

Chapter 13

Analysis and Assessment Instruments

This chapter covers

- The systems and instruments that are used to design institutional development and organisational strengthening interventions in sustainable mountain tourism
- Use of these instruments and systems in the different stages of the tourism project cycle or process of analysis

Introduction: Analysis Process and Use of Instruments in Tourism

Within NTOs and STOs there is a need for insight into the various types of instruments available and applicable to the field of project cycle facilitation and management that could assist NTOs and STOs in the formulation, management, and facilitation of sustainable mountain tourism development projects. These instruments could be particularly useful for the analysis of systems of local governance; assessment of the capacity of local government; and in the analysis of the institutional context and the local stakeholders.

This chapter introduces analysis and assessment systems (adapted from MDF 2000). It provides assistance to NTOs and STOs in selecting and applying instruments for future sustainable mountain tourism development projects: it deals with instruments and methods of analysis and assessment that are commonly used at two levels: i) the sectoral level and ii) the organisational level. In Volume 2 (Tools), each instrument is described in detail explaining what it is, when it is used, and how to apply it under three standard headings.

Most of the analysis and assessment tools or instruments introduced have their background in the generic development sector and, therefore, may require some more adaptation to make them applicable to sustainable mountain tourism.

Use of instruments in the tourism project cycle

The systems, tools, and instruments described in this chapter contribute to the collection of information about the institutional set-up of a proposed tourism intervention and provide information for use in the decision-making process (e.g., for the selection of a tourism sub-sector and stakeholders and to find the appropriate modality for collaboration and partnerships); analysing the strengths, weaknesses, opportunities, and threats (SWOT; see Volume 2, Tool 15) of a potential key strategic partner organisation; and deciding on modalities for building and improving their organisational and institutional capacities. Most of the tools or instruments discussed in this chapter are used in the initial stage of a project cycle (during analysis and assessment) leading to strategic choices on which part of the tourism sector to involve, with which stakeholders and key partners to collaborate, and their responsibilities as part of the tourism planning or designing a tourism intervention.

Some major uses of the instruments that are found in Volume 2 are depicted in Figure 13.1, which gives a general model of a project cycle. However, this does not mean that these instruments cannot be used in other stages of the project cycle. Moreover, this is only one of the representations of the project cycle. Other representations may be relevant as well, with similarities in the positioning of the instruments.

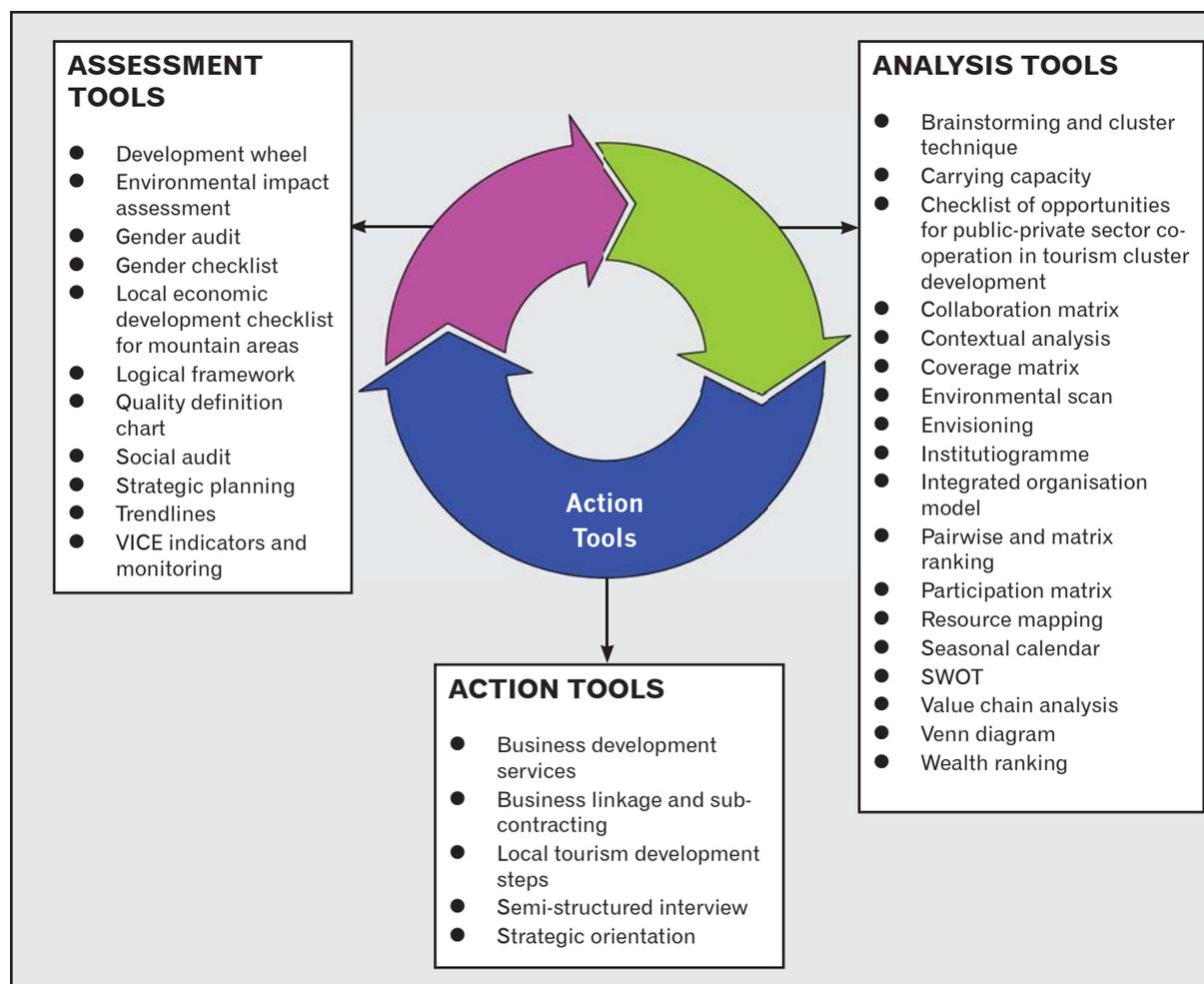


Figure 13.1: Triple-A tools in the tourism project cycle

Use of instruments in the analysis process

Various instruments may have different uses in different stages of the tourism project cycle. Analysis takes place in all stages of the project cycle. In many cases, analysis does not lead to new tourism project documents, but rather to the improvement of tourism strategies. It is, therefore, also relevant to look at the different phases of an analysis process and to look at the use of different instruments in that process.

It is important to realise that analysis may be carried out by tourism project managers or their staff or by teams consisting of different stakeholders with different backgrounds and expertise. Often, participatory analysis is being followed in which stakeholders participate in analysing the situation and draw conclusions from the information available. These participatory analyses often lead to more realistic conclusions that are more easily implementable.

The use of instruments can add much to the insight obtained in existing situations, to the clarity of problem identification, and the quality of the participatory analysis.

The following major phases in the analysis process can be distinguished:

1. Formulating a basic question
2. Fact-finding, analysis, and assessment
3. Formulating strategies
4. Design and implementation

Formulating a basic question

The process of analysis starts with the question of the problem owner. The problem owner could be the same as the client (the one financing the assignment), but it could also be a different person. The client system can be defined as all the persons or groups (stakeholders) that may be involved in the change process.

Without an initial question, it is difficult to make an adequate analysis. The initial question may not yet be formulated in very operational terms, and it is often necessary to assist the problem owner in reformulating and specifying the initial question into a 'basic question' that will guide the process of analysis. A good basic question ensures that the analysis will not be too broad (too many actors and aspects) or too limited (insufficient actors and aspects) to come to a relevant and meaningful assessment. Examples of basic questions include the following:

- How does the local government change from an executing to an enabling agency?
- What are the current and desired functions of the local government and what kind of capacity development is necessary to carry out the desired functions?
- What should be done to enable the Department of Agriculture to carry out effective extension services for farmers?
- How can the NGO involve its target group to increase the effectiveness of its health services?

During the process of formulating a basic question the use of instruments may assist in clarifying the following:

- The area that is subject to analysis
- The problem, its background, and its context
- The client system: the stakeholders and their expectations, including the problem owner (the person to assist) and the client (the person to report to)
- The expectations of the stakeholders towards the tourism advisor or team, what they are expected to do, and what not to do
- The support and the level of involvement of the different stakeholders (depending on the situation this could range from the tourism advisor or team doing almost everything to a high level of participation and contribution by stakeholders in all steps)

In general these expectations are written down in the terms of reference (ToR).

Fact-finding, analysis, and assessment

The second major phase of the analysis includes fact-finding (data collection), analysis (finding key-problems, relations, and explanations), and assessment (making a judgment). Most of the instruments can be used for each of these activities. Depending on the situation and the data collected, however, there may be differences in the use.

In choosing an instrument one has to realise that each instrument has its own limits, i.e., focuses on certain aspects of reality, while other aspects are left out. It is, therefore, very important to be aware of these limitations and constraints. In the most complex situations the use of different complementary instruments can be useful.

In the **fact-finding** stage, instruments could help with the following:

- Understanding the different aspects of the problem situation.
- Determining the stakeholders in relation to different aspects.
- Choosing the right data-collection techniques including questionnaires, interviews, observations and field trips, documents and files, workshops, or discussions.
- Choosing the focus of the data collection.
- Selecting items and formulating questions for the different items ensuring that all relevant aspects are covered in a cost-effective way.

Instruments used in the **analysis** stage may be similar to those of the fact-finding stage, but there may be differences as well. In the analysis phase, instruments are used to do the following:

- Organise the data collected
- Distinguish the presentation of facts (observations) from their respective interpretations (conclusions)
- Visualise the information and facilitate participatory discussions
- Create insight into the relations between problems identified and assess the relevance of observations
- Identify core problems and opportunities
- Draw conclusions for strategies and future tourism actions

In order to judge the performance of an organisation or the relevance or importance of problems, clear criteria and indicators are necessary. Instruments often distinguish between various aspects of a problem field. In this sense they can help to develop **assessment** criteria and related indicators. However, what acceptable values are, must come from other sources. Some of these sources are given in the list below:

- Objectives, targets, and norms specified or derived from organisational policies
- Facts and figures drawn from the tourism sector
- Bench marking, i.e., comparison with other similar organisations
- Government or public rules and regulations
- The professional assessment of an experienced tourism consultant
- Facts and figures based on past experiences in the organisation (historical norms)
- Facts and figures drawn from professional tourism literature

Strategy formulation

Based on the analysis and assessment, tourism strategies can be formulated, often through a creative process in which alternatives and their consequences are discussed by the various stakeholders. In this process instruments can be used to do the following:

- Involve stakeholders
- Define the various options for addressing problems and opportunities
- Weigh the different options
- Create consensus on the best option(s) to choose

Design and implementation

After a tourism strategy is formulated and agreed upon by major stakeholders, the details have to be worked out and consequences analysed, including how the strategy will affect the various stakeholders. In this stage instruments can be of use to carry out the following tasks.

- Analyse the consequences for the various stakeholders
- Design new systems, procedures, structures, and approaches
- Plan concrete tourism activities

Overview of the analysis process and use of methods and tools

There are four main levels of institutional development and organisational strengthening:

1. **Diagnosing and learning:** Action-oriented learning on tourism and development problems of NTOs and STOs.
2. **Organisational development:** Activities to build the capacity of NTOs and STOs to become more effective and learn to adjust to their environment.
3. **Partnership building:** Building the capacity of (groups of) organisations to interact, collaborate, and negotiate to plan, develop, implement, and manage sustainable mountain tourism.
4. **Institutional change:** Support NTOs and STOs in influencing tourism policies and institutional change in order to improve the enabling environment.

Based on these levels, a link can be made between sustainable mountain tourism practice and respective methods and tools in institutional development and organisational strengthening (IDOS) (see Box 13.1).

Analysis and Assessment Systems in Tourism

In this section, analysis and assessment systems are discussed. A distinction is made between analysis and assessment instruments like the institutiogramme (see Volume 2, Tool 9), and analysis and assessment systems, like rapid (or relaxed) appraisal of agricultural knowledge systems (RAAKS) and IDOS, which consist of a sequence of instruments. These systems are introduced in this section and the individual instruments are explained in Volume 2.

Rapid Appraisal of Agricultural Knowledge Systems

What is it?

RAAKS is an action-oriented research methodology that can help diverse stakeholders to work and learn together, enhance communication and information exchange, and to plan for action to support innovation. RAAKS has been designed and tested to help stakeholders gain a better understanding of their performance as innovators. Men or women villagers, researchers, policy makers, extension workers, consumers, producers of inputs or services, and industrialists and/or traders guided by a team of specialists can all be involved in a RAAKS study. Central elements of RAAKS are teamwork, the focused collection of information, qualitative analysis, and strategic decision making. The RAAKS methodology has been adapted to tourism-related analysis and planning. Pramod Tandukar's thesis (1999, unpublished), developed for SNV Nepal and Wageningen University, provides several examples from tourism development in Nepal.

What can be done with it?

RAAKS is useful in identifying opportunities for improving tourism knowledge and information systems and creating awareness among relevant actors of opportunities and constraints that affect their performance as innovators. This approach also supports the identification of actors and potential actors able to address constraints and opportunities and encourages their commitment to change.

Core questions are as follows:

- Who are the major stakeholders in the tourism sector?
- What are the major constraints to innovation?
- What can be done to address these constraints?

**Box 13.1: Linking Sustainable Mountain Tourism Practice
with IDOS Tools and Methods**

Level of Analysis/ Assessment Intervention	Method/Tool
1. Diagnosing and Learning	
Capacity assessment/ organisational assessment of NTOs/STOs to identify their capacities and capacity constraints	<ul style="list-style-type: none"> ● Capacity assessment method ● IDOS ● RAAKS (rapid appraisal of agricultural knowledge system) ● APPA (see Chapter 6) ● IOM model together with interviews (see Volume 2, Tool 10) ● SWOT (see Volume 2, Tool 15)
Mountain tourism and market research	<ul style="list-style-type: none"> ● Market research ● Departing visitor research
Mountain tourism feasibility studies	<ul style="list-style-type: none"> ● Social analysis: social and environmental resource mapping, walks, surveys, and others. ● Mountain tourism feasibility checklist
Knowledge development	<ul style="list-style-type: none"> ● Development of specific tools or support on knowledge areas defined by NTOs and STOs
Coaching and training	<ul style="list-style-type: none"> ● Regular coaching chapters with individuals ● Training on pro-poor tourism principles, hospitality, on-the-job training, and specific training requested by NTOs and STOs
Documenting and sharing best practices in sustainable mountain tourism	<ul style="list-style-type: none"> ● Case studies on sustainable rural tourism and pro-poor principles in tourism ● Sharing experiences and best practices via the sustainable tourism network and group
2. Organisational Strengthening	
Mountain tourism policy and strategy development	<ul style="list-style-type: none"> ● Visioning exercises ● APPA ● RAAKS ● Advice to develop national strategies (for example, the Lao National Ecotourism Strategy and Action Plan)
Mainstream pro-poor principles in tourism development and management	<ul style="list-style-type: none"> ● Client-specific awareness raising, training, and support to technical resource development ● Facilitating links with international networks and specialist sustainable mountain tourism markets
Mainstreaming gender and social inclusion in sustainable mountain tourism	<ul style="list-style-type: none"> ● Remind NTOs and STOs of gender and social inclusion issues in daily advice on different assignments ● Presentation and discussion of gender and social inclusion issues during sustainable tourism network meetings ● Gender assessment implementation of gender action plans in national tourism organisations (Chapter 8) ● Social inclusion strategy (Chapter 8)
Mountain tourism information systems' development	<ul style="list-style-type: none"> ● Develop an improved system for gathering tourism statistics ● Training on how to use the system ● Set up tourism information centres
Mountain tourism education and awareness raising	<ul style="list-style-type: none"> ● Support for tourism curriculum development for different faculties of different universities ● Presentations and discussions on topics related to sustainable mountain tourism

Box 13.1: (cont...)

Mountain tourism products and quality standards' development and management	<ul style="list-style-type: none"> ● Quality definition chart to define the quality of tourism products and services (see also Volume 2, Tool 30) ● Tourism and hospitality training (based on the output of the quality definition chart) ● Facilitate the implementation of product development ● Facilitate collaboration with the private sector
Mountain tourism business planning development	<ul style="list-style-type: none"> ● Business planning and skills' training for tourism-related micro enterprises ● Support for small and micro tourism products and service providers' associations and groups ● Facilitate links between local, sustainable mountain tourism producers and service providers and markets (national and international) ● Mountain tourism enterprise development and market linkages' approach (Chapter 9)
Strengthening organisational structure and systems	<ul style="list-style-type: none"> ● Capacity development plan ● Among others the following methods are used: process mapping (work processes); process facilitation (ongoing); institutiogramme (Vol. 2 Tool 9; IOM (Vol. 2 Tool 10); SWOT (Vol. 2 Tool 15); envisioning (Vol. 2 Tool 8); coaching; team building; participation matrix (Vol. 2, Tool 12)
3. Partnerships/Relationships with Direct Environment	
Planning for sustainable mountain tourism	<ul style="list-style-type: none"> ● APPA ● RAAKS
Conservation of natural resource base and poverty reduction in protected areas	<ul style="list-style-type: none"> ● Design ecotourism management systems for implementation in all national and provincial protected areas ● Develop ecotourism strategies and management plans for target or model protected areas
Mountain tourism promotion and facilitation of market linkages	<ul style="list-style-type: none"> ● Mountain tourism enterprise development and market linkages' approach (Chapter 9)
Develop sustainable tourism networks	<ul style="list-style-type: none"> ● Facilitate the set-up and management of these networks ● Raising awareness on pro-poor and sustainable mountain tourism practices and approaches ● Strategic planning (see also Volume 2, Tool 32) ● Set up of an organisational structure and systems
4. Institutional Change	
Institutional linkages and associations within sectors	<ul style="list-style-type: none"> ● Actogramme or institutiogramme
Mountain tourism legislation development	<ul style="list-style-type: none"> ● Process facilitation
Sustainable management of natural resources	<ul style="list-style-type: none"> ● Influencing policy ● Support with specific curricula development ● Awareness raising

The RAAKS method could be complemented by an adequate organisational analysis of actors involved in the use of tourism project planning techniques.

How can it be used?

The RAAKS methodology consists of three major phases, each with a number of ‘windows’ (aspects for analysis) and related tools that can be followed. The RAAKS methodology is carried out by a team of trained experts and involves stakeholders in various workshop exercises. The extent to which analysis is being carried out depends on the priorities of the situation. Box 13.2 gives an overview of the main tools that can be used in each phase.

Requirements and limitations

The RAAKS method requires a team of experts. The field work will depend on the situation and the field of analysis, but will require at least two to three weeks. Various workshops are required for participants. It requires a willingness and ability on behalf of the stakeholders to contribute and to address the constraints identified. Too easy or too high expectations may be generated, which may be counter productive in later stages of development. Emphasis is on communication and information, not so much on other elements of organisational performance.

Box 13.2: RAAKS Model

Phase A: Defining the relevant system and its problems		
Window	Tool Name	Description
A1 Defining or re-defining the objective of the diagnosis	Problem definition exercise	Questioning
A2 Identifying relevant actors	Actor identification exercise	List of actors and involvement
A3 Tracing diversity in mission statements	Actor objective sheet	List actors plus mission
A4 Environmental diagnosis	Environmental limits’ checklist	Checklist: environmental complexity, technology, external pressure, resource base, and tourism support services
A5 Clarifying the problem situation	Prime mover septagram Approximation exercise I: leadership and coordination Approximation exercise II: problems and diversities	Picture of main actors and the extent to which they influence the tourism system Picture of actors and relations Questions for synthesis of Phase A findings
Phase B: Analysis of constraints and opportunities		
B1 Impact analysis	Impact analysis sheet	Matrix needs of client groups versus knowledge offered
B2 Actor analysis	Actor analysis checklist	List of actors, their primary activities, position in tourism knowledge system, and their impact

Box 13.2: (cont...)

B3 Tourism knowledge network analysis	Info-source-use exercise	Matrix on sources of tourism information and their various uses
	Communication network sheet	
	Source intermediary user sheet	Circles showing closeness and/or importance List showing per knowledge type how it is offered by the source and transformed by the intermediary for which final users
B4 Integration analysis	Linkage matrix	Matrix of actors showing linkages
	Linkage mechanism checklist	Checklist with questions on the type of linkage
B5 Task analysis	Task analysis sheet	Matrix of actors and tourism activities
B6 Coordination analysis	Basic configurations	Combining driving force (tourism policy, user, technology, industry, and donor) with Mintzberg coordination mechanism (see A5)
	Prime mover septagram	
B7 Communication analysis	Communication analysis exercise	Questions on differences between actors: social, cultural, knowledge, perceptions, and so on
	Window reporting sheet	Overview of contributions of windows used
	Understanding the social organisation of innovation	Synthesis of results phase A and B

Phase C: Articulating policy and strategy/planning for action

Window	Tool Name	Description
C1 Tourism knowledge management analysis	Tourism knowledge management analysis exercise	Selection of actors and potential tourism interventions (using checklist)
C2 Actor potential analysis	Actor potential checklist	Assessment of the actors in relation to the potential tourism interventions (using checklist)
C3 Strategic commitments to a tourism action plan	Defining possible actions: moving towards improvement	Synthesis of results from phases A, B, and C
	Strategic commitments: action planning	Constraints and opportunities (using checklist) Defining which objectives, activities, and who is responsible (checklist)

Institutional development and organisational strengthening (IDOS)

What is it?

The IDOS analysis framework consists of a flexible set of instruments to be used in analysing the institutional environment in the analysis of the (internal) organisation, and in synthesising these analyses into a comprehensive plan to make the organisation or network more effective in carrying out tourism development activities. With regard to sustainable mountain tourism interventions, this framework can be useful for analysing the tourism policy framework, the key actors involved in tourism, the effectiveness of the institutional arrangements between and among these actors, and for suggesting measures to improve the effectiveness of the sustainable mountain tourism sector in a particular context. The IDOS framework is shown schematically in Figure 13.2.

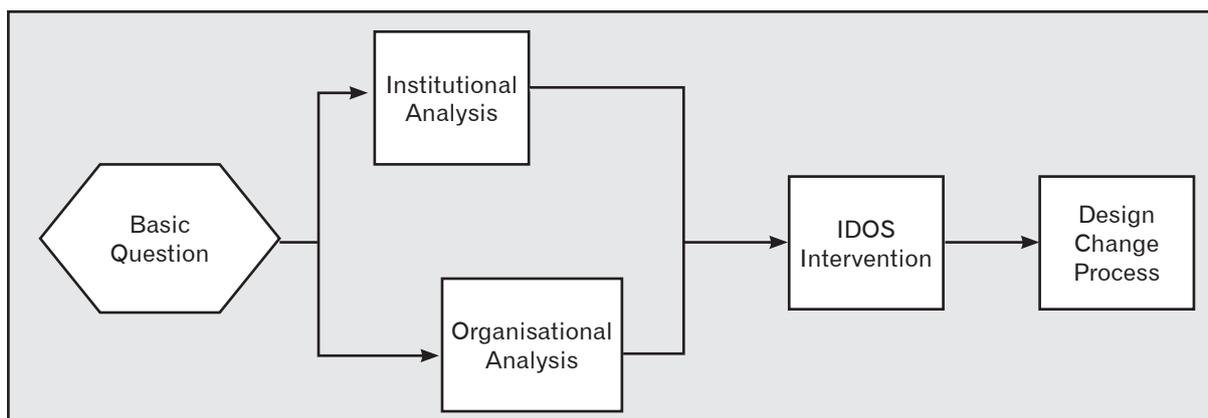


Figure 13.2: IDOS basic framework

The IDOS analysis can take place at various levels: at the level of the sustainable mountain tourism project, the tourism department or ministry level, the level of the national, state or local tourism organisation, at the tourism sector level, or at the tourism development programme level. The scope may be broad or limited, but requires the thorough participation of major stakeholders involved in sustainable mountain tourism.

What can be done with it?

The IDOS analysis assists in designing a tourism intervention strategy (what should be changed or adapted) and in the change process (how should it be changed) at the level of the institutional setting and at the level of the organisations involved in the sustainable mountain tourism sector to improve the effectiveness, efficiency, and sustainability of the sector as a whole.

Core questions are as follows:

- How to position a tourism development project?
- How to coordinate and cooperate between organisations involved in tourism activities?
- How to develop a network of organisations involved in tourism?
- What should be done to improve performance in tourism development?
- How to develop or strengthen NTOs and STOs in terms of effectiveness, efficiency, and sustainability?

More specific and detailed analysis may have to be carried out depending on the tourism strategies chosen or formulated. The instruments described below can be useful in carrying out such specific analyses.

How can it be used?

Steps in institutional development and organisational strengthening (IDOS)

- **Step 1: Formulating a basic question** – The formulation of a question that clearly indicates the problem to be addressed and/or resolved
- **Step 2: Institutional analysis** – The design of an IDOS intervention has its starting point in the description and analysis of the environment (context) of sustainable mountain tourism in a particular context. This includes the analysis of actors involved (target groups, NTOs and STOs, other organisations including NGOs, government, private sector, financiers, and so forth) and the influencing factors (political, economic, sociocultural, technological, physical, market, and so forth). The institutional analysis provides insight into the opportunities and threats within and outside the tourism sector.

Possible instruments: *institutiogramme* (Tool 9), *coverage matrix* (Tool 6), *collaboration matrix* (Tool 4), and *environmental scan* (Tool 7) (see Volume 2).

- **Step 3: Organisational analysis** – Organisational analysis provides an overview of the strengths and weaknesses of the project or organisation, whatever the focus of the assessment. A general assessment provides a direction for a more detailed analysis of systems and work processes, structure, management styles, staff motivation, and organisational culture within an NTO or STO.

Possible instruments: *integrated organisation model (IOM)* and a *checklist* (see Volume 2, Tool 10)

- **Step 4: Designing IDOS intervention** – The analysis phase leads to ideas on improving the NTO and interlinkages with other stakeholders for an effective, efficient, and sustainable mountain tourism sector. These ideas are translated into a concrete IDOS intervention plan that aims to improve the sector through strengthening institutional and organisational relationships and collaborations.

Possible instruments: *strategic orientation*, *logical framework* (see Volume 2, Tools 23 and 29)

- **Step 5: Designing change process** – An intervention plan for improving institutional relationships and organisational performance requires certain levels of change in policies, practices, and institutional or organisational norms and behaviour. A well-designed intervention plan should identify and foresee how different stakeholders will be affected by the change and where resistance might be expected. It should identify how different stakeholders should participate and how responsibilities should be divided among the actors involved for facilitation of the change process and related activities.

Possible instrument: *participation matrix* (see Volume 2, Tool 12)

Requirements and limitations

IDOS does not give a pre-determined sequence of steps to follow in going through the process. This implies that facilitators should be well aware of the use and limitations of different instruments so that they can be applied at relevant stages of the process with consideration of the need to generate and/or look into specific aspects of the institutional setting and/or within an organisation. The facilitators should always be well aware of sensitivities that may hamper the collection of information and discussions, and should be creative in choosing the right methods and instruments for facilitation of the process.

IDOS requires the participation of stakeholders to be able to make tourism interventions more acceptable and supported. An optimal participation can only be assured when the purpose and expected outcome(s) of the process are commonly understood by all stakeholders involved.

An IDOS process has to be carefully designed, based on the problem field at hand and the aspirations of the various stakeholders. It may consist of one or more well-prepared tourism analyses and strategic orientation workshops, coupled with teamwork to develop the ideas into a tourism intervention plan.

Instruments for Analysis and Assessment in Tourism

In the Box below (13.3), an overview is presented of the instruments presented in Volume 2 and their use in the analysis and assessment process in sustainable mountain tourism.

Box 13.3: Selected Instruments for Analysis and Assessment

	Formulating Basic Questions	Fact-finding Analysis and Assessment	Strategy Formulation	Planning and Design
1. Governance system				
1.1 Institutiogramme (see Volume 2, Tool 9)	+	X		+
1.2 Participation matrix (see Volume 2, Tool 12)		X		X
2. Sector analysis				
2.1 Checklist to diagnose local economic development (see Volume 2, Tool 28)	X	X		
2.2 Steps to develop the local economy		X	+	
2.3 Coverage matrix (see Volume 2, Tool 6)		X		X
2.4 Collaboration matrix (see Volume 2, Tool 4)		X		
2.5 Environmental scan (see Volume 2, Tool 7)		X		
2.6 Envisioning (see Volume 2, Tool 8)			X	
3. Organisation analysis				
3.1 Integrated organisation model (see Volume 2, Tool 10)	X	X		
3.2 Quality definition chart (see Volume 2, Tool 30)	+	X		X
3.3 SWOT/strategic orientation (see Volume 2, Tool 15 and 23)			X	

Notes: X = major use; + = can also be used for this step in the analysis