literature review, Dodds, Ali, and Galaski (2016) defined general barriers of successful CBT.

- (1) Financial viability – lack of funding and finance skills
- (2) Marketing – little direct marketing to foreign visitors
- (3) Product development – non-market-ready product
- (4) Capacity building – lack of access to markets
- (5) Land management/governance – lack of empowerment of local communities (or centralized governance)

Appendix 3. List of case studies used in the research

Cases includes in the analysis:

1. Amati, C. (2013). "We all voted for it": experiences of participation in community-based ecotourism from the foothills of Mt Kilimanjaro. *Journal of Eastern African Studies*, 7(4), 650-670.
2. Anand, A., Chandan, P., & Singh, R.B. (2012). Homestays at Korzok: Supplementing rural livelihoods and supporting green tourism in the Indian Himalayas. *Mountain Research and Development*, 32(2), 126-136.
3. Avila Foucat, V.S. (2002). Community-based ecotourism management moving towards sustainability, in Ventanilla, Oaxaca, Mexico. *Ocean & Coastal Management*, 45(8), 511–529.
4. Belsky, J.M. (1999). Misrepresenting communities: The politics of community-based rural ecotourism in Gales Point Manatee, Belize. *Rural Sociology*, 64(4), 641-666.
5. Borges Lima, I., & d'Hautesserre A.M. (2011). Community capitals and ecotourism for enhancing Amazonian forest livelihoods. *Anatolia*, 22(2), 184-203.
6. Bruyere, B.L., Beh, A.W., & Lelengula, G. (2009). Differences in perceptions of communication, tourism benefits, and management issues in a protected area of rural Kenya. *Environmental Management*, 43(1), 49–59.
7. Charnley, S. (2005). From nature tourism to Ecotourism? The case of the Ngorongoro Conservation Area, Tanzania. *Human Organization*, 64(1), 75-88.
8. Chili, N.S., & Ngxongo, N.A. (2017). Challenges to active community involvement in tourism development at Didima Resort – a case study of Umhlwazini community in Bergville. *African Journal of Hospitality, Tourism and Leisure*, 6(2), 1-15.
9. Clements, T., John, A., Nielsen, K., Vicheka, C., Sokha, E., & Piseth, M. (2008). Translinks case study: Tmatboey community-based ecotourism project, Cambodia. Phnom Penh: Wildlife Conservation Society TransLinks Program.
10. Cobbinah, P.B., Black, R., & Thwaites, R. (2015). Ecotourism implementation in the Kakum Conservation Area, Ghana: administrative framework and local community experiences. *Journal of Ecotourism*, 14(2-3), 223-242.
11. Cole, S. (2006). Information and empowerment: The keys to achieving sustainable tourism. *Journal of Sustainable Tourism*, 14(6), 629-644.

12. Colvin, J.G. (1994). Capirona: A model of indigenous ecotourism. *Journal of Sustainable Tourism*, 2(3), 174-177.
13. Gascón, J. (2013). The limitations of community-based tourism as an instrument of development cooperation: the value of the Social Vocation of the Territory concept. *Journal of Sustainable Tourism*, 21(5), 716-731.
14. Giampiccoli, A., Jugmohan, S., & Mtapuri, O. (2014). International cooperation, community-based tourism and capacity building: Results from a Mpondoland village in South Africa. *Mediterranean Journal of Social Sciences*, 5(23), 657-667.
15. Grieves, M., Adler, M., & King, R. (2014). To preserve the mountains and the community: Indigenous ecotourism as a sustainable development strategy. *Social Thought and Research*, 33, 83-111.
16. He, G., Chen, X., Liu, W., Bearer, S., Zhou, S., Cheng, L. Y., ... Liu, J. (2008). Distribution of economic benefits from ecotourism: A case study of Wolong Nature Reserve for Giant Pandas in China. *Environmental Management*, 42(6), 1017-1025.
17. Hernandez Cruz, R.E., Bello Baltazar, E., Montoya Gomez, G., & Estrada Lugo, E.I.J. (2005). Social adaptation: Ecotourism in the Lacandon forest. *Annals of Tourism Research*, 32(3), 610-627.
18. Hitchner, S.L., Apu, F.L., Tarawe, L., Aran, S.G.N., & Yesaya, E. (2009). Community-based transboundary ecotourism in the heart of Borneo: a case study of the Kelabit Highlands of Malaysia and the Kerayan Highlands of Indonesia. *Journal of Ecotourism*, 8(2), 193-213.
19. Jamal, T., & Stronza, A. (2009). Collaboration theory and tourism practice in protected areas: stakeholders, structuring and sustainability. *Journal of Sustainable Tourism*, 17(2), 169-189.
20. Jitpakdee, R., & Thapa, G.B. (2012). Sustainability analysis of ecotourism on Yao Noi Island, Thailand. *Asia Pacific Journal of Tourism Research*, 17(3), 301-325.
21. Jones, S. (2005). Community-based ecotourism: The significance of social capital. *Annals of Tourism Research*, 32(2), 303-324.
22. Knight, D.W., & Cottrell, S.P. (2016). Evaluating tourism-linked empowerment in Cuzco, Peru. *Annals of Tourism Research*, 56, 32-47.
23. Kontogeorgopoulos, N., Churyen, A., & Duangsaeng, V. (2014). Success factors in community-based tourism in Thailand: The role of luck, external

- support, and local leadership. *Tourism Planning & Development*, 11(1), 106-124.
24. Lapeyre, R. (2010). Community-based tourism as a sustainable solution to maximise impacts locally? The Tsiseb Conservancy case, Namibia, *Development Southern Africa*, 27(5), 757-772.
 25. Lenao, M. (2015). Challenges facing community-based cultural tourism development at Lekhubu Island, Botswana: a comparative analysis. *Current Issues in Tourism*, 18(6), 579-594.
 26. Lepp, A. (2007). Residents' attitudes towards tourism in Bigodi village, Uganda. *Tourism Management*, 28(3), 876-885.
 27. Matarrita-Cascante, D., Brennan, M.A., & Luloff, A.E. (2010). Community agency and sustainable tourism development: the case of La Fortuna, Costa Rica. *Journal of Sustainable Tourism*, 18(6), 735-756.
 28. Ramos, A., & Prideaux, B. (2014). Indigenous ecotourism in the Mayan rainforest of Palenque: empowerment issues in sustainable development. *Journal of Sustainable Tourism*, 22(3), 461-479.
 29. Mitchell, R.E. & Eagles, P.F.J. (2001). An integrative approach to tourism: lessons from the Andes of Peru. *Journal of Sustainable Tourism*, 9(1), 4-28.
 30. Mitchell, R.E. & Eagles, P.F.J. (2001). An integrative approach to tourism: lessons from the Andes of Peru. *Journal of Sustainable Tourism*, 9(1), 4-28.
 31. Moswete, N., Thapa, B., & Child, B. (2012). Attitudes and opinions of local and national public sector stakeholders towards Kgalagadi Transfrontier Park, Botswana. *International Journal of Sustainable Development & World Ecology*, 19(1), 67-80.
 32. Moswete, N., Thapa, B., & Lacey, G. (2009). Village-based tourism and community participation: A case study of the Matsheng villages in southwest Botswana. In J. Saarinen, F. Becker, H. Manwa, & D. Wilson (Eds.), *Sustainable tourism in Southern Africa: Local communities and natural resources in transition* (pp. 189–209). Clevedon: Channelview.
 33. Nelson, F. (2004). The evolution and impacts of community-based ecotourism in northern Tanzania. Issue paper no. 131. London: International Institute for Environment and Development.
 34. Nelson, F. (2004). The evolution and impacts of community-based ecotourism in northern Tanzania. Issue paper no. 131. London: International Institute for Environment and Development.

35. Nelson, F. (2004). The evolution and impacts of community-based ecotourism in northern Tanzania. Issue paper no. 131. London: International Institute for Environment and Development.
36. Nguangchaiyapoom, S., Yongvanit, S., & Sripun, M. (2012). Community-based tourism management of Ban Prasat, Non Sung District, Nakhon Ratchasima Province, Thailand. *Manuscript Sangkomsaat [Humanities and Social Sciences]*, 29(3), 191–207.
37. Nyaupane G.P., Morais, D.B., & Dowler, L. (2006). The role of community involvement and number/type of visitors on tourism impacts: A controlled comparison of Annapurna, Nepal and Northwest Yunnan, China. *Tourism Management*, 27, 1373-1385.
38. Nyaupane G.P., Morais, D.B., & Dowler, L. (2006). The role of community involvement and number/type of visitors on tourism impacts: A controlled comparison of Annapurna, Nepal and Northwest Yunnan, China. *Tourism Management*, 27, 1373-1385.
39. Ogutu, Z.A. (2002). The impact of ecotourism on livelihood and natural resource management in Eselenkei, Amboseli ecosystem, Kenya. *Land Degradation & Development*, 13, 251-256.
40. Okazaki, E. (2008). A community-based tourism model: Its conception and use. *Journal of Sustainable Tourism*, 16(5), 511-529.
41. Paimin, N.F.V., Modilih, S., Mogindol, S.H., Johnny, C., & Thamburaj, J.A. (2014). Community participation and barriers in rural tourism: a case study in Kiulu, Sabah. *Web of Conferences*, 12, 1-7.
42. Pawson, S., D'Arcy, P., & Richardson, S. (2017). The value of community-based tourism in Banteay Chhmar, Cambodia. *Tourism Geographies*, 19(3), 378-397.
43. Prachvuthy, M. (2006). Tourism, poverty, and income distribution: Chambok community-based ecotourism development, Kirirom National Park, Kompong Speu Province, Cambodia. *Journal of Greater Mekong Subregion Development Studies*, 3(1), 25-40.
44. Reimer, J.K., Walter, P. (2013). How do you know it when you see it? Community-based ecotourism in the Cardamom Mountains of southwestern Cambodia. *Tourism Management*, 34, 122-132.
45. Rozemeijer, N. (2000). Community-based tourism in Botswana: The SNV experience in 3 community tourism projects. Gaborone: SNV/IUCN CBNRM Support Programme.

46. Rozemeijer, N. (2000). Community-based tourism in Botswana: The SNV experience in 3 community tourism projects. Gaborone: SNV/IUCN CBNRM Support Programme.
47. Rozemeijer, N. (2000). Community-based tourism in Botswana: The SNV experience in 3 community tourism projects. Gaborone: SNV/IUCN CBNRM Support Programme.
48. Saufi, A., O'Brien, D., & Wilkins, H. (2014). Inhibitors to host community participation in sustainable tourism development in developing countries. *Journal of Sustainable Tourism*, 22(5), 801-820.
49. Sebele, L.S. (2010). Community-based tourism ventures, benefits and challenges: Khama Rhino Sanctuary Trust, Central District, Botswana. *Tourism Management*, 31, 136–146.
(Exact the same article as Sebele, 2010) Stone, L.S., & Stone, T.M. (2011). Community based tourism enterprises: challenges and prospects for community participation; Khama Rhino Sanctuary Trust, Botswana. *Journal of Sustainable Tourism*, 19(1), 97-114.
50. Somarriba-Chang, M., & Gunnarsdotter, Y. (2012). Local community participation in ecotourism and conservation issues in two nature reserves in Nicaragua. *Journal of Sustainable Tourism*, 20(8), 1025-1043.
51. Somarriba-Chang, M., & Gunnarsdotter, Y. (2012). Local community participation in ecotourism and conservation issues in two nature reserves in Nicaragua. *Journal of Sustainable Tourism*, 20(8), 1025-1043.
52. Ellis, S. (2011). Community based tourism in Cambodia: exploring the role of community for successful implementation in least developed countries. PhD Thesis, Edith Cowan University. Retrieved from <http://ro.ecu.edu.au/theses/451>
53. Southgate, C.R.J. (2006). Ecotourism in Kenya: the vulnerability of communities. *Journal of Ecotourism*, 5(1-2), 80-96.
54. Stronza, A.L. (2010). Commons management and ecotourism: ethnographic evidence from the Amazon. *International Journal of the Commons*, 4(1), 56-77.
55. Sundjaya (2005). Mangrove conservation through ecotourism development by the Bobongko people in the Togean Islands, Indonesia. In J. Velasquez (Ed.), *Innovative communities: people-centred approaches to environmental management in the Asia-Pacific region* (pp. 182-203). Tokyo: United Nations University Press.

56. Jamieson, W., & Sunalai, P. (2005). Sustainable tourism planning and management in Klong Khwang, Thailand. In J. Velasquez (Ed.), *Innovative communities: people-centred approaches to environmental management in the Asia-Pacific region* (pp. 158-181). Tokyo: United Nations University Press.
57. Timothy, D.J., & White, K. (1999). Community-based ecotourism development on the periphery of Belize. *Current Issues in Tourism*, 2(2-3), 226-242.
58. Wang, C.C., Cater, C., & Low, T. (2016). Political challenges in community-based ecotourism. *Journal of Sustainable Tourism*, 24(11), 1555-1568.
59. Wunder, S. (1999). Promoting forest conservation through ecotourism income? A case study from the Ecuadorian Amazon region. Occasional paper No. 21. Jakarta: Center for International Forestry Research.
60. Wunder, S. (1999). Promoting forest conservation through ecotourism income? A case study from the Ecuadorian Amazon region. Occasional paper No. 21. Jakarta: Center for International Forestry Research.
61. Wunder, S. (1999). Promoting forest conservation through ecotourism income? A case study from the Ecuadorian Amazon region. Occasional paper No. 21. Jakarta: Center for International Forestry Research.
62. Wunder, S. (1999). Promoting forest conservation through ecotourism income? A case study from the Ecuadorian Amazon region. Occasional paper No. 21. Jakarta: Center for International Forestry Research.
63. Yeboah, T. (2013). Assessing community participation in selected ecotourism projects in the Brong-Ahafo Region, Ghana. *Journal of Ecology and Natural Environment*, 5(7), 133-143.
64. Zanotti, L., & Chernela, J. (2008). Conflicting cultures of nature: ecotourism, education and the Kayapó of the Brazilian Amazon. *Tourism Geographies*, 10(4), 495-521.
65. Collins, S., & Snel, H. (2008). A perspective on community based tourism from South Africa: The TRANSFORM Programme, 1996-2007. In A. Spenceley (Ed.), *Responsible tourism: critical issues for conservation and development*. London: Earthscan.
66. Collins, S., & Snel, H. (2008). A perspective on community based tourism from South Africa: The TRANSFORM Programme, 1996-2007. In A. Spenceley (Ed.), *Responsible tourism: critical issues for conservation and development*. London: Earthscan.

67. Kim, S., Park, E., & Phandanouvong, T. (2014). Barriers to local residents' participation in community-based tourism: Lessons from Houay Kaeng village in Laos. *SHS Web of Conferences*, 12, 1-8.
68. Isaac, M., & Wuleka, K. (2012). Community-based ecotourism and livelihood enhancement in Sirigu, Ghana. *International Journal of Humanities and Social Science*, 2(18), 97-108.

Appendix 4. Coding guidelines

A 10-steps methodology by Mayring (2014), with two additional steps (7 and 8) added recently by Assaroudi et al. (2018) used for coding:

(1) Determination of the research question and theoretical background,

- a) Formulate a clear research question
- b) Describe the theoretical background (theoretical position, previous studies)
- c) The research question must fit an inductive logic, that means it must be explorative or descriptive in its nature.

(2) Definition of the category system such as main categories and factors based on the previous theory and research,

- a) The category/factor definition serves as selection criterion to determine the relevant material from the texts; it has to be an explicit definition; theoretical references can be useful.
- b) The level of abstraction defines, how specific or general the categories have to be formulated. Both rules (category definition and level of abstraction) are central for inductive category formation. They have to be defined in advance and can be altered within the pilot phase.

(3) Establishing a guideline for coding (basic coding scheme), considering definitions

- a) Read the material from the beginning, line by line, and check if material occurs that is related to the category definition. All other material is ignored within this procedure.
- b) Formulate a category near to the text at the level of abstraction
- c) If the next passage fits the category definition, check if it can be subsumed to the first category or if a new category has to be

formulated, and so on.

(4) Reading the whole text, determining preliminary codes (1st level coding)

a) A revision in the sense of a pilot loop is necessary, when the category system seems to become stable (only few new categories).

b) Check if the category system fits the research question! If not, a revision of the category definition would be necessary.

c) Check if the degree of generalization is sufficient. If you have formulated only few categories, maybe the level of abstraction is too general. If you have formulated a huge amount of categories maybe the level of abstraction is too specific.

d) If you have changed the category definition and/or the level of abstraction, you have to start the analysis from the beginning of the material.

(5) Revision of the category and coding scheme (final coding scheme)

a) The whole material has to be worked through with the same rules (category definition and level of abstraction).

(6) Reworking data (2nd level coding)

a) At the end of this process you have a list of categories (factors). You can group them and build main categories, if useful for answering the research question.

(7) The inductive abstraction of main categories from preliminary codes

a) Preliminary codes are grouped and categorized according to their meanings, similarities and differences. The products of this categorization process are known as 'generic categories'.

(8) The establishment of links between generic categories and

main categories.

a) The constant comparison of generic categories and main categories results in the development of a conceptual and logical link between generic and main categories, nesting generic categories into the pre-existing main categories based on human capitals framework.

(9) Intra-/intercoder check

a) Start coding from the beginning of the material and compare the results (intra-coder agreement)

b) Give the material (or parts of it) to a second coder and compare the results

c) You should discuss the results and decide which coding is adequate (following the rules). Only if the second coding is held as better coding, this is counted as disagreement.

d) If you change the better coding for analysis you can enhance reliability (not always possible).

(10) Analyzing and interpreting based on frequencies and contingencies.

Appendix 5: Coding scheme

The coding scheme provides definition of every factor used for coding. Because coding itself should be done according to specific rules and respecting boundaries given by the definitions, in that way the level of reliability is increased as well as reproducibility. The latter is considered high if similar result of coding are reached by different researchers who followed the same procedure. In other words, a researcher should be able to read the definitions of each factor and decide which quote from case studies corresponds with which factor. An example of this procedure is provided below.

Example of coding using the coding scheme

An example provided below in table 1 and 2 is the result of coding of one singular case study written by Jamieson and Sunalai (2005). Similar procedure was carried out for all analyzed cases.

Table 1. An example of the coding scheme used for external factors

Facilitator	Coding Scheme definition of the factor	Quotation from the case study
Category: Technical support and provision of capacity building		
Technical cooperation (GOV - X); (NGO – X)	The author states that a governmental, NGO or other organization (university, ODA) works or worked in the past with the community providing technical support in any area required for CBT. No or discontinued technical cooperation refers to situations when author states that the there was no	“In 1998, we became involved with the Klong Khwang community as members of the Canadian Universities Consortium Urban Environmental Management (CUC UEM) Project, based at the Asian Institute of Technology (AIT) in Bangkok and funded by the Canadian International Development Agency (CIDA)” (p. 161).

	<p>government or NGO support for CBT, or the supporting organization ceased support which had a negative impact on the initiative.</p>	<p>“At the beginning, the project team’s role was to provide technical advice and support, whereas the community would be responsible for actually managing the process and eventually developing the tourism plan” (p. 161). “It was acknowledged by all major stakeholders that the technical assistance provided by national and local governments and the project team was instrumental in ensuring important issues were identified, technical advice and direction were available to committee members, and an overall understanding of community-based tourism was established” (p. 177).</p>
<p>Provision of capacity building (GOV - X); (NGO – X)</p>	<p>It refers to a supports received by a community in terms of capacity building in any field required for CBT including guiding courses, business management, financial management, hospitality, product development, creative skills, marketing, tourism, etc.</p>	<p>“Training in agricultural product development has been provided by provincial government agencies” (p. 173). “A capacity-building exercise was also part of the project. This was designed to ensure that tourism and other local officials were updated regularly on the project’s approaches and lessons learned through publications, briefing notes, manuals and videos” (p. 162). “Capacity-building also played a key role in the initiative’s success. This occurred at a number of levels and included an effort to improve the ability of project team members to increase the community’s capacity to manage its own affairs“ (p. 177).</p>
<p>Category: Attitudes of professionals</p>		
<p>Recognition of the importance of community participation (X)</p>	<p>Community involvement and collaboration are / are not recognized by the officials as important or beneficial for them. The community is either ignored, not recognized as a legitimate stakeholder in favor of private tourism stakeholders or the local authorities encourage its participation and input and invite them to tourism-related meetings. In case of the latter officials and private</p>	<p>“Klong Khwang has been recognized by the Nakhon Ratchasima provincial government as an excellent community-based initiative and is becoming well known to other communities in the province” (p. 177).</p>

stakeholders might perceive CBT as an activity with the potential to generate socio-economic benefits to rural communities.

Table 2. An example of the coding scheme used for internal factors

Inhibitor	Facilitator	Coding Scheme definition of the factor	Quotation from the case study
Category: Community organization and management			
Absence of a management structure	Presence of management structure (X)	An author states that local organization responsible for implementation and management of the initiative has a structure that may be elected democratically or through other means. Additionally, there can be a note about the clear definition of responsibilities of different people within the structure of the local village authority. The structure might include one or more aspects: responsibilities for management, accounting, distribution of profits, representation of different social and ethnic groups, arrangements for conflict resolution, monitoring, rules and regulations, and sanctions for breaking them, etc.	“He and the community recognized that, to implement the plan and strengthen local people’s involvement in managing tourism activities, an appropriate organizational structure was required. From the beginning of the planning process the community set up a tourism committee to serve as an advisory board for tourism-related development activities” (p. 172). “Establishment of community cooperative. In accord with the moderate tourism development model adopted by the community, a cooperative was established with a small investment of 9,400 baht (US\$240). It consists of five working groups: production, marketing, finance, auditing and sales. Each group has a selected head and the village headman acts as chairperson of the cooperative as a whole” (p. 172).
No mechanism for distribution of profit	Mechanism for distribution of profit (X)	An author mentions that the distribution of profit is equitable and additionally one or more mechanism how this happens is mentioned. For example, rotation of work, distribution of work by families, setting prices for products and services sold by	“To encourage members to get involved in the working groups, there is an agreement that anyone who regularly participates receives a monthly dividend of 75 per cent of the profits generated from tourism activities and local goods made from agricultural products; 15 per cent of the profits go to the

the community or establishment of a collective community fund for public benefits. Although mechanism itself does not guarantee equal distribution, the author of the case makes judgment if the benefit is distributed equally.

cooperative fund, which provides loans to cooperative members and assistance for medical expenses or funeral ceremonies; those who do not work get 10 per cent annually” (p. 172).

“One key concern in relation to tourism development is that the economic benefits are often not distributed in an equitable manner. In Klong Khwang, donations are directed primarily to improvements and the maintenance of the temple and its facilities. Profits from agricultural products are equally distributed through the cooperative to members. Net profits from the sale of souvenirs are given to villagers and the co-operative. This example of managing profits is an excellent model for in-come distribution. From the beginning, the community was less concerned with individuals benefiting from the development process and more interested in ensuring that the entire community would profit once tourism activities were under way” (p. 174).

1. Human capital factors

Skills and education

(No) skills and expertise in areas required for operation of tourism: Author indicates that the community lacked skills necessary for operation of the initiative. Besides the general statement of lack of skills, additionally the author can specify one or more of the following specific skills: management skills, financial management, negotiation, marketing,

planning and decision making and cross-cultural and language skills to deal with foreigners.

Knowledge and awareness

(No) clarity about tourism, its costs and benefits and ways in which communities could participate: The author states that the community shows low levels of knowledge and understanding of key aspects of tourism, including its costs and benefits. It is similar to another factor called “No or poor dissemination of information about planned tourism development and related opportunities”, but different in a way that one focuses on the results (communities’ knowledge of tourism) and the other on one of the potential causes (government and other stakeholders’ sharing information practices).

No or limited knowledge about community’s own rights: It indicates that the community is not empowered through knowledge of their rights to manage lands and/or resources and to enter into commercial agreements in order to take advantage of commercial interests in their resources and to avoid being by-passed by outsiders. It also refers to cases when community is not aware of rights they do not have; thus they break the law unintentionally.

Awareness of the importance of current tourism resources: It refers to the community's awareness about the importance of their culture and natural resources for development of genuine tourism products. In other words, the community members know which natural (landscape, animal species, plants, etc.) and cultural aspects (festivals, architecture, crafts, traditional skills, etc.) attract attention and interest of tourists.

2. Political and institutional capital

Policies and legislation

(Poor or) (in)adequate government policies: The author states that there are / are not adequate policies to support CBT or nature tourism. Poor or inadequate policies also refers to fragmented tourism planning and policies that directly contradict each other.

- *Overlapping legal land use rights:* The author states that there is more than one land use right officially established by the law in a specific area. That also includes concessions given to outside party to carry out specific activities on land that has different uses established previously by the government. For example: a community owned land within a PA, hunting concession within a conservation land, etc.

Excessive formality and bureaucracy in the processes of community involvement: The author states that a community has to go

through a complex bureaucratic and political process to be able to participate in CBT. It also refers to statements indicating that the public administration has a highly bureaucratic or hierarchical structure that is too slow to act in response to local community needs.

Legal sustainable use of natural resources provided by the area:

It refers to situations when a community is allowed to use natural resources, even if they are located in a protected area, for their own benefit or subsistence. However, the type of can be regulated by the authorities, but does not have to.

Conflict between traditional resource use practices with conservation objectives of the protected area: The community relies on unsustainable extraction of food or materials from the natural area (bush meat, wood) and unsustainable farming and grazing techniques (slash & burn) as well as land grabbing, which has a negative effect on conservation and future of nature tourism. It includes cases when PAs establish harsh restrictions on communities against resource consumption and use of land within PA.

Political support

No political commitment to support community-based tourism:

The author specifically indicates that there is lack of commitment from the government to actively support CBT initiative or that the commitment is temporary shifting when priorities change. This means that the community needs and priorities related to CBT are neglected in favor of other government priorities. The government has done nothing or very little to involve local communities or to support their initiatives, in some cases due to prejudiced against the poor rural or indigenous peoples.

Primacy of private interests over local interests: private interests of powerful individuals take higher importance than community interests. It is often connected with corruptive actions of politicians and private elites and driven by opportunities for personal gains rather than public good. The author either directly state that there is corruption in the local government that is a barrier for CBT or points out situations when government officials did allow certain actions against the law or without transparency, which raises suspicion about corruption. It also refers to privileges given to certain groups in order to receive benefits from that group. These actions have a negative effect for the success of CBT.

Primacy of economic interests over local interests: The author indicates that the tourism agencies have their priorities in attracting significant economic capital without paying sufficient attention to social and environmental aspects and local communities. It indicates government's overwhelming focus on attracting international tourism investment at the expense of small-scale tourism opportunities.

No government interest in remote regions: The author points out that the community and its needs and initiatives are neglected by the government due to their remoteness. These areas are viewed as backward, remote and peripheral regions without much economic development potential.

Effective individual leadership: The author states that the role of a singular or a small group of leaders (champions) was significant for the CBT initiative.

(No) recognition of the importance of community participation: Community involvement and collaboration are / are not recognized by the officials as important or beneficial for them. The community is either ignored, not recognized as a legitimate stakeholder in favor of private tourism stakeholders or the local authorities encourage its participation and input and invite them to tourism-related meetings. In case of the

latter officials and private stakeholders might perceive CBT as an activity with the potential to generate socio-economic benefits to rural communities.

- *Unwillingness to work with the community due to their low education and limited capacity to work in tourism:* The author states that the local government or private stakeholders declared that purposely chose not to work with communities due to their low education and lack of skills in tourism.

- *No recognition of benefits of tourism / negative attitude towards tourism:* The government officials or private actors admit that they do not believe / recognize the need for CBT and (eco)tourism in general and potential benefits from it.

No tourism leadership from within the community: The author states that there is a lack or poor leadership in the community or that it is not clear who the leader is due to internal conflict for leadership.

Governance processes

Unhealthy and/or vertical relationship with assistance providing institutions: One or more stakeholder that has legitimate authority given by the law or declared a partnership, cooperation or support is not

providing it or its decisions are not transparent and clear to the community members. It also refers to situations when two or more organizations are not coordinating their actions with each other and the community or when the author of the case states that the government structure and its relations with local people is highly bureaucratic and hierarchical where people have no say and all decisions come in a top-down fashion. This kind of relationship based on the concept of power and authority of the government is common in countries with communist or dictatorship past, with state administration and power extending to very local levels. The interests of the host population are not respected and all decisions are made either by the central or local government.

Healthy and on an equal footing relationship and coordination with assistance providing institutions: In contrary to the previous factor, the relationship between the government and/or other institutions and stakeholders that implement CBT are based on equal footing, where host's opinions are respected and taken into consideration and decisions are made through consensus of all parties involved usually through an institution created for collaboration such as an DMO (Destination Management Organization, board of trust, etc.). This kind of arrangements permits good communication among all stakeholders. The

presence of healthy relationship is considered when the author of the case studies specifically describes that the interaction was good / positive and without major issues.

(No) involvement of community stakeholders in the tourism planning stage: The author specifically mentions that the community or community organization was or was not part of the tourism planning process that was carried out (usually by the government) in form of a plan, policy or a project. It also includes all initiatives that are specific projects, which were introduced to the community with or without their input before the actual implementation in a top-down manner. It refers to the past actions and the current situation where the community is or is not involved in tourism or tourism project planning in a meaningful way. That means, if a community participate in a meeting where issues are discussed, but its role is purely observatory and they have no influence on the decisions being made, it is considered lack of involvement.

(No) Involvement of traditional, local and national authorities in the planning process: The author specifically mentions that traditional / indigenous / ancestral authorities were not involved in the planning of a project / initiative / construction of a plan.

No regulation enforcement: The author states that the law and regulations are not being enforced, sometimes pointing out activities that are carried out against regulations without any repercussions and sanctions / punishment. It also refers to inability of the government to identify and/or control certain illegal activities.

Exclusion of the community from management: The author states that the community is not involved or does not make decisions concerning the initiative and its future and it does not have a meaningful voice in management. It also refers to situations when community is not taking part in implementation of plans and policies. Even when the community participates, it does so without opportunities to provide input or ask questions.

Co-management: The author states that the community is involved in management and has an active voice in decision-making. It does so through a community authority responsible either only for the tourism initiatives or also for management or co-management with governmental organizations of natural resources in the area. Co-management is a collaboration of community with government bodies and other organization through a management board / committee / or other joint management body.

No clear objectives for tourism development / contradictory objectives are provided: The author states that the community does not have clear objectives on development or that contradictory objectives are provided. These objectives are provided by one supporting organization that offers different approach from the one that community considers appropriate or by more supporting organizations that offer different approaches to development.

(No) mechanism for distribution of profit: An author mentions that the distribution of profit is equitable and additionally one or more mechanism how this happens is mentioned. For example, rotation of work, distribution of work by families, setting prices for products and services sold by the community or establishment of a collective community fund for public benefits. Although mechanism itself does not guarantee equal distribution, the author of the case makes judgment if the benefit is distributed equally.

Decisions are dependent upon the proposals of external agents: The author states that the community decisions are influenced by external agents and community is not able to make decisions without consultation with other parties. It includes cases when any activity and visits from outside require assessment and permission from outside, usually from a governmental institution. In some cases, the community is

not involved in planning and management and in other cases it is, but the decisions are being made by other parties (e.g. park authorities, local government, land owners, NGO, etc.). Finally, it includes cases when community feels that it cannot or should not challenge decisions made by the government and situations where the power of other parties on the entire tourism activity in the community is so great that the community feels it cannot challenge it (e.g. tour operators, guide groups bringing visitors).

Independence in the decision making process: The contrary of the previous factor, the community is independent in the decision making process. Even when it is supported by external agents, it has the final say in making decisions.

Decisions are made by community elites: The author states that decisions regarding CBT are made by powerful groups (leaders, politicians, families, wealthy groups) within the community and the majority of the community members is excluded from it. It also refers to cases when a management body such as executive committee is not transparent in decision making and the community members have no political voice and power to influence their decisions. It includes situations when the leaders of local organizations decide what is to be done, and then ask for community contributions to the activities to be

undertaken, neglecting their concerns expressed during planning process and decision-making meetings.

- *Community governance structure disadvantages one or more groups:* An author specifically indicates that the group in power / in charge of decision making in a community in some way treats another group within the community in a disadvantageous way or favors one specific group over other, for example their relatives.

Participative decision making: An author states that members of a community actively participate in decision making, which is either democratic or considered fair by most community members or according to the case study author's findings. It includes mechanisms such as equal vote for each member (or family) in decision making or consensus-based governance.

(No or poor) control over land and resources: An author indicates that the community does not have control over the land and resources. It refers to cases when community does not have secured land right, ownership, access to pastoral resources and no authority to manage land resources within the area they occupy or carry out economic activities such as tourism, as well as cases when community sells / resists to sell their land and therefore can / cannot control it.

(No or poor) control over tourism activities in the area: It is similar to the previous factors, but it refers to control or lack of control over tourism activities and not land and resources. When external stakeholders are present in the area, the community has or does not have control over tourism. It includes community ownership (or lack of) of tourism initiatives (tour operators, accommodation, guiding services, transportation, etc.) and their relative role in local tourism. It created perception among community members that tourism is not owned by the community. On the other hand, good control over tourism also refers to author's indication of high community control over the area that results in the absence of other actors.

Conflict between tourism and other economic activities in the area: an author indicates that there are other economic activities that are being carried out by the community or external stakeholders that negatively affect the level of attractiveness of the area for nature based and ecotourists. It includes activities such as unsustainable animal hunting, logging, converting areas of high biological diversity such as swamps, mangrove forests, coral reefs into agriculture / aquaculture or pastoral lands. In some cases, the activity is directly in conflict with tourism, putting tourists in danger, for example safari hunting and ecotourism on the same area.

Tourism is not the only economic activity, it complements other activities and it is not in conflict with them: An author makes a reference to other economic activities in the area that provide either main or much needed complementary income to the community and he/she does not identify them as being in direct conflict with nature based or ecotourism. It can include activities mentioned previously as conflicting, but in this case an author does not state that they create any conflict with tourism. It also includes statements that activities that are traditionally carried out by the community members (preparing food, housework, etc.) are not conflicting with tourism and that new tourism activities offer diversification of activities in the community.

Conflict within the community over land and/or resources: An author states that there is a conflict / tension / disagreement among community members over the right to land and/or natural resources.

Formal Institutions

(No or discontinued) technical cooperation: The author states that a governmental, NGO or other organization (university, ODA) works or worked in the past with the community providing technical support in any area required for CBT. No or discontinued technical cooperation refers to situations when author states that there was no

government or NGO support for CBT, or the supporting organization ceased support which had a negative impact on the initiative.

Provision of capacity building: It refers to a supports received by a community in terms of capacity building in any field required for CBT including guiding courses, business management, financial management, hospitality, product development, creative skills, marketing, tourism, etc.

Exclusion of basic training in tourism management or inappropriate capacity building. It refers specifically to situation when author mentions that there was lack of capacity building provided or it was inadequate due to the content or duration. The author states that the capacity building had either no effect (participants did not learn anything new) or no positive effect (participants learned things that are not relevant).

Overlapping jurisdiction of different agencies: It refers to situations when responsibilities in relation to ecotourism development are fragmented among two or more agencies that have jurisdiction in one area, and they intent to exercise it causing confusion and complications. It also refers to cases when different central government bodies hold directly conflicting positions on tourism investments.

(No or poor) support for promotion: The author states that the community did not or did receive financial and/or technical support from external parties (government, NGO, private sector) for promotion of the initiative. It includes featuring of the initiative in international, national and regional promotion printed and digital materials. Lack or poor support for promotion includes cases when the supporting organization withdraw from providing that support.

No personnel specifically trained to work with the community: It refers specifically to skills and formal training on community outreach and experience needed for an effective work with communities.

Low level of expertise among the personnel: It refers to expertise in CBT and tourism in general to design, plan and manage initiative, lead and support the community as well as to carry out appropriate capacity building. It also includes cases of incompetency of the supporting organization in terms of project management, capacity building, and other aspects related to the CBT initiative as well as unprofessional management of the project and conflicts with other stakeholders supporting the initiative.

Absence / presence of management structures: An author states that local organization responsible for implementation and management

of the initiative has a structure that may be elected democratically or through other means. Additionally, there can be a note about the clear definition of responsibilities of different people within the structure of the local village authority. The structure might include one or more aspects: responsibilities for management, accounting, distribution of profits, representation of different social and ethnic groups, arrangements for conflict resolution, monitoring, rules and regulations, and sanctions for breaking them, etc.

(No or limited) marketing efforts: An author indicates that the community organization lacked (or did not lack) marketing efforts. ‘Marketing efforts’ differ from similar factor titled ‘marketing skills’ in a way that it does not refer to the skills of the community but just to the lack of marketing campaign and other means of promotion. In some cases, community have enough skills to carry out marketing campaigns but either chooses not to or lacks of money to do it.

Inconsistent (fragmented) community organization or lack of organization: the author indicates that the community organization ceases to exist or despite official existence it does not operate actively or operates reactively in a limited fashion by reacting to tourism and not planning and managing it. In other words, its members do not meet to discuss important matters and there is no leadership to guide the

members of the organization or the entire tourism initiative. This can be temporary for a certain period of time or permanent. Fragmented organization happens also when an organization divides itself and becomes two or more competing organizations.

Clear definition of the community: The author states that the community is clearly defined and additionally a specific mechanism to identify who belongs and who does not belong to the community is presented and explained.

3. Social capital

Networks and partnerships

No regular or formalized efforts to communicate with the community: It refers to problems or non-existent communication between the authorities in charge or supporting authorities, whether it is a government or park authorities, and communities. It includes an informal word-of-mouth network that is carried out and absence or no-use of regular and formalized channels. In consequence the community is unaware of the other's position towards tourism, general issues in the area and plans. It includes cases where communities are not communicating at all with organizations and private investors that

implement tourism within the area of community influence (either on their land or in the nearby area).

Creation of a regular forum/network to facilitate mutual understanding and cooperation among stakeholders. It refers to creation or existence of formal instance of communication and exchange of ideas and plans, either in form of a meeting/forum or network.

The roles and responsibilities of the community and partners are / are not clearly defined. The author/s specifically mention that in the case study.

Shared responsibility for the implementation of the initiative was / was not assumed by the community and non-community partners. The author/s specifically mention that in the case study.

No or poor dissemination of information about planned tourism development and related opportunities. The author indicates that the amount of information provided to the community about tourism and/or means of participation is not satisfactory. It includes situation when the author states that even if some information is available, it is not disseminated to the majority of community members, but it is selectively available to specific groups / people. It also includes cases when available information is provided in ways that is comprehensible to

community members.

Insufficient community consultation: The author indicated directly that there was insufficient consultation or states that the information gathered by the supporting organization about the community was insufficient or the approach chosen by the supporting organization and proposed actions were inadequate according to the author of the case.

Fostering relationships between local and national/international experiences: The author states that the community participated in or organized a platform for exchange of experiences and learning / capacity building from other communities and organizations that work in CBT. It includes formation of networks and cooperatives among different communities as well as participation of community members / leaders at local / national / international fairs or exposure tours and workshops that increase their capacity to plan, manage and operate CBT.

(No) cooperation with private tourism enterprises in the area and other related stakeholders: It refers to lack of or poor (or good) cooperation between the community tourism initiative and other private stakeholders such as other tourism initiatives, tour operators, travel agencies and other tourism-related actors. It includes cases when

different tourism sites, located within a short distance from each other, that are operated individually do / do not communicate or cooperate with each other. On the other hand, good cooperation involves creation of economic links or cooperatives (joint-ventures) with other stakeholders through selling their products, providing complementary products, providing / receiving / sharing investment, sharing or providing logistics, accommodation, among others. It excludes joint marketing efforts with external private actors (travel agencies or tour operators).

(No) access to the national and international networks through tour operators and marketing channels: It refers to CBT initiative's (in)ability to promote and/or sell their products through establishment of a commercial network with national, international travel agencies and tour operators that are external to the community and that have already established client base and are able to provide a steady flow of visitors to the community.

(No) alliances and cooperation with other communities to support each other and share experiences: It refers to lack of or poor (or good) cooperation between the community tourism initiative and other community tourism initiative. It includes cases when different CBT sites, located within a short distance from each other, that are operated

individually do / do not communicate or cooperate with each other. On the other hand, good cooperation involves creation of economic links or cooperatives (joint-ventures) with other CBT initiatives through selling their products, providing complementary products, providing / receiving / sharing investment, sharing or providing logistics, accommodation, among others. It also includes cases when communities share experiences, showing the aspect that worked or did not work for one community and therefore the other community can learn and improve their CBT initiative.

Relationships of trust and reciprocity

Presence / absence of external actors with interests that might not align with the interests of the community: The author states that there is presence / absence of external to the community actors and interests. It includes cases when resources are being exploited by non-residents for economic benefits at the exclusion of the community members, as well as cases when outside actors (tour operators, travel agencies) exercise their relative power and dominate the local tourism sector, often bypassing local initiatives / businesses / workforce and generating competition with CBT initiatives. Finally, it includes situations when community initiative is in conflict or poor relationship with external

actors (tour operators, travel agencies, hotels, etc.).

Mismanagement of funds / corruption: An author indicates that the person / organization in charge mismanaged funds and/or participated in corruption. It includes situations where leaders' decisions clearly benefit a specific group of people that are in good, personal relations with decision makers.

(No) trust in the leadership: An author states that the community members are doubtful about the leadership of the initiative and have concerns about the way it is managed. In some cases, the author of the case states directly that the community members do not trust their leaders / organization in charge, displaying hostile views and rejecting their authority. The mistrust might be due to mistakes made in the past, mismanagement of funds or lack of transparency in decision making.

(Poor or no) internal communication between community representatives and the members: an author states that the communication is poor or there is lack of communication, including absence of meetings, forums and other forms of communication between the leadership of the initiative and the community. It also includes inability of the leadership to provide to the community any information about possibilities and opportunities for participation and

when community leaders are not transparent and refuse to share information on the decisions made as well as situations. It is similar to the previous factor, but it focuses on one of the causes for the lack of information and the previous factor focuses on results (community has no information about tourism and means of participation).

Collective norms

(No) unity of the community and/or understanding of the importance of collective actions over individual for the success: it refers to cases where some residents attempt to avoid costs associated with CBT (cleaning, erosion management, land management), while seeking new opportunities for personal gain, ignoring collective actions required for success. It includes cases where collective actions are neglected in favor of development of small individual businesses that do not benefit the community as a whole. In that way a competition is created among community members. In some cases, tourism operators (for example transportation owners) access tourists directly and bring them to their own accommodations, violating community rotation rules and benefit sharing. It also refers to situations when community is divided into clans that are concerned about their own benefits. On the contrary, good unity of the community is reflected by cooperative work for collective

benefits and cost/benefit sharing schemes. An author indicates that there is cohesion of the community and the entire community works together for the success of CBT initiative.

High / Low level of participation in community organizations: an author states that there is low or limited participation in community organizations or that the participation is concentrated among few households or individuals. It includes participations in community meetings / forums and other gathering about community matters and CBT initiative.

(No) communal sense of ownership of the initiative (appropriation and wide participation): An author specifically mentions the lack of ownership of the initiative. It is related to the unity of the community, but it specifically refers to the ownership and appropriation of the initiative by the community. While community can be united as a community, it does not necessarily have to present high level of ownership of the tourism initiative. It might be due to necessity to hire external experts in running of the initiative or due to limited decision making capacity of the community, or other factors.

High cultural/ethnic division within the community: An author states that there is high level of cultural / ethnic division within the

community, which complicates building sense of unity and management of the initiative. In many cases the relationship between different groups is not equal and it is skewed to the disadvantage of one cultural / ethnic group.

Cultural and/or religious beliefs: It refers to all sorts of problems that can be considered limitations to development or management of CBT. It includes strong hierarchy that cannot be challenged, inability to speak out or dismiss fellow community members from their position even if they have a destructive effect on the initiative, and unacceptance of tourism caused by religious beliefs.

Reliance on the external actors to start and lead the initiative: The author indicates that the willingness to participate in tourism development is highly reliant on government stimulus, rather than the initiative of individuals in the host community. It is often driven by perceived feelings of inferiority that creates a strong dependence on others (government, NGOs, private sector).

Strict community norms and rules that are enforced: A community has a system of rotating civic and/or religious responsibilities among community members, based on merit accumulated by service in a rising hierarchy of civic positions. The system obliges community

members to perform unpaid work that benefits the entire community. Strict norms and rules also refer to an internal system of norms and rules in place together with enforce mechanism (social pressure / sense of duty / physical enforcement / etc.) and penalties for breaking the rules (monetary / social / work).

Self-confidence / doubts in its own ability to participate and manage tourism: It refers to the (lack of) confidence about participating and managing tourism. The doubts are usually related to the lack of skills, knowledge and experience in tourism that is a very new and unknown economic activity for local people. It also includes statements that the community members consider themselves uneducated and ignorant of life, therefore unable to carry out new types of activities. On the contrary, the self-confidence is usually mentioned after years of operating of an initiative and after capacity building.

Apathy and lack of interest: It refers to cases when community members could participate in tourism but they are not interested and voluntarily opt out from active participation.

Alcohol abuse causing issues in the community: An author specifically mentions that the alcohol abuse has been causing problems in a community or community management organization.

4. Natural capital

Protection and preservation

(No) awareness of the importance of nature conservation in the area:

An author states that community shows (not) high level of awareness of the importance of nature conservation. It includes cases when the community establishes own protected area to conserve biodiversity, limit or ban logging or hunting, establish no entry zones to certain areas, set internal regulations for protection of certain species or use of natural resources and they admit that conservation is the key component of the tourism they offer.

5. Cultural capital

Practices, traditions, and resources

Supply of activities based on traditions and local customs that attract tourists and strengthen the role of the community: It refers to all activities that are based on local traditions and use of local knowledge. It includes cases when author states specifically that the products offered by the community created acceptance of the tourism industry and generated pride of the community about their culture, way of life and traditional knowledge that they can showcase to visitors and receive

praises for. It includes the products offered by a community focusing on community's heritage and culture such as historical tour, animal watching tour, architecture, crafts, festivals, traditional cuisine etc.

6. Financial capital

External financial resources

(No) financial support: The author states that the initiative did or did not receive funding from the government, NGO or other external organizations and private partners. It includes financial support at the inception of the initiative to start it up and/or during its operation from any supporting partner.

High / low dependency on external funding: An author either states directly that an initiative generates high / low income and thus is heavily dependent (or independent from) on external funding (foreign donors, NGOs, government) or makes an indication to inability of the initiative to employ many staff members or break even financially.

Community financial resources

Poor / good management of funds: An author indicates that the funds are spent wisely taking into consideration the needs of the

community and investments in the initiative itself that can generate good returns on investment. Management of funds includes human resources, investment in tourism products and marketing, as well as infrastructure and other investments that generate benefits to the entire community. Good management of community funds category can also include provision of micro credits to community members (e.g. Prachvuthy, 2006) or designation of a part of the income to community training (e.g. Timothy & White, 1999). In some cases, the author can mention that the community goes through financial audit by outside recognized authority.

(No) financial resources: An author indicates that there is a shortage of financial / lack of capital resources to invest in tourism, promote or build infrastructure and facilities. It includes direct statements that lack of financial resources is the major problem preventing the community from participating in tourism. On the contrary, the presence of financial resources refers to statements that community was able to develop tourism and pay for necessary arrangements by itself or with little external support.

Lease of communal lands / contractual partnership with tour operators: An author states that the community benefits from a payment in form of the concession / lease fee from private companies who are

signatories to the commercial agreement. It includes lease of land, resources, and/or services for a certain amount of money paid monthly or annually.

Personal financial resources

Unequal economic resources among households to invest in tourism: An author specifically indicates that some of the community members benefit from tourism because they have capital to invest and those who do not have financial resources they are at a disadvantageous position. Already wealthy (capital, real estate, know-how, equipment, labor) members make most benefits, while less privileged people face an obstacle to participation.

Relatively high / low cost of participation in terms of time and effort: It refers to costs in terms of time / money / effort that the community shall pay to participate in tourism. It includes cases when a community cannot assume responsibilities in tourism due to the traditional responsibilities or main income generating / subsistence providing activities taking most of their time and energy during the day. It also includes situations where the entry costs are high (furniture, equipment for accommodation, training, licenses, lifejackets for boats, etc.).

7. Livelihood outcomes (impacts of tourism)

(No) noticeable improvement of quality of life in the community (health, education, economy): An author states that the initiative brings either small or irregular income to make much difference in quality of life of the community in terms of health, household economy, housing, education, infrastructure and access to services. In many cases the income is concentrated among a few households and individuals, which has no positive effect on the entire community. No improvements also include cases when despite many years of operation, the initiative was able to provide jobs to a small number of people and the income was hardly enough to cover the cost of operation or in some cases the initiative does not break even and requires constant external funding. On the contrary, noticeable improvements can be classified as such when an author states directly that the community members benefit from the initiative and their general quality of life has improved.

Limited / significant employment in tourism: An author states that tourism and related jobs (restaurants, handicrafts, small traditional shops that serve tourists) generates limited or significant employment opportunities in a community. It also includes statements that tourism is the main economic activity in the community. What constitutes 'significant' and 'limited' highly depends of the perception of the author

of a case study, which is the biggest limitation. However, if the author states that over 50% of the community benefits from tourism, the employment is considered as ‘significant’.

Low employment in tourism supporting unsustainable use of natural resources / Lower pressure on natural resources due to employment in tourism: This factor is similar to the previous one about employment, with the significant difference that is the positive / negative impact of tourism employment on natural resources. ‘Lower pressure on natural resources’ is considered when an author states that employment in tourism led to decreased use of natural resources and increased proportion of community that supports conservation and sustainable tourism, nature based tourism or ecotourism. The unsustainable use of natural resources can be caused by limited employment and statements of the community that they do not feel that they are part of the initiative and therefore they do not feel obliged to cease their unsustainable activities.

Inequality / equality in benefit distribution: An author states that there are / are not differences among community members in reception of benefits from tourism.

Increase of the community pride caused by foreign visits: An author or community members state that tourism is strengthening cultural values of the community, increasing their pride in their cultural heritage. It includes cases when an initiative / destination is included in a guidebook, generating sense of pride in the community. The factors defined as generators of pride can be associated with tourists' willingness to visit to see the community's way of life, festivals, music, customs, handicrafts, cuisine, biodiversity, landscape and other aspects of the community and its surroundings that are seen by visitors as attractions.

Appendix 6. Capital assets framework for assessing community capacity for tourism

Capital asset components	Indicators (or aspects requiring initial development and ongoing maintenance)
HUMAN CAPITAL: The skills and education, knowledge and awareness, physical ability and health, and individual attributes that support the development of tourism.	
Skills and education	<ul style="list-style-type: none"> -Community political leadership capacity -Economic development leadership capacity -Entrepreneurship capacity -Management skills and capacity -Guiding “hard” and “soft” skills -Service and hospitality skills -Coordination capacity (for tourism activities, events, and bookings) -Administrative and financial skills -“On the land” and traditional knowledge and skills -Cultural and natural interpretation skills -Levels of basic education (numeracy and literacy) -Conflict resolution skills -Critical mass of skilled and trained people to develop tourism industry -Level of youth involvement in training and capacity building for tourism
Knowledge and awareness	<ul style="list-style-type: none"> -Knowledge and awareness of tourism industry (i.e., potential, impacts, tourist expectations, products, needs, assets, strengths, challenges, opportunities, job requirements, and market research) -Knowledge of processes involved in tourism development and implementation -Access to post-secondary and tourism industry training -Levels of knowledge and awareness of local culture and history -Levels of recognition of value of local culture for tourism -Recognition of value of tourism business to community
Ability and health	<ul style="list-style-type: none"> -Community levels of physical and psychological health -Amount of the local population who are of working age (i.e., not too many young or too many older people)
Individual attributes	<ul style="list-style-type: none"> -Levels of individual motivation, long-term commitment, and patience (entrepreneurialism) -Individual openness to economic diversification and skill development -Presence of individual role models in tourism industry -Individual preferences and willingness to take risk and make personal and financial investment (entrepreneurialism)
POLITICAL AND INSTITUTIONAL CAPITAL: The policies and legislations, political supports, governance processes, and formalized institutions that facilitate the transformation of the other capital assets into tourism developments.	
Policies and legislation	<ul style="list-style-type: none"> -Mechanisms that provide access to and/or ownership (tenure) of land and resources for tourism development (e.g., legislation, completed treaties, Interim Treaty Agreements (ITAs), Interim Measures Agreements (IMAs), IBAs or land claim negotiations) -Local community policies that support local economic and tourism

	<p>development</p> <ul style="list-style-type: none"> -Policy mechanisms/provisions to ensure economic benefits are maintained locally (i.e., right to first refusal, recognition as gateway, entry fees) -Environmental Non-Governmental Organizations (ENGO) and governmental conservation organization policies that recognize and support local tourism development -Formal policies and/or legislation that recognize rights to continue traditional activities (i.e., harvesting, trapping, hunting, fishing) -Policies and/or informal mechanisms that allow for incorporation of traditional activities into tourism products within protected area (e.g., trapping tourism) -Formal recognition by governments and non-governmental organizations (NGOs) of importance of local development outcomes relating to conservation -Locally articulated codes of conduct for culturally appropriate tourist and tourism operator behaviors, protocols, and travel guidelines and restrictions (e.g., for sacred sites) -Locally articulated protocols about appropriate aspects of culture to share and means of sharing -Formalized recognition and use of local place names -Existence of articulated vision, tourism development plan (experiences, infrastructure, and services), and ongoing management plans -Local policies and plans to ensure environmental stewardship is considered in management of tourism development
Political support	<hr/> <ul style="list-style-type: none"> -Levels of local political will and support for tourism development among elected officials -Support by senior and traditional leaders in community, particularly elders and hereditary chiefs -Levels of external political will and support for tourism as economic development -Presence of local champions for tourism in community -Formal support by local government for economic and tourism development (e.g., through economic development offices) -Supportive relationships exist with local protected areas management and government agency officials
Governance processes	<hr/> <ul style="list-style-type: none"> -Performance of local political organizations (responsiveness, effectiveness, efficiency, fairness, unity, accountability, direction, stability, transparency) -Ongoing and independent review processes to ensure local government effectiveness and economic accountability -Inclusiveness of and levels of community participation in tourism development processes -Levels of involvement of traditional leaders, including elders and hereditary chiefs, in tourism development -Effectiveness, including breadth and depth, of participatory processes within community -Levels of satisfaction with governance and planning processes within the community -Level of local control over tourism development and ongoing management processes -Level of incorporation of cultural and traditional knowledge in tourism development processes and products <hr/>

	<ul style="list-style-type: none"> -Level of local control over financial resources available to support tourism (and other) development -Tourism development processes that ensure appropriate, respectful, and authentic integration and interpretation of culture in tourism products, experiences, services, and infrastructure -Frameworks, protocols, and agreements for communication, cooperation, or partnerships (clearly defined roles, rights, responsibilities, timeframes, conflict resolution strategies) between the community and outside agencies/organizations -Processes and mechanisms that ensure equitable benefit (i.e., including broader community, various genders, and range of socio-economic classes) -Allocation of realistic timeframes (i.e., long-term) for tourism planning and development processes -Level of sharing of decision making power in co-management arrangements -Mechanisms to ensure effective monitoring, evaluation, and adaptation of tourism industry -Processes to ensure community level approval of tourism development before proceeding
Formal institutions	<ul style="list-style-type: none"> -Local governmental or social economy bodies that support local economic and tourism development (e.g., economic development offices, CED corporations, tourism associations, cooperatives, planning and management boards) -Presence of supportive and active public sector (government) bodies (e.g., regional tourism development organizations, marketing bodies, ministries) -Formalized and financially supported structures for planning and ongoing management of tourism development -Formalized structures (e.g., board run trust fund) that allow for local control of financial resources -Formalized social supports (e.g., childcare) to enable involvement of various facets of community -Presence of effective marketing strategies and initiatives -Presence of or access to skill and capacity building programs for tourism and economic development -Presence of or access to educational institutions at elementary and secondary level in the community -Presence and availability of tourism awareness raising programs -Presence of local programs that support cultural interpretation and stewardship in protected area (e.g., Haida Watchmen)
<hr/> <p>SOCIAL CAPITAL: The formal and informal social resources, including networks, partnerships, and memberships, relationships of trust and reciprocity, and collective norms, that support the development of tourism</p> <hr/>	
Networks and partnerships	<ul style="list-style-type: none"> -Presence of regional coordination, regional development strategies, and regional tourism organizations -Presence of community-private-public partnerships for initial development, ongoing training and capacity building, and marketing of products -Memberships in external tourism-related organizations in public (e.g., provincial or territorial tourism bodies) and private sector (e.g., packaging and marketing wholesalers) -Presence of partnerships between NGOs, governmental

	<p>conservation organizations, and other governmental departments</p> <ul style="list-style-type: none"> -Level of coordination of activities between private, public, and collective (i.e., tourism cooperatives, associations) organizations within community -Levels of intergovernmental/inter-organizational coordination within community -Levels of intergovernmental/inter-organizational coordination outside community -Processes that support learning from other communities, indigenous groups, and tourism organizations -Active outreach and partnering by community, government, and conservation partners -Partnering of community with similar communities regionally and territorially/provincially on many different issues, including tourism
Relationships of trust and reciprocity	<ul style="list-style-type: none"> -Clear, open, flexible, and transparent channels of communication within community and with outside organizations -Levels of trust and quality of relationships between local and external actors (including ENGOs, government conservation bodies, public sector companies, post-secondary institutions) -Levels of trust within the community -Levels of intergovernmental trust and support outside community -Levels of information sharing among partners, stakeholders, and organizations -Levels of mutual support for tourism development efforts within community -Strength of informal social supports within community -Quality or outside perceptions and image of community as tourism destination
Collective norms	<ul style="list-style-type: none"> -Levels of collective will, support for, and commitment to community and tourism development -Levels of community openness to economic development and diversification through tourism -Level of community interest in achieving economic self-reliance -Community willingness to engage in market economy -Local consensus on what is best for the community -Community willingness and support to allow the local community government to take risk and make a financial investment -United and articulated visions and goals for tourism developments -Welcoming attitudes and behaviors toward tourism and tourists
<p>NATURAL CAPITAL: The natural resource stocks that form the basis of tourism products and the level of protection provided to these resources</p>	
Natural resource stock	<ul style="list-style-type: none"> -Level of attractiveness of natural values (e.g., geology, wildlife, waterways) in the region -Level of uniqueness of natural heritage -Level of seasonality of tourism products and experiences due to weather and climate -Level of tourist draw to tourism activities that are enabled by and realistic given the available natural capital (i.e., demand) -Level of outside knowledge of the natural heritage “brand” of the local protected area or natural features (e.g., Nahanni, Mount Robson) -Level of health and integrity of natural environment/ecosystem -Level of visible impacts from other forms of development
Protection and	<ul style="list-style-type: none"> -Levels of preservation provided to tourism-related aspects of

preservation (locally and/or externally driven and recognized)	wilderness and wildlife -Levels of protection from more exploitative/destructive forms of development -Levels of local recognition of need for stewardship of environmental resources -Existence of environmental stewardship initiatives, strategies, and plans -Balance between levels of protection and recognition of need for local economic development
--	---

PHYSICAL AND BUILT CAPITAL: The physical buildings and infrastructure that enables communities to engage in tourism development.

Buildings and infrastructure	-Tourist infrastructure and businesses to supply services (e.g., accommodations, transportation, food, equipment rentals), goods (e.g., supplies, memorabilia), and experiences (e.g., trails, routes, sites) -Presence of private sector businesses that can capitalize on providing goods and services to tourism industry -Community infrastructure to support (community) economic development (e.g., office space) -Community infrastructure sufficient to support additional pressure from tourism development (water, waste and sewage services, energy supply) -Infrastructure for communicating with tourists (maps, information, signage, interpretation, visitor center) -Infrastructure for storage of cultural, historical, and traditional knowledge and artifacts -Infrastructure for interpretation of culture and for local cultural education -Infrastructure to use for meetings, education, workshops, and gathering -Consideration given to and active programs of community beautification -Land base for development of tourism experiences and infrastructure
---------------------------------	---

FINANCIAL CAPITAL: The financial resources that are available to individuals and communities and that provide them with the opportunity to develop tourism.

External financial resources	-Initial funding to support training, capacity building, and infrastructure development -Ongoing access to outside sources of funding to support: Training and education Community economic and tourism development Tourism infrastructure development Marketing and networking Cultural and social development initiatives Protection of cultural resources -Levels of external competition for available funding resources -Access to financial resources and opportunities through aboriginal status
Community financial resources	-Strength of traditional sharing economy within the community -Community controlled sources of funding to support: Training and education Community economic and tourism development Tourism infrastructure development Marketing and networking

	Cultural and social development initiatives Protection of cultural resources
Personal financial resources	<ul style="list-style-type: none"> -Adequate levels of family and personal savings to take risks and make business investments -Regular remittances from outside family members employed in other communities and industries -Presence of diverse and flexible opportunities for employment throughout the year -Available funding resources for private entrepreneurs through outside organizations (e.g., through community futures development corporations)
CULTURAL CAPITAL: The practices, traditions, and resources that are central to a people's identity and the means and processes to maintain these.	
Practices, traditions, and resources	<ul style="list-style-type: none"> -Active use of traditional languages -Local knowledge of stories, traditions, and history -Levels of documentation and storage of traditional knowledge -Levels of engagement in traditional, cultural, and “on-the-land” activities -Identification and maintenance of historical and cultural sites -Levels of integrity and protection provided to cultural resources -Levels of access to and/or ownership of cultural resources -Accumulation of cultural artifacts by individuals and collective -Recognition that tourism development provides further opportunity to build cultural assets -Levels of local knowledge of land base
Cultural learning and maintenance	<ul style="list-style-type: none"> -Active and ongoing community formal and informal cultural education programs and activities -Spaces and programs for inter-generational cultural sharing -Traditional language education programs -Active and ongoing program of research, documentation, storage, and dissemination of traditional languages -Active and ongoing program of research, documentation, storage of cultural resources

Author: Bennett et al., 2012